

Examination of Employer Responses to Requests for Separation Information

A Study of SIDES and Non-SIDES Replies

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Executive Summary: SIDES Employer Response Study

BACKGROUND

The State Information Data Exchange System (SIDES) went live, verifying information about unemployment insurance (UI) benefit claims from employers and third-party administrators (TPA) through a nationally standardized computer-to-computer system in February 2010. The use of SIDES has since grown steadily and is now available in 47 states, the District of Columbia and two territories. In addition, the SIDES online information-sharing website for smaller employers, (SIDES E-Response) now receives tens of thousands of responses on requests for information about UI benefit claims.

As SIDES use increased, NASWA employees began hearing from states that the quality of information received from employers and TPAs was the same inadequate information provided previously through paper processes even though SIDES implemented a nationally standardized format. However, when NASWA employees requested examples, states were unable to provide any. As a result, NASWA decided to conduct a detailed study of employer and TPA responses to measure the quality and effectiveness of SIDES.

PURPOSE

The primary objective of the SIDES Employer Response Study was to evaluate and compare the quality of responses to initial requests for information about UI benefit claims from employers received via SIDES to those not using SIDES. This study was not intended as a substitute for the standard Benefit Timeliness and Quality review scoring for state UI agencies. It was more in-depth review of the completeness of an employer's reply to each individual question regarding a former employee's claim for UI benefits.

A secondary objective of the SIDES study was to identify any areas of ineffective or improper use of SIDES by employers, TPAs and state UI agencies. These findings may be used going forward to address any deficiencies or loopholes identified by the study.

METHOD

Five states volunteered to participate in the Study and were each asked to provide a minimum of 225 initial requests for information about UI benefit claims from employers: Arizona, Colorado, Georgia, Iowa and New Hampshire, for a total of 1,125. The 225 state case samples from each study state consisted of 75 SIDES information cases, 75 SIDES E-Response information cases, and 75 Non-SIDES cases randomly selected based upon type of separation. Because certain types of separations, quits and discharges, have higher probabilities of overpayments (per Benefit Accuracy

Measurement (BAM) survey), they were sampled at higher proportions.

Scoring tools for each type of separation were developed by UI Subject Matter Experts and NASWA staff to create and assign a numerical value for comparison and analytical purposes.

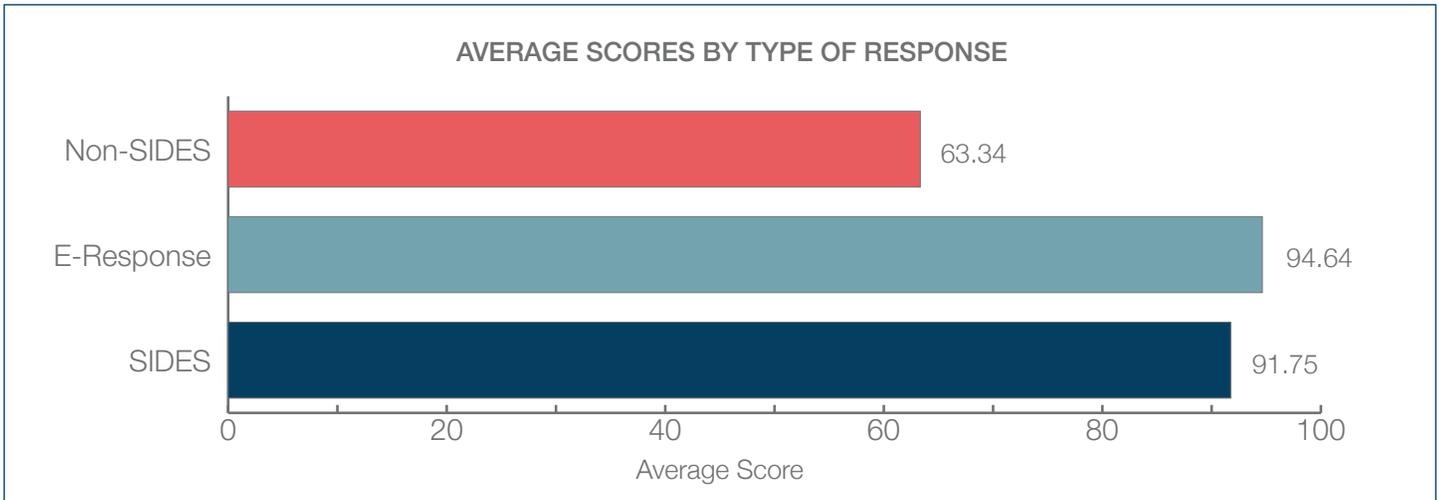
Over 40 state and territory UI agency staff members from 23 UI agencies volunteered to score cases for the study. Each case was reviewed and scored independently by two reviewers. Scorers were not allowed to score cases originating from their own state to eliminate any bias. In the event of score discrepancies greater than 15 points or the use of different scoring tools, the case was reviewed and scored by a third independent scorer.

Upon completion of scoring, volunteers entered all case information into Survey Gizmo. Data captured in Survey Gizmo was used to generate Excel spreadsheets for review and analysis.



RESULTS

Employer use of the SIDES or the SIDES E-Response tools to respond to initial requests for information about UI benefit claims from state UI agencies resulted in significantly higher quality scores, (defined as a score of 90 or more,) compared to employer responses submitted through Non-SIDES methods as shown in the chart below.



Additionally, employer response rates were higher for SIDES (100%) and SIDES E-Response (99.73%) versus Non-SIDES (81.35%).

CONCLUSIONS

Based upon the Study findings, employer and TPA use of SIDES and SIDES E-Response resulted in significantly better quality of responses to initial requests for information about UI benefit claims from state UI agencies than an alternate method. Use of SIDES and SIDES E-Response also resulted in more consistent information from employers across all the study states.



The State Information Data Exchange System (SIDES), established in 2006, was developed through a strategic partnership between a five-state consortium of Unemployment Insurance (UI) agencies and the U.S. Department of Labor (USDOL). SIDES originated from a 2004 Information Technology Support Center (ITSC) CORE project funded by the U.S. Department of Labor (USDOL) to examine the feasibility of states to improve the quality and timeliness of separation information from employers by exchanging the data in a web-based manner. Initially named the Separation Information Data Exchange System, SIDES quickly expanded to include six states, three employers/third party administrators (TPAs). The web-based SIDES E-Response, an easy to use website for smaller employers, was developed shortly after. SIDES went into production in early 2010.

The Unemployment Insurance (UI) program has been identified as a “high risk” federal program because of the improper payment rate with separation issues being the third leading cause of incorrect payments within the UI program. SIDES and SIDES E-Response are part of national and state efforts to reduce the rate of overpayments within the UI program and have been implemented in various phases throughout the country. The ability of state agencies to reduce improper payments is greatly enhanced by their ability to obtain timely, adequate separation information. SIDES not only standardized requests for information from employers across the states

it also provided a more immediate notice to employers of an unemployment insurance claim filing by being delivered electronically rather than through the mail.

While many states have implemented either SIDES and/or SIDES E-Response, questions remained regarding the completeness/effectiveness of the initial separation information received from employers/TPAs using SIDES/SIDES E-Response versus non-SIDES. The objective of the Employer Response Study (Study) was to examine and compare the quality of employer separation responses received by SIDES, SIDES E-Response and non-SIDES (state specific methods). The Study Team wanted to determine if SIDES responses provided a more meaningful and informative starting place for adjudicators to begin their eligibility investigation thereby reducing the time needed to perform follow-up fact-finding.

A secondary purpose of the Study was to review an extensive number of case samples from across the country. Through this detailed review, the Study team could identify any areas of ineffective or improper use of the SIDES and SIDES E-Response methods by state agencies, employers and TPAs. These findings may be used going forward to address any deficiencies or loopholes identified by the Study.

Five states, from different regions of the country, were selected for the Study. The five Study states were Arizona, Colorado, Georgia, Iowa and New Hampshire. Each of the five states provided a minimum of 225 initial separation requests and responses for the Study. Of the 225 cases provided by each state, there were 75 SIDES cases, 75 SIDES E-Response cases and 75 non-SIDES cases.

Scoring tools, based upon the type of separation, were developed to review and assess all separation responses (SIDES, SIDES E-Response and non-SIDES) and assign a numerical value for comparison and analytical purposes. The scoring tools were developed by UI Subject Matter Experts and members of the NASWA National SIDES Team.



Study Methodology

To accomplish the Study objective, random samples of employer responses for agency requests for information related to the UI claimant's separation were selected from three populations:

- 1) Responses submitted through SIDES, a web based system that allows electronic transmission of information requests from UI agencies to employers and/or Third Party Administrators (TPAs), as well as transmission of replies.
- 2) Responses submitted through SIDES E-Response and
- 3) Responses submitted through non-SIDES state-specific reporting systems.

To ensure that samples were representative of the reason for separation, the samples of employer responses were stratified by the following reasons for separation within each of the three response types.

- » Laid Off / Lack of Work
- » Discharged / Fired and Asked to Resign
- » Voluntarily Quit and Retirement
- » Temporary Separation: Includes Temporary Layoff, Vacation/Holiday Shutdown, School Employee Between Semesters or Terms, Likely to Return, On-Call or Temporary Status, Leave of Absence, Disciplinary Suspension, Professional Athlete Between Sports Seasons, Disaster Related Separation
- » All Other Reasons: School Employee between Semesters or Terms, Not Likely to Return, Still Employed (F/T, P/T, reduced hours), other, and reason not provided.

Scoring instruments were developed for each type of separation intended to dive more deeply into specific details of initial employer responses than that which is prescribed for Benefit Timelines and Quality reviews in ETA Handbook 301. The scoring tools were designed to evaluate initial employer response samples only, not the overall adjudication, to rate the completeness and accuracy of the information that was returned to the state UI agencies. Employer responses were evaluated by UI agency staff from multiple states who volunteered to score the cases. For a list of participating states and staff, refer to Attachment B.

In accordance with the Study methodology each case was scored independently by two scorers from states other than the sample case state. The scores were averaged to produce a final score. If the difference in the two scores exceeded 15 points¹, or the two scorers applied different scoring tools (for example, quit and discharge²), the case was referred to a third scorer and the third score's result was accepted as the final score. A summary of cases referred to a third scorer is provided in Table 1.

TABLE 1. NUMBER OF THIRD SCORE CASES BY REASON

Total Third Score Cases	Type of Separation Request	Third Score due to Score Differences > 10 and < 15	Third Score due to Score Difference > 15	Third Score Due to Different Scoring Tools
214	Non-SIDES: 129 E-Response: 44 SIDES: 41	4	123	87

¹ A small number of cases in an early stage of the Study were referred to a third scorer if the difference in scores exceeded 15 points.

² Claimant indicates he/she quit but upon further investigation, it is found that he/she quit in lieu of being discharged. Fact-finding then is done as a discharge.

To determine if there is a difference in the quality of the employer information provided among the three groups, statistical tests were conducted to answer the following questions.

- » Is there a statistically significant difference in the average scores of the three response types: SIDES, E-Response, and Non-SIDES?
- » Within each response type are there significant differences between the average scores by Reason for Separation? For example, within Non-SIDES employer responses are there significant differences between the average scores for voluntary quit, discharge, etc.?
- » Can differences in the overall response type averages be explained by significant differences in the state results?
- » What is the percentage of “high quality” responses (defined as a score of 90 or more points) by response type and reason for separation?
- » What can statistical models tell us about differences in employer responses?

A detailed discussion of the Employer Response Study methodology is provided in Attachment A.

SAMPLE SIZES AND RESPONSE

Samples of 75 cases were allocated to each of the three response types for each state. Samples of SIDES and E-Response cases were selected from the SIDES central data exchange, which maintains the SIDES and E-Response databases. Non-SIDES cases were selected by the participating states from their UI administrative databases. Some states selected additional Non-SIDES cases to compensate for employer non-response to requests for separation information.

Tables 2 and 3 summarize the survey sample outcomes by state and response type.

TABLE 2. EMPLOYER RESPONSE STUDY SAMPLES, SCORING AND RESPONSE BY STATE

State	Total Number of Study Cases	Number of Cases Scored	Number of Cases Not Scored	Number of Excluded Cases	Number of No-Response Cases
Arizona	230	185	0	3	42
Colorado	239	238	1	0	0
Georgia	224	213	0	0	11
Iowa	225	222	2	1	0
New Hampshire	225	203	1	1	20
Total	1,143	1,061	4	5	73

TABLE 3. EMPLOYER RESPONSE STUDY SAMPLES, SCORING, AND RESPONSE BY RESPONSE TYPE

Response Type	Total Number of Study Cases	Number of Cases Scored	Number of Cases Not Scored	Number of Excluded Cases	Number of No-Response Cases
SIDES	375	373	2	0	0
E-Response	375	374	0	0	1
Non-SIDES	393	314	2	5	72
Total	1143	1061	4	5	73

Notes:

1. Excluded cases include separation types that were not included in the survey, for example, labor disputes, military (UCX claims), employer responded that the claimant never worked for that employer, TPA responded that the TPA did not represent the employer for which information was requested.
2. No response cases could not be scored because the employer did not respond to the state agency's request for separation information.
3. Cases not scored were cases that were not scored by any of the state volunteers or SIDES team due to project deadlines and staff availability to complete.

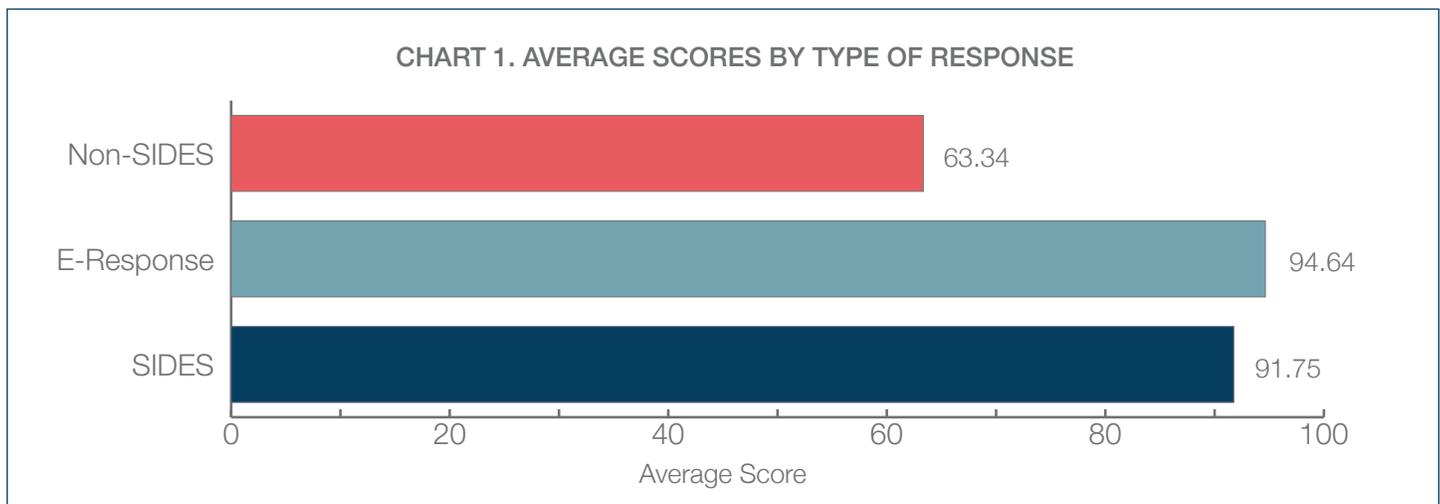
Study Analysis

Several analyses were conducted for the Employer Response Study data:

- » Average Scores by Employer Response, Reason for Separation, and State
- » Scoring Distribution and Variances
- » Percentage of “Quality” Responses
- » Regression Analysis

AVERAGE SCORES BY EMPLOYER RESPONSE METHOD

The average quality scores of employer responses submitted through SIDES or SIDES E-Response are significantly³ higher than the responses submitted through Non-SIDES methods. The difference between the average quality scores for E-Response (94.64) and SIDES (91.75) is statistically significant. The differences between the average quality score for Non-SIDES (63.34) and the average scores for E-Response and SIDES are *both* statistically significant.



AVERAGE SCORES BY REASON FOR SEPARATION

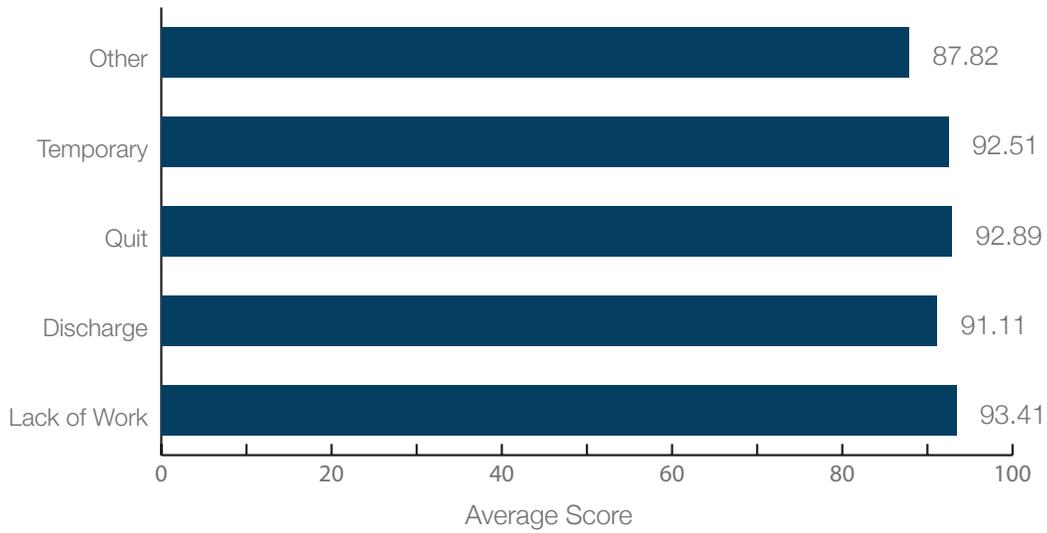
For SIDES responses, the highest average score is for Lack of Work (LOW) separations (93.41), which is significantly higher than the average scores for Discharge (91.11) and Other (87.82) separations. The Other separation category has the lowest average score, which is significantly lower than the average scores for all other reasons for separation.

The Other separation category includes school employees between terms, not likely to return; claimants who are still employed (full time, part time, hours reduced by employer); and cases for which the reason for separation was not provided.

Temporary includes temporary layoff, vacation/holiday shutdown; school employees between semesters or terms, likely to return; on call or temporary status; leave of absence; disciplinary suspension; professional athlete between sports seasons; and disaster related separations.

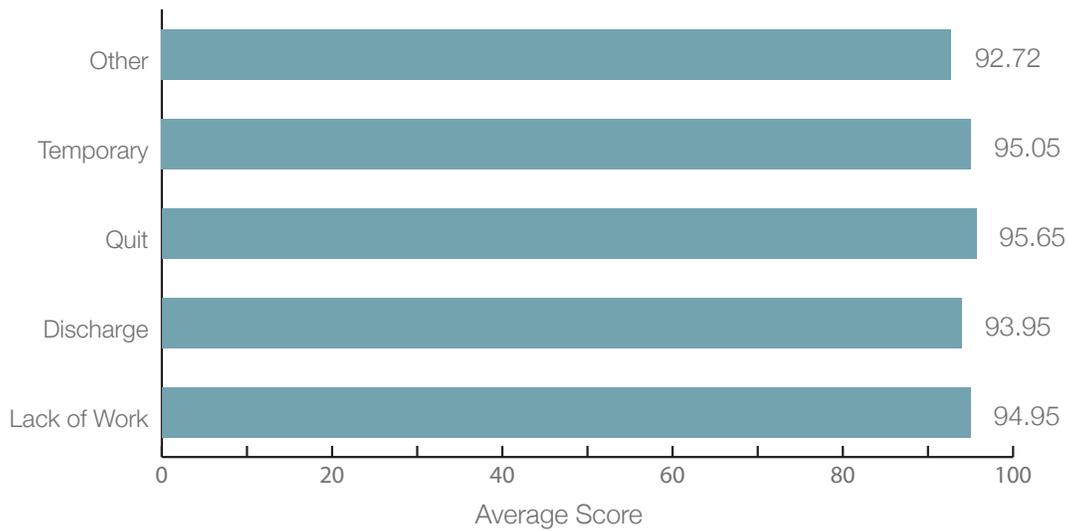
³ Significance was determined using a t-test with $p < .05$; that is, there is less than a 5 percent probability that the difference in sample means was due to sampling error.

CHART 2. SIDES SCORES BY REASON FOR SEPARATION



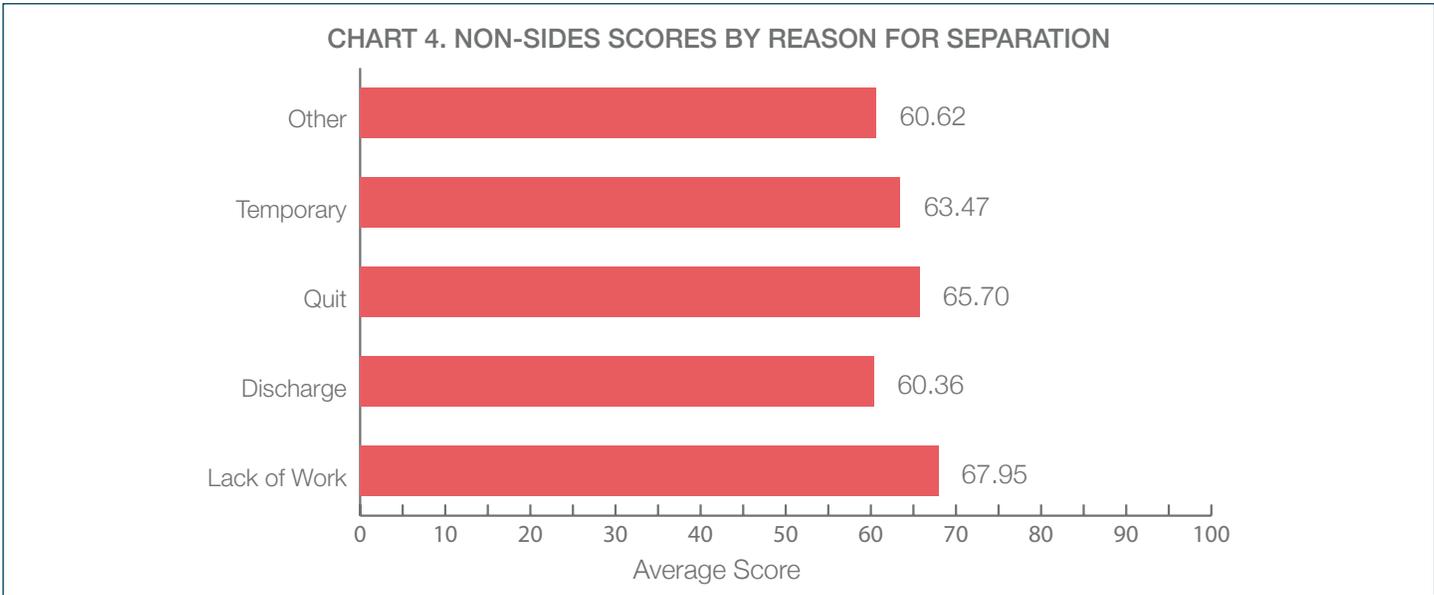
For E-Response the highest average score is for Quit separations (95.65), which is significantly higher than the average scores for both Discharge (93.95) and Other (92.72) separations. The Other separation category has the lowest average score, which is significantly lower than the average scores for all other reasons for separation except Discharge.

CHART 3. E-RESPONSE SCORES BY REASON FOR SEPARATION



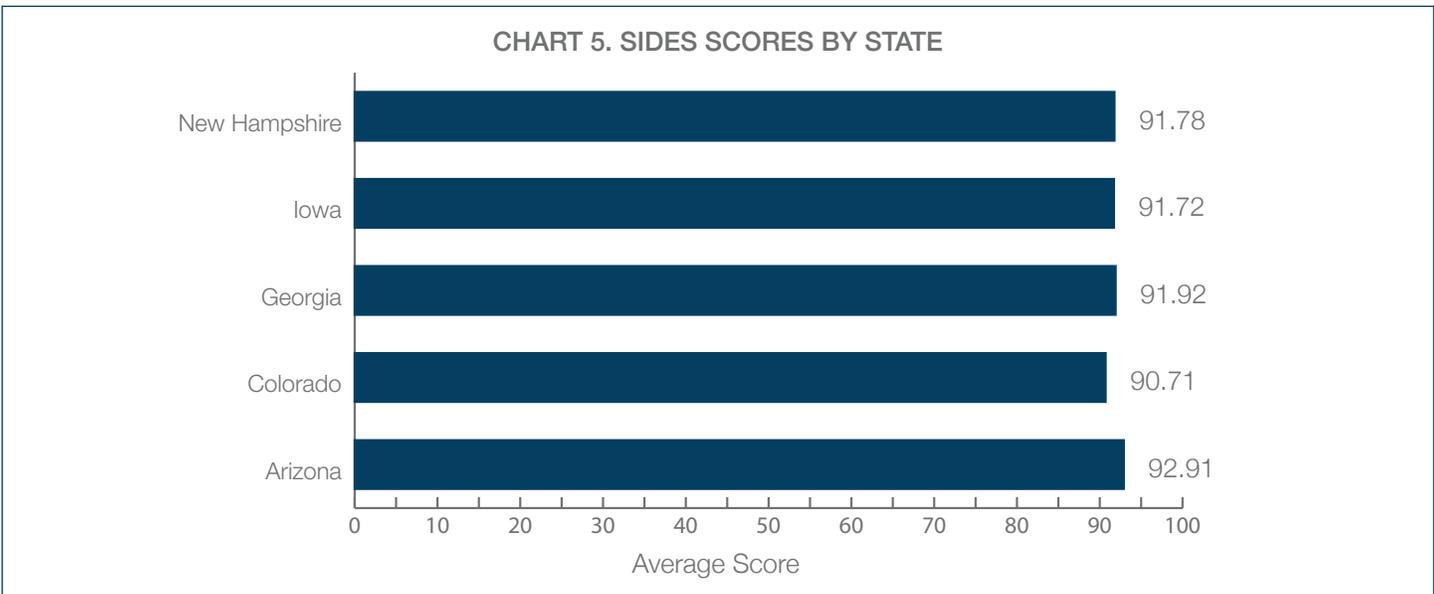
For Non-SIDES employer responses, Lack of Work separations have the highest average quality score (67.95), whereas Other (60.62) and Discharge (60.36) separations have the lowest average quality scores. None of the differences between the reason for separation categories are large enough to be considered statistically significant (at the $p < .05$ level), however the difference between Lack of Work and Discharge (7.59 points) is significant at the more relaxed standard of $p < .10$.

The relatively large variance of the Non-SIDES scores (see below) and the smaller number of Non-SIDES cases that were scored (314) result in larger sampling errors for the Non-SIDES cases. Therefore, the observed differences must be larger than the differences for SIDES and E-Response to be considered significant.

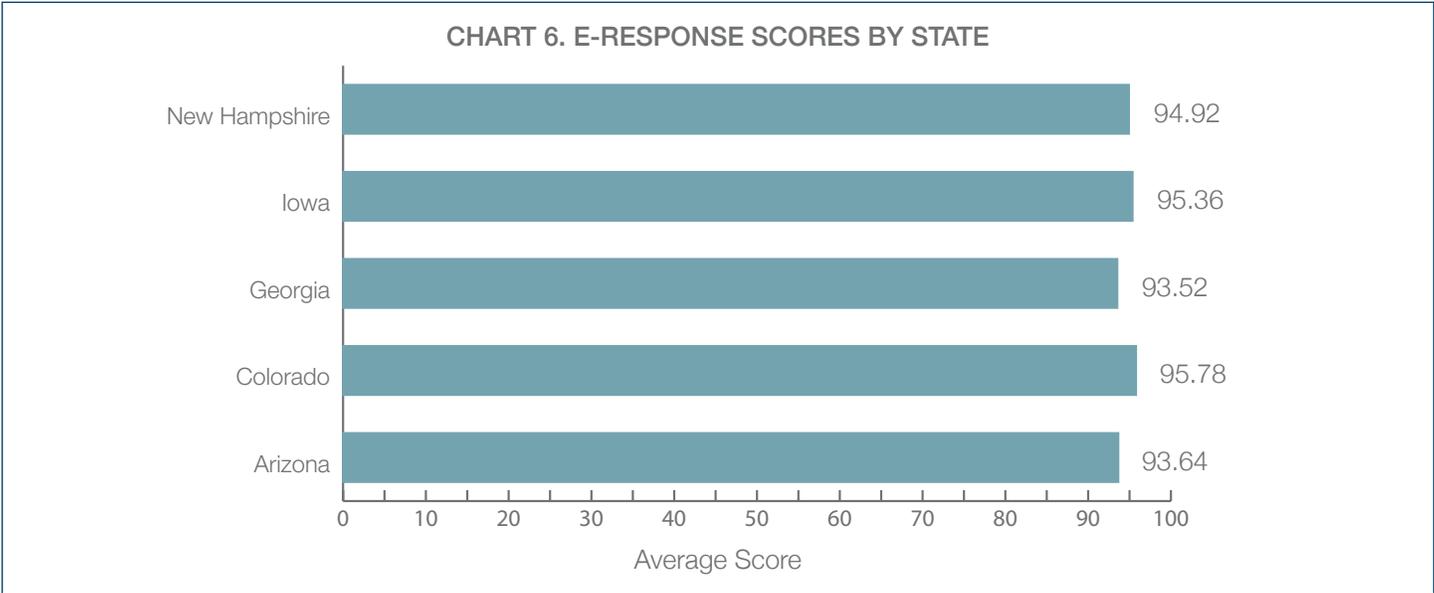


AVERAGE SCORES BY STATE

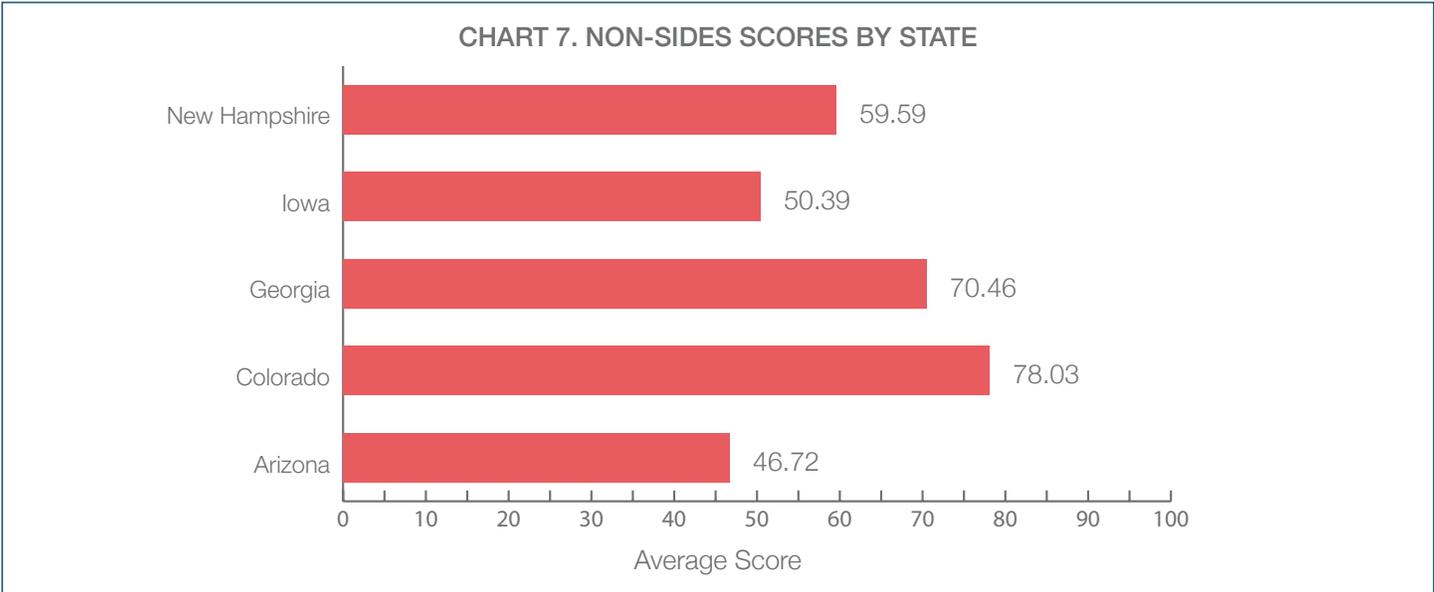
Five states — Arizona, Colorado, Georgia, Iowa, and New Hampshire — participated in the Study. For SIDES employer responses, all state averages are greater than 90, and differences in the average quality scores for these five states for both SIDES and E-Response are generally small. Only the difference in the average scores for Arizona (92.91) and Colorado (90.71) is statistically significant, although barely ($p = .049$).



For E-Response all state average scores exceed 90, and only the difference between the average scores for Colorado (95.78) and Georgia (93.52) is significant ($p = .047$).



However, state scores vary significantly for non-SIDES responses. Arizona reported the lowest quality scores for its non-SIDES employer responses, averaging 46.72. Arizona's average score is significantly lower than all other state averages except Iowa. Colorado reported the highest quality scores, but its average score of 78.03 is significantly below Colorado's average quality scores for both SIDES and E-Response cases.



SCORING DISTRIBUTION AND VARIANCES

Both the absolute and relative variances of both SIDES and E-Response scores are much lower than the Non-SIDES scores variances. Table 4 summarizes the results for the three response types. A measure of relative variance is the coefficient of variation (CV), which equals the standard deviation (square root of the variance) divided by the average. Lower CV's indicate less variable (more compact) data.

TABLE 4. STATISTICAL SUMMARY OF SCORING BY RESPONSE TYPE

Response Type	Average Score	Minimum Score	Maximum Score	Standard Deviation	CV
SIDES	91.75	47.26	100	7.10	0.0773
E-Response	94.64	58.38	100	6.32	0.0668
Non-SIDES	63.34	2.25	100	21.96	0.3467

The following charts illustrate the more compact (less variable) distribution of the scores. Note: the numbers on the vertical axis are the number of cases that fall into each of the score bins.

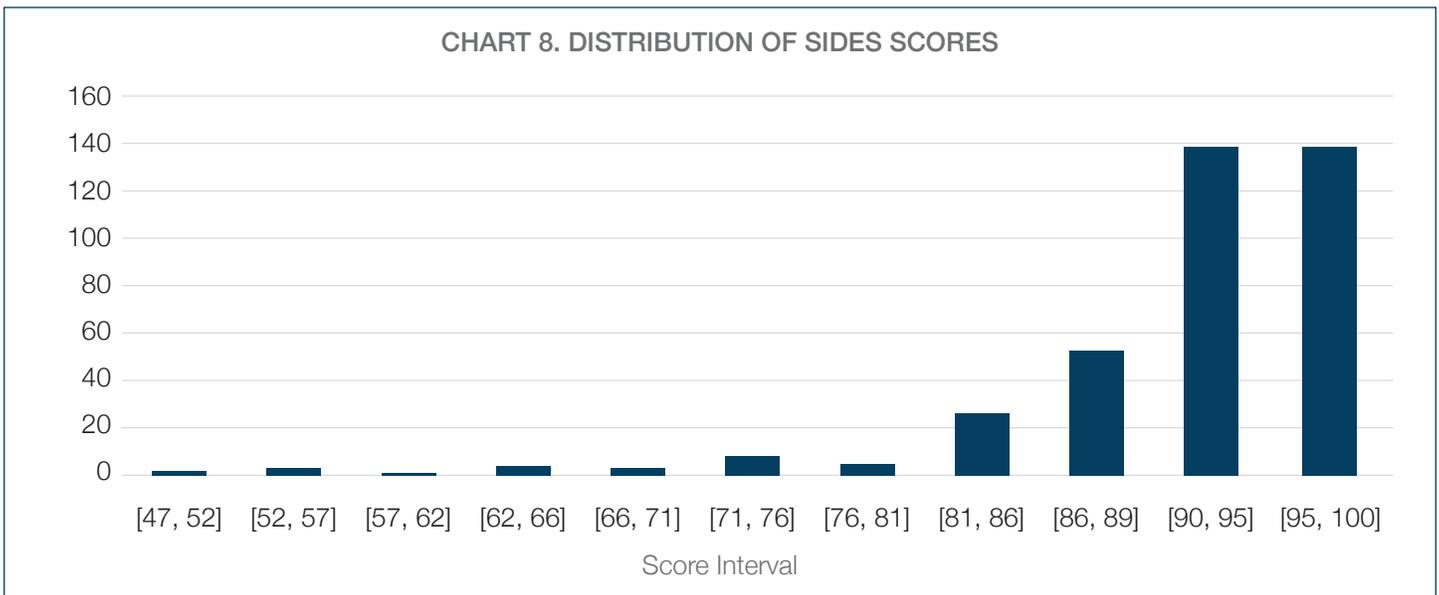


CHART 9. DISTRIBUTION OF E-RESPONSE SCORES

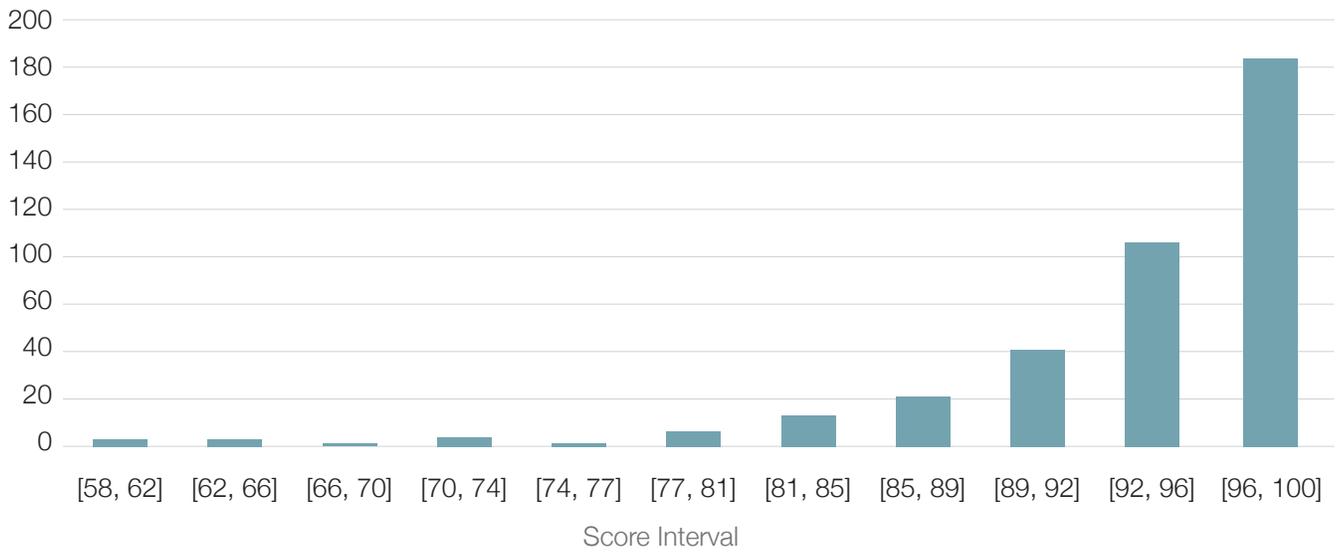
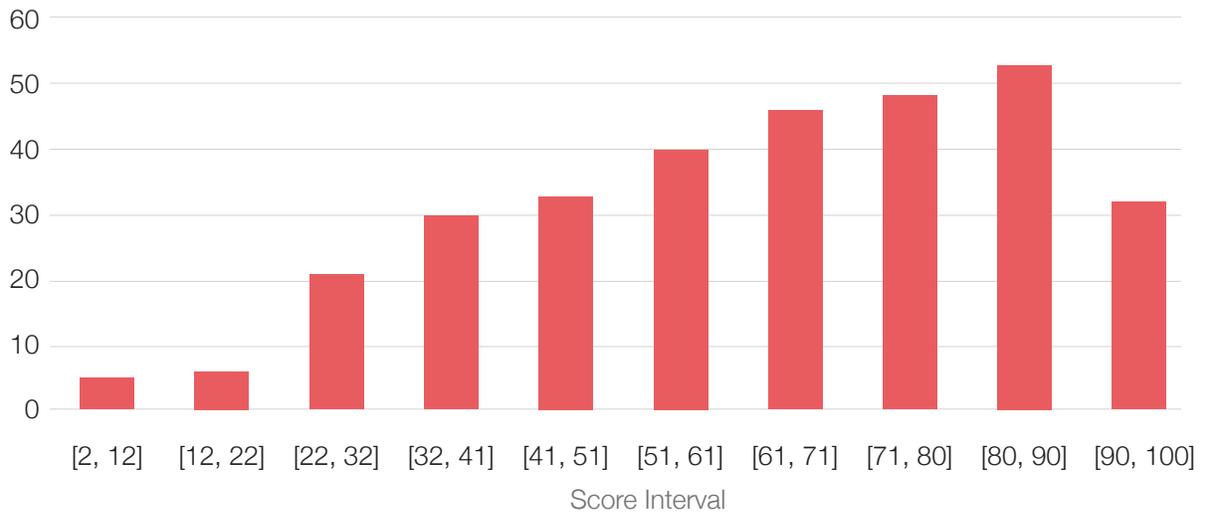


CHART 10. DISTRIBUTION OF NON-SIDES SCORES



REGRESSION ANALYSIS

Regression analysis allows us to estimate the degree to which a particular factor or characteristic affects the outcome, in this case each response's quality score. The general model is $y' = a + b_1x_1 + b_2x_2 + \dots + b_kx_k + e$ where y' is the dependent variable, a is a constant (referred to as the intercept), x_1 through x_k are k independent variables, b_1 through b_k are estimated coefficients, and e is an error term assumed to be normally distributed with a mean of 0 and variance σ^2 .

The model includes binary variables (also referred to as "dummy" variables) for response type (SIDES and E-Response) and reason for separation (Discharge, Quit, Temporary, and Other). For technical reasons, one category from each variable is omitted and is treated as a reference category in the analysis.

The results are summarized in Table 5. The estimated coefficients for both SIDES and E-Response are significant (values in the column "P-value" < .05⁴). On average, an employer or TPA response submitted through SIDES increases the quality score by 28.37 points, compared to a Non-SIDES response (the reference category). E-Responses add an average 31.27 points. This is consistent with the higher average score for E-Response cases compared with SIDES and Non-SIDES responses.

Only Discharge and Other are significant among the reason for separation categories. Compared with Lack of Work (the reference category), an employer response for Discharge separations reduced the quality score by an average 3.46 points, and responses for the Other separation category were 4.93 points lower on average.

TABLE 5. REGRESSION STATISTICS FOR SIDES STUDY SCORES

Regression Statistics						
Multiple R	0.7252					
R Square	0.5259					
Adjusted R Square	0.5232					
Standard Error	13.1303					
Observations	1061					
ANOVA						
	<i>df</i>	<i>SS</i>	<i>MS</i>	<i>F</i>	<i>Significance F</i>	
Regression	6	201585.7633	33597.6272	194.8751	5.7871E-167	
Residual	1054	181715.8308	172.4059			
Total	1060	383301.5941				
	<i>Coefficients</i>	<i>Standard Error</i>	<i>t Stat</i>	<i>P-value</i>	<i>Lower 95%</i>	<i>Upper 95%</i>
Intercept	65.4326	1.4514	45.0838	3.6775E-248	62.5847	68.2805
SIDES	28.3745	1.0059	28.2082	7.0372E-131	26.4007	30.3483
E-Response	31.2701	1.0052	31.1075	2.9966E-151	29.2976	33.2425
DISCHARGE	-3.4574	1.5054	-2.2966	0.0218	-6.4114	-0.5035
QUIT	-0.6244	1.4821	-0.4213	0.6736	-3.5325	2.2837
TEMP	-1.6072	1.6930	-0.9494	0.3427	-4.9293	1.7148
OTHER	-4.9341	1.7555	-2.8107	0.0050	-8.3787	-1.4895

⁴The P-values for the Intercept, SIDES, and E-Response are very small and are expressed as (negative) exponents rather than decimals.

Study Findings/Conclusions

Since SIDES went live in 2010, NASWA has received/heard complaints from states using SIDES that TPAs are providing the same incomplete responses they did via paper and the mail only faster through SIDES. Based on the results of the Study, even the most vocal SIDES detractors admitted the facts do show SIDES is providing more comprehensive information as compared to paper notices through the mail.

The following findings were identified as areas of strength for SIDES and SIDES E-Response:

HIGHER AVERAGE QUALITY SCORES

Employer responses to agency requests for information concerning claimant separation submitted through SIDES or E-Response had significantly higher quality scores compared to employer responses submitted through non-SIDES methods.

In terms of the percentage of quality responses, defined as a response with a quality score of 90 points or more, E-Response performed significantly better than either SIDES or Non-SIDES responses.

TABLE 6. AVERAGE CASE SCORE BY RESPONSE METHOD

Response Method	Average Score for Employer Response
SIDES Web Services	91.75
SIDES E-Response	94.64
Non-SIDES	63.34

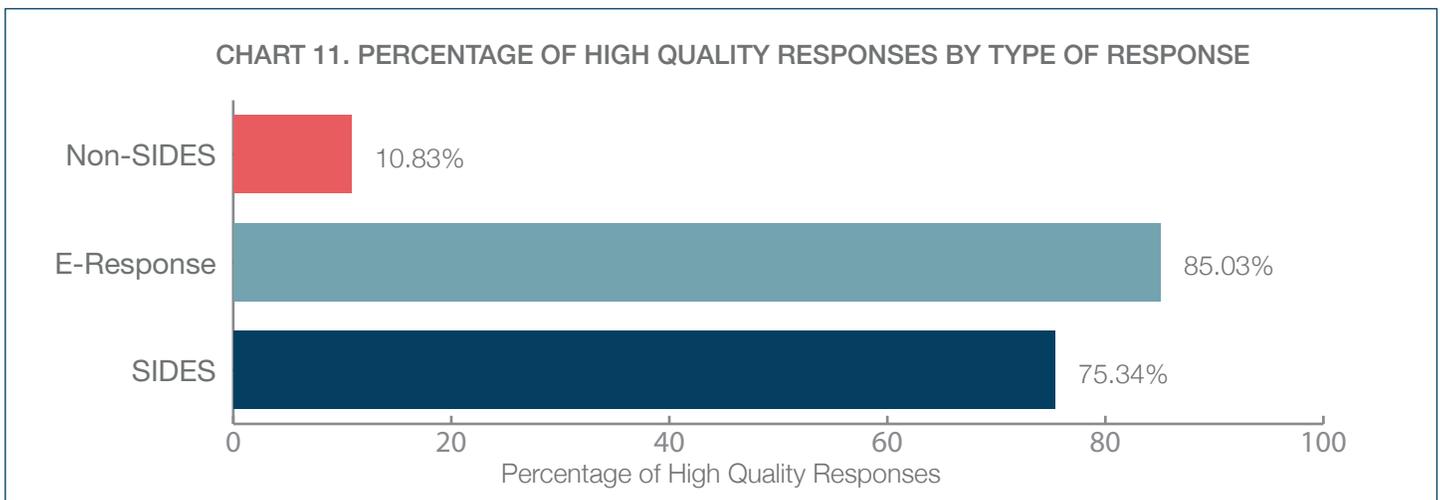
The average quality scores of employer responses submitted through SIDES or SIDES E-Response are significantly higher than the responses submitted through Non-SIDES methods.

The differences between the average quality score for Non-SIDES (63.34) and the average scores for SIDES E-Response (94.64) and SIDES (91.75) are both statistically significant.

HIGH QUALITY RESPONSES

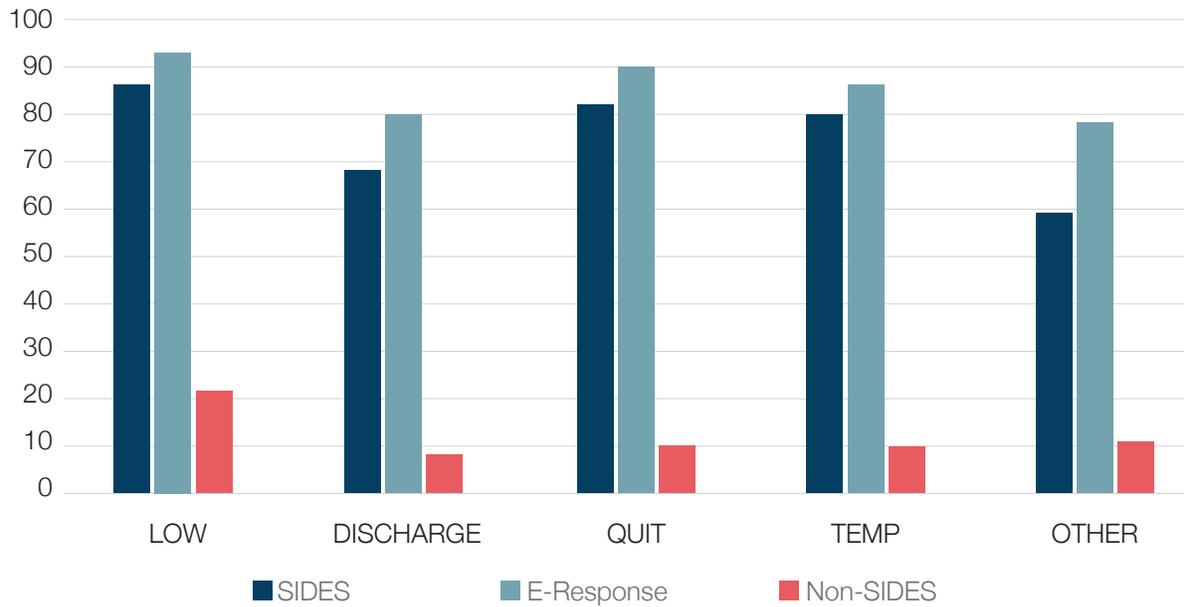
Another way to measure quality is to determine the percentage of responses that can be considered high quality. There is no standard definition of high quality, but for this analysis a high-quality response is defined as a score of 90 or more points.

The following chart shows the comparative percentages of high quality responses for the three response types. Results tend to magnify the differences among the response types that were observed with respect to average scores, with employers using E-Response providing the highest percentage of scores greater than or equal to 90 points (85.03 percent), whereas only 10.83 percent of the Non-SIDES employer/TPA responses met the analytical definition for high quality. All differences between response types are statistically significant.



This pattern is consistent regardless of reason for separation: E-Response yields the highest percentages of quality responses, and Non-SIDES responses lag far behind.

CHART 12. PERCENTAGE OF HIGH QUALITY RESPONSES BY RESPONSE TYPE AND REASON FOR SEPARATION



CONSISTENT CASE RESPONSE SCORES

Case scores for separation information obtained via SIDES Web Services and SIDES E-Response were consistent (90+) across all 5 study states. Regardless of the study state, the average case scores were greater than 90 for both SIDES Web Services and SIDES E-Response.

The Study did not examine how long a study state had been utilizing SIDES and SIDES E-Response or the amount of training provided to employers/TPA in the use of the response systems, but regardless of these potential factors, SIDES and SIDES E-Response demonstrated consistently higher scores.

TABLE 7. AVERAGE CASE RESPONSE SCORES BY STATE/RESPONSE METHOD

Study State	Average SIDES Web Services Score	Average SIDES E-Response Score	Average Non-SIDES Response Score
Arizona	92.91	93.64	46.72
Colorado	90.71	95.78	78.03
Georgia	91.92	93.52	70.46
Iowa	91.72	95.36	50.39
New Hampshire	91.78	94.92	59.59

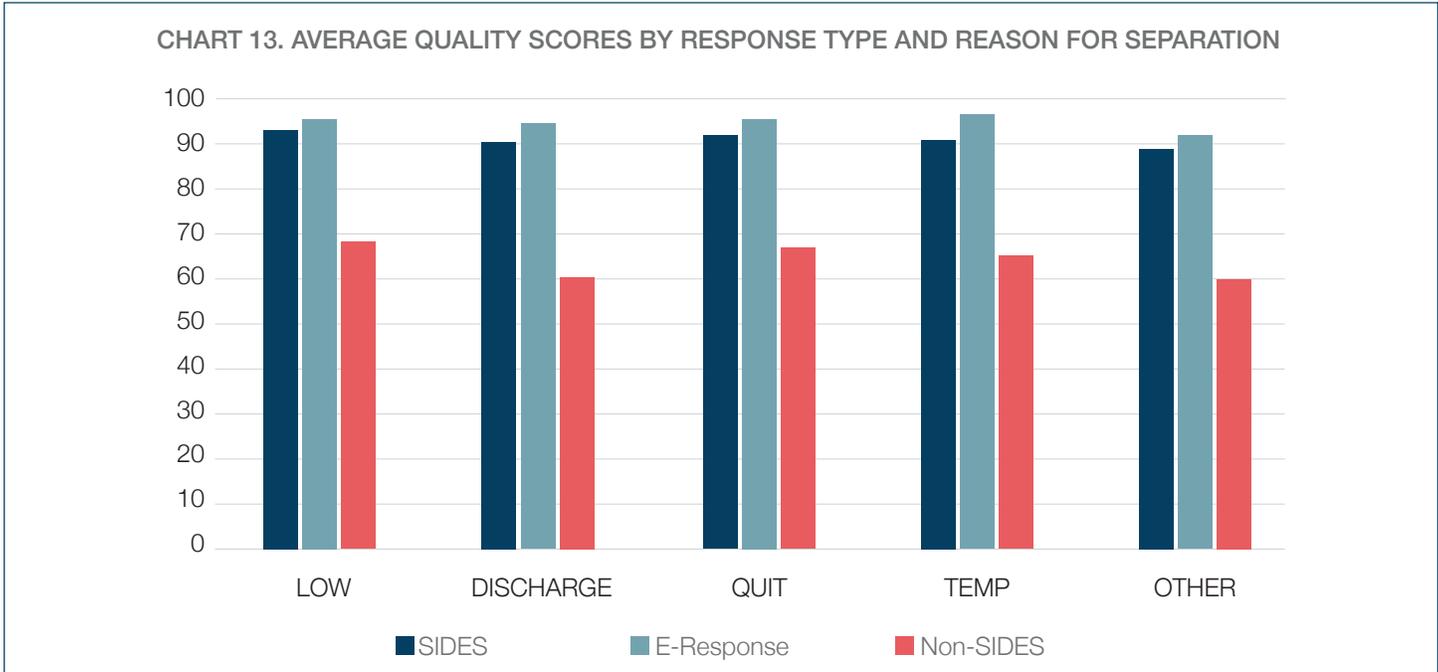
Case scores for SIDES Web Services ranged from 90.71 (Colorado) to 92.91 (Arizona), a difference of 2.2 points, which is statistically significant at the $p < .05$ level.

Case scores for SIDES E-Response ranged from 93.52 (Georgia) to 95.78 (Colorado), a difference of 2.26 points, which is statistically significant. Other differences between average state SIDES E-Response scores are relatively small and not statistically significant.

However, state scores vary significantly for non-SIDES responses. Arizona had the lowest average score for non-SIDES responses (46.72), which is significantly lower than all other state averages except Iowa. While Colorado reported the highest average quality of scores for Non-SIDES responses (79.03), it is significantly below Colorado’s average state quality scores for both SIDES and SIDES E-Response cases.

Overall, in terms of the percentage of quality responses, defined as a response with a quality score of 90 points or more, E-Response performed significantly better than either SIDES or Non-SIDES responses.

Regardless of reason for separation average scores for E-Response were slightly but consistently greater than average scores for SIDES. Scores for Non-SIDES responses were significantly lower than either SIDES or E-Response, as shown in the chart below:



HIGHER RESPONSE RATE

Response rates for SIDES and SIDES E-Response separation requests were higher than Non-SIDES separation requests across all separation types as shown below in table below:

TABLE 8. EMPLOYER RESPONSE RATES BY SEPARATION TYPE

Employer Response Method	Total Employer Response Rate (%)	LOW Response Rate (%)	Discharge Response Rate (%)	Voluntary Quit Response Rate (%)	Temporary Response Rate (%)	Still Working Response Rate (%)	Other Response Rate (%)
SIDES	100%	100%	100%	100%	100%	100%	100%
E-Response	99.00%	100%	100%	100%	98.18%	100%	100%
Non-SIDES	81.68%	58.82%*	87.72%	89.47%	93.33%	100%	79.17%

*Low response rate may be attributed to state specific policies/laws, which do not require an employer response for LOW claims.

Both SIDES and E-Response had a 100 % response rate from employers (regardless of state requirements for employer response for LOW claims) versus 58.82 % response rate for Non-SIDES.

The high response rates for SIDES/E-Response LOW (100 %) cases is an important finding for the following reasons:

Information Provided

Even though some states inform employers that a response is not always required for LOW separations for E-Response and non-SIDES notices (a response is always required for employer/TPAs using SIDES web services), an employer response to LOW claims still provides Provider Information, Key Dates and Remuneration information. While the ‘Average Total Case Score’ was significantly lower for Non-SIDES (67.95) than both SIDES (93.41) and SIDES E-Response (94.95) LOW cases, useful case information was obtained when the employer responded versus LOW cases with no response by employer.

Separation Reason Validated

Requiring an employer to respond provides the employer an opportunity to validate or refute the claimant's reason for separation. Encouraging employers to respond to all notices takes the guess work out of which notices need response i.e. separation, Notice to Base Period Employer, Fact-Finding questionnaires, etc. Often the separation reason provided by the claimant will be refuted by the employer. Refer to Table 13 Misclassification Rate, below.

Improper Payment Prevention

As stated in ET Handbook 301, revised July 2005, "The employer's failure to respond to a notice of initial claim filing does not absolve the SWA from further investigation." So regardless of the employer's non-response, the agency must conduct fact-finding if at the time of claim filing the separation indicates an issue exists. Failing to obtain an employer response for separation information for the claim filing increases the state's risk of an improper payment because of inadequate information, especially remuneration details and the employer's reason for separation. Of the 51 non-SIDES LOW cases submitted for the study, 41.18 % (21 cases) did not receive any employer response.

STANDARDIZED SEPARATION REQUESTS

Both SIDES and SIDES E-Response provided consistent standardized separation requests, regardless of the separation reason provided by the claimant. SIDES and SIDES E-Response are web based systems that ask a series of specific questions for all separation types. Using SIDES or SIDES E-Response, employers are always provided the opportunity to respond to questions appropriate to the separation based upon the employer's response. Every employer was provided consistent questions regardless of the separation reason provided by claimant or employer, thus providing the best starting point for fact-finding should the claimant and employer information differ.

Two of the study states sent additional questionnaires based upon the separation reason provided by the claimant. If the employer refuted the claimant's reason for separation, the appropriate separation questions would not be asked during the Non-SIDES initial separation request and would require additional contact with the employer to begin the fact finding from the beginning or provide the appropriate questionnaire for completion based on the employer's reason for separation.

Two other study states offered a check box for the employer to indicate the reason for separation, i.e. discharged, quit, etc., or claimant voluntarily quit without good cause attributable to the employer, discharged for misconduct connected to the work. However, specific questions, pertaining to the separation, were not addressed. Again, additional contact with the employer was required to conduct further fact finding to address the reason for separation. Only one of the study states gave the employer the opportunity to respond to questions pertaining directly to the separation reason in Non-SIDES request.

RESPONSE CLARITY

Both SIDES and SIDES E-Response require definitive answers from the employer/TPA for separation issue questions. For example, the question regarding remuneration is standard in both SIDES and SIDES E-Response and requires either a definitive "yes" or "no" response. If the employer indicates "YES" to initial remuneration questions, then additional remuneration questions are asked by the system.

For non-SIDES separation requests, there is not a clear indicator to show whether there is or is not any remuneration. The question of remuneration may be left blank for a Non-SIDES request, leaving the state to assume the employer intentionally left blank (meaning there was no remuneration). Periodically, an employer/TPA indicated "NO" remuneration by N/A in the remuneration section, but not consistently.

For the majority of non-SIDES study cases, the remuneration section was left blank. Colorado was the only study state in which a specific "yes" or "no" question regarding whether there was any remuneration was provided. "Did you pay this person vacation pay, wages in lieu of notice, or any other payment because his or her employment ended? (Do not include information about this person's final wages. Yes___ No___.)"

COMPLETENESS OF SEPARATION INFORMATION

Separation Responses were broken down into four components for the Study and case evaluation purposes. Scoring tools were developed and consisted of four areas/components of separation information:

Preparer Information (5 % of Total Weighted Score)

This scoring component was the same for all separation requests in the Study and consisted of information regarding the person/company completing the separation requests. Refer to Scoring Tools Component #1: Provider/Preparer in Attachment C, page C-1.

Key Date Information (5 % of Total Weighted Score)

Key Date scoring component was also the same for all separation requests and consisted of dates relevant to separation (first day worked, last day worked) and return to work dates, if applicable. Refer to Scoring Tools Component #2: Key Dates in Attachment C, page C-2.

Remuneration (45 % of Total Weighted Score)

Remuneration scoring component was the same for all separation requests and consisted of all forms of remuneration, including questions to determine the average number of hours worked, average weekly wage and total wages earned after the claim effective date. Refer to Scoring Tools Component #3: Remuneration in Attachment C, page C-3.

Separation Facts (45 % of Total Weighted Score)

Separation scoring components varied depending on the type of separation indicated by the employer and consisted of questions pertinent to a particular type of separation, i.e. Discharge, VQ, etc. Five different separation scoring components were used to evaluate Study cases. Refer to Scoring Tools Component #4: Discharge, VQ, Temporary, Still Working and Other in Attachment C, page C-6.

The following table illustrates the weights of each of the scoring components separately and the impact each component has on the total case score.

Scores for Non-SIDES cases were lower for all four scoring components, Provider, Key Dates, Remuneration and Separation Information.

While both the Provider and Key Dates components are lower for Non-SIDES, they only contribute 5 % of the total weighted case score, whereas Remuneration and Separation Information components each contribute 45 % of the total weighted case score. Non-SIDES scores were significantly lower for both Remuneration and Separation Information scoring components, the two components with the greatest weight/influence on the total case score.

Overall, E-Response scores were higher across all scoring components, with significantly higher scores for discharge separations.

Average scores for the Separation component shown in the table below are only for discharge separations and voluntary quits which have the highest likelihood of improper payments.

TABLE 9. BREAK-DOWN OF SCORING COMPONENTS

Employer Response Method	Average PROVIDER* Score	Average KEY DATES* Score	Average REMUNERATION* Score	Average DISCHARGE SEPARATION** Score	Average VQ SEPARATION** Score
SIDES	99.68	95.70	87.92	78.42	96.61
E-Response	99.94	96.05	94.46	86.62	97.11
Non-SIDES	87.45	80.58	63.27	51.58	64.96
Weight	.05	.05	.45	.45	.45

*Includes all separation types.

**Includes only discharge and VQ separation scores as the Separation Component varies based upon the type of separation.

PROVIDER INFORMATION (SCORING COMPONENT #1)

Having the name and contact information for the individual who will provide the necessary information for separation and remuneration is important to the fact-finding process. Contact may be made with the individual responsible for providing the information thus reducing the time spent trying to retrieve information. Refer to Attachment C, page C-1.

TABLE 10. PROVIDER INFORMATION (SCORING COMPONENT #1)

Employer Response Method	% Provided Type of Preparer	% Provided Contact /Name of Preparer	% Provided Title of Preparer	% Provided Preparer Telephone Number	Average Calculated Raw Score (0-100) for PROVIDER Component
SIDES	100%	99.70%	99.23%	99.70%	99.68
E-Response	99.85%	100%	99.50%	100%	99.94
Non-SIDES	89.74%	89.30%	87.99%	86.00%	87.45

Nearly all SIDES and E-Response respondents provided complete provider information (type, name, title, and telephone number of the preparer). Non-SIDES responses lagged behind both SIDES and E-Response, although nearly 90 percent of the employers submitting through Non-SIDES methods provided the requested information.

Provider Information (Scoring Component #1), contributed 5% of the total weighted case score. Nearly all employer/TPA responses submitted through SIDES and E-Response included all the requested preparer information and received nearly perfect scores, whereas over 10 percent of the Non-SIDES responses lacked one or more of the requested preparer items.

KEY DATES INFORMATION (SCORING COMPONENT #2)

While the first date of work is important to assure that the claimant qualifies based on a state's law, the last date worked is required to ensure proper payment and to establish how long after an incident an individual was allowed to work. Establishing this timeline lends credence to the final reason for separation.

Both SIDES and SIDES E-Response asked the employer/TPA for both the "First Day of Work" and the "Last Day of Work". For non-SIDES, two of the study states did not ask the employer/TPA to provide the "First Day of Work". All five of the study states asked the employer/TPA for the "Last Day of Work". Refer to Attachment C, page C-2.

TABLE 11. KEY DATES INFORMATION (SCORING COMPONENT #2)

Employer Response Method	% Provided First Day of Work	% Provided Last Day of Work	% of Return to Work Dates Provided*	Average Calculated Raw Score (0-100) for Key Dates
SIDES	90.72 %	97.56 %	95.43 %	95.70
E-Response	79.82 %	99.10 %	97.89 %	96.05
Non-SIDES	60.26 %	78.60 %	90.17 %	80.58

*Includes N/A case responses i.e., no return to work date is required.

Key Date Information (Scoring Component #2), contributed 5% of the total weighted case score. SIDES and E-Response key date information was on average more complete than the key date information provided by employers/TPAs through Non-SIDES methods. Compared with SIDES, a smaller percentage of E-Response submissions included information on the claimant's first day of work (79.82 % versus 90.72 %), although E-Response had a slightly higher average raw score (96.05) compared with SIDES (95.70) due to higher percentages of E-Response cases that included information on the last day of work and the return to work date. Although the average score for Non-SIDES responses (80.58) lagged behind both SIDES and

E-Response, over 90 percent of the employers responding through Non-SIDES methods provided information on the claimant's return to work date.

REMUNERATION INFORMATION (SCORING COMPONENT #3)

One major cause of improper payments identified is remuneration received during the established benefit year (BYE earnings). From CY 2015 3rd Quarter to CY 2016 2nd Quarter an estimated \$67,877,374 in benefits were overpaid as a result of the receipt of Severance, Vacation, SSI and Pension, of which \$8,736,251 was classified as fraud. These data are based on the results of the U. S. Department of Labor's Benefit Accuracy Measurement (BAM) survey (<https://workforcsecurity.doleta.gov/unemploy/bqc.asp>).

According to BAM data, for approximately one-third of the overpayments attributable to remuneration issues either the employer/TPA did not respond to state workforce agency requests for information concerning the claimant's separation or the agency did not request the information. Employers/TPAs provided either inadequate or untimely information for an additional 15 percent of the remuneration overpayments.

In the study findings, SIDES and E-Response obtained higher quality remuneration scores than Non-SIDES responses as shown in Table 12 below.

Both SIDES and E-Response request extensive remuneration information and specifically require definitive responses ("yes" or "no" indicators) regarding any type remuneration on or after the last date of work. Types of remuneration requested by SIDES and E-Response includes:

- » Severance
- » Separation Pay
- » Vacation
- » Holiday
- » Profit Sharing
- » Wages in Lieu of Notice
- » Back Pay
- » Bonus Pay
- » Residual Pay
- » Commissions
- » Sick Pay Disability
- » Pension
- » Not Listed Above

For any sources of remuneration identified ("Yes") in SIDES and E-Response, additional questions regarding allocation of remuneration are provided, i.e. beginning and ending date, frequency, amount per period and date(s) of payment. Refer to Attachment C, page C-3 for the Remuneration Component Scoring Tool used to evaluate remuneration information provided in the study cases.

In addition to other sources of remuneration, pension information is required by SIDES and SIDES E-Response and includes questions regarding whether the retirement pension is mandatory, percent of contribution by employee and pension comments. For non-SIDES, two of the study states (Arizona and Iowa) did not require any pension information, and of the remaining study states only Georgia asked if the pension was mandated and what percent of the pension was contributed by the employer.

While all five of the study states requested some general remuneration information, only one state required a definitive response ("yes"/"no") from the employer regarding remuneration. Allocation details were not requested by Non-SIDES and pension information was not required by two of the study states. Of the three study states in which pension information was requested, only one of the study states required the employer to indicate whether the pension was mandatory and the percent contributed by the employee.

In the study, remuneration information (Scoring Component #3), contributed 45% of the total weighted case score.

TABLE 12. REMUNERATION INFORMATION (SCORING COMPONENT #3)

Employer Response Method	% Provided Remuneration Information*	% Provided Average # of Hours Worked per Week	% Provided Average Weekly Wage	% Provided Total Wages after Effective Date of Claim	Average Calculated Raw Score for Remuneration Information Component
SIDES	91.48 %	8.22 %	3.96 %	23.44 %	87.92
E-Response	97.44 %	73.49 %	72.74 %	67.77 %	94.46
Non-SIDES	51.97 %	30.57 %	34.06 %	14.41 %	63.27

*Includes cases where remuneration is not applicable (no remuneration to report).

As shown in the above table, the employer response rates regarding remuneration information were strong for both SIDES (91.48%) and E-Response (97.44%) with Non-SIDES (51.97%) significantly lower.

The low response rate (51.97%) for Non-SIDES remuneration responses may be attributed to a lack of clarity by the employer/TPA response. Remuneration information was not clearly indicated and remuneration fields were left blank versus a definitive response that remuneration was not applicable, etc. Only one state required the employer/TPA to indicate “Yes” or “No” regarding remuneration.

Both SIDES (23.44%) and Non-SIDES (14.41%) had low response rates for ‘Total Wages after Effective Date of Claim’ while E-Response (67.77%) delivered the highest response rate.

Two areas of note were the response rates for ‘Average # of Hours Worked per Week’ and ‘Average Weekly Wage’ information in which SIDES response rates were substantially lower than either E-Response or Non-SIDES response rates. On most other characteristics, SIDES and E-Response are similar. This is an outlier that merits post-study discussion.

SEPARATION REASON INFORMATION (SCORING COMPONENT #4)

Because it is advantageous to obtain and document as much separation information as possible during the initial contact with the employer while events are new and fresh, providing the correct separation requests and questions during the initial separation request is essential. This information includes who, what, when, where and why information. Refer to Attachment C, page C-6.

Discrepancies involving separation reasons (claimant versus employer), were identified as a major disadvantage for Non-SIDES separation requests for the following reasons:

Incorrect Initial Fact-Finding Questions

In many cases initial Non-SIDES fact finding questions were provided to the employer based on the claimant’s reason for separation. Once the employer indicated a different separation reason than the claimant, the questions asked on the notice sent were no longer applicable. It was then necessary to send an additional fact finding request to the employer based on the employer provided separation reason.

Disputed Separation Reason (Misclassified)

For study purposes, separation responses were evaluated based upon the employer provided reason for separation. Claimant provided separation reasons are often refuted by the employer as shown in the table below:

TABLE 13. MISCLASSIFICATION* RATE
 (*Claimant and Employer Separation Reasons are Different)

Response Method	# of Cases Scored	# of Cases Misclassified (Disputed Separation Reason)	% of Misclassified Cases	Average Calculated Total CASE Scores for Misclassified Cases	Average Calculated Total CASE Scores for ALL Study Cases (Includes Misclassified Cases)
SIDES	373	6	1.61%	84.07	91.75
E-Response	374	12	3.21%	81.36	94.64
Non-SIDES	314	53	16.88%	54.93	63.34

The above Table indicates the number of cases in which the employer separation reason did not match the claimant separation reason. This does not include study cases submitted as ‘Other’ separation reasons, scored as ‘Still Working’ nor does it include study cases submitted as ‘LOW’ separations, scored as ‘Temporary’. Cases in which the claimant and employer did not agree on the reason for separation provided lower average case scores regardless of the method of response.

Although the E-Response cases have the highest average score for all study cases (94.64), the average score for misclassified cases is slightly higher for SIDES responses (84.07), compared with E-Response (81.36). It should be noted, however, that relatively small numbers of SIDES and E-Response cases were misclassified, so this difference cannot be considered significant.

Misclassification along with low employer response rates for Lack of Work (LOW) separation cases were also identified as a disadvantage for Non-SIDES cases as illustrated in Table 14 below.

TABLE 14. LOW SEPARATIONS-MISCLASSIFICATION AND RESPONSE RATE

Employer Response Method	Number of LOW Study Cases Submitted	Number of LOW Cases with No Response*	Employer Response Rate (%)	Number of Misclassified LOW Cases**	Misclassified LOW Cases** (%)	Average Calculated Raw Score for “LOW” Separation Information	Average Total Case Score for LOW Cases
SIDES	35	0	100 %	2	5.71 %	100	93.41
E-Response	35	0	100 %	4	11.43 %	100	94.93
Non-SIDES	51	21	58.82 %	11	36.67%	88.95	67.95

*Not all states require an employer response for a claim filed due to LOW (per claimant). Cases with ‘No Response’ were removed from the study.

**Cases submitted as LOW (per claimant), later determined to be a different separation reason based on employer response. Cases for the study were scored based upon the separation reason provided by the employer.

SIDES and E-Response obtained a higher response rate than Non-SIDES for LOW cases. Both SIDES and E-Response had a 100 % response rate from employer (regardless of state requirements for employer response for LOW claims) versus 58.82 % response rate for Non-SIDES.

The high response rate for SIDES/E-Response LOW cases is an important finding for the following reasons:

A. Information Provided

Even though separation information is not always required for LOW claims, an employer response to LOW claims can also include Provider Information, Key Dates and Remuneration information. While the ‘Average Total Case Score’ was significantly lower for Non-SIDES than both SIDES and E-Response LOW cases, useful case information was obtained when the employer responded versus cases with no employer response.

B. Separation Reason Validated

Requiring an employer to respond provides the employer an opportunity to validate or refute the claimant’s reason for separation. Often the separation reason provided by the claimant will be refuted by the employer. Based on the study findings, 36.67 % of Non-SIDES LOW cases were refuted by the employer response.

C. Improper Payment Prevention

Failing to obtain an employer response for separation information for the claim filing increases the state’s risk of an improper payment because of inadequate information, especially remuneration details and the employer’s reason for separation. Of the 51 non-SIDES LOW cases submitted for the study, 41.18 % (21 cases) did not receive any employer response. Applying the misclassification rate (%) shown in the table above to the 21 non-SIDES LOW cases with ‘No Response”, we could expect another 7.70 cases to be misclassified (incorrect separation reason or refuted by employer).

Both SIDES and SIDES E-Response have the ability to address all separation reasons and provide additional questions pertinent to the employer provided separation reason during the initial separation requests.

PROBABILITY OF OVERPAYMENT BY SEPARATION REASON

Based upon the *Overpayment Probabilities by Type of Separation* as outlined in the Study Sampling Methodology (Refer to Attachment A), Voluntary Quits have the highest likelihood of a separation overpayment, followed by Discharges. The remaining separation reasons, LOW, Temporary, and Other (Includes Still Working), are below the average of probability.

For this reason, we examined the Separation Information Raw Component Score for Voluntary Quits and Discharges to highlight areas of strength identified for these separation reasons.

DISCHARGE SEPARATION INFORMATION

TABLE 15. DISCHARGE SEPARATION INFORMATION

Employer Response Method	Total Number of 'Discharge' Study Cases	Number of Discharge Cases with 'No Response'	Employer Response Rate (%)*	Average Calculated Raw Score for 'Discharge' Separation **	Average Total Case Score for Discharge Cases**
SIDES	110	0	100 %	78.42	91.11
E-Response	110	0	100 %	86.62	93.95
Non-SIDES	114	14	87.72 %	51.58	60.36

*Based upon total number of discharge cases provided for the Study.

**Score is calculated based on the number of cases in which the employer provided a response.

Separation information (Scoring Component #4), contributed 45% of the total weighted case score.

DISCHARGE AND FINAL INCIDENT FACTS

Discharge for misconduct connected to the work is cause for disqualification. The fact finder must gather or attempt to gather all facts before an eligibility decision can be made. To do this the last incident which led to the discharge must be examined. Often there is a long list of items as to what the claimant has “done wrong” provided by the employer, but information must be gathered to pinpoint what happened that caused the employer to discharge the claimant on that specific date. The discharge must be reasonably related in time to the incident causing the separation.

Both SIDES and SIDES E-Response required ‘Final Incident’ dates in addition to “Last Day Worked”, for discharge cases, which may or may not be the same date.

Final incident information is summarized in Table 16 below. Approximately 90 percent of responses submitted through E-Response provided information on the final incident date and included a final incident statement, the name of person who discharged the claimant, and reason for discharge. SIDES responses included final incident date and statement information at roughly the same rates as E-Response submissions, but the percentage of employers / TPAs that provided the name of the person discharging the claimant was significantly lower (71.82%) than E-Response (89.92%). However, a higher percentage of SIDES response (96.52%) included the reason for discharge, compared with E-Response (89.15%). Fewer than half of the employers / TPAs submitting non-SIDES responses included final incident information, especially date and discharging person information.

TABLE 16. FINAL INCIDENT INFORMATION

Employer Response Method	Number of Discharge Cases Scored*	% Provided 'Final Incident' Date	% Provided 'Final Incident' Statement	% Provided Name of Person Who Discharged Claimant	% Provided Discharge Reason
SIDES	115	92.17%	89.57%	71.82%	96.52%
E-Response	129	90.70%	90.70%	89.92%	89.15%
Non-SIDES	101	37.62%	49.50%	28.71 %	71.29%

*Cases scored as discharge based upon employer reason for separation.

Being able to identify the reason the claimant was discharged allows the state to focus their additional fact finding efforts on the specific information required by the discharge reason.

DISCHARGE AND PRIOR INCIDENT INFORMATION

As noted previously, to issue a proper determination the final incident must be examined. Often the final incident standing alone would not meet the definition of misconduct, but when added to previous infractions and/or warnings can show a disregard for the employer’s best interest.

Once an employer/TPAs indicates the claimant was discharged, using SIDES or SIDES E-Response, the prior incident question is *always* asked. Prior incident questions for non-SIDES initial separation requests for the study states were not always asked. Refer to Table 17 below for a break-down of ‘Prior Incident’ question response rates.

During the Study, it was noted that employers/TPAs provided ‘Prior Incident’ information via SIDES and SIDES E-Response in three different manners:

- 1) 1. Employer/TPA indicated “YES” (1+ incidents) to ‘Prior Incident’ question, additional ‘Prior Incident’ questions were provided by the SIDES/E-Response system and the employer/TPA provided ‘Prior Incident’ information.
- 2) 2. Employer/TPA indicated “NO” (0 incidents) to ‘Prior Incident’ question, additional ‘Prior Incident’ questions were NOT provided by the SIDES/E-Response system BUT the employer/TPA provided ‘Prior Incident’ information via comments/attachments.
- 3) 3. Employer/TPA indicated “NO” (0 incidents) to ‘Prior Incident’ question and no ‘Prior Incident’ information was provided.

As shown in Table 17 while approximately 95 percent of employer / TPA responses submitted through SIDES and E-Response provided prior incident information, fewer than half of the employers / TPAs submitting non-SIDES responses included prior incident information.

TABLE 17. PRIOR INCIDENT INFORMATION

Employer Response Method	Number of Discharge Cases Scored	% of Discharge Cases Prior Incident Question Asked	% of Cases Prior Incident Information Provided*
SIDES	110	100 %	94.78 %
E-Response	129	100 %	95.35 %
Non-SIDES	101	48.51 %	47.52 %

*Includes discharge cases where employer/TPA indicates “NO” (0 prior incidents), and no prior incident information provided (N/A).

DISCHARGE AND VIOLATION OF COMPANY POLICY INFORMATION

If the employer alleges that a policy, law, rule or regulation was broken, specific information about the infraction must be documented. This allows for specific information to address with the claimant. Both SIDES and SIDES E-Response require a response to the question of ‘Violation of Company Policy’ for all discharge reasons except for the separation reason ‘Not Qualified/Inadequate Performance’.

VOLUNTARY QUIT (VQ)

Voluntarily leaving work without good cause connected to the work is reason for disqualification in many states. However, there are some states which allow benefits if it is established there were personnel compelling reasons or non-work-related reasons. To properly pay benefits all reasons must be examined.

TABLE 18. VOLUNTARY QUIT SEPARATION INFORMATION

Employer Response Method	Total Number of VQ Cases Scored	Number of VQ Cases with 'No Response'	Employer Response Rate (%)	Average Calculated Raw Score for "VQ" Separation Information	Average Total Case Score for VQ Separations
SIDES	129	0	100 %	96.61	92.89
E-Response	130	0	100 %	97.11	95.65
Non-SIDES	110	23	89.47 %	64.96	65.70

Employer responses submitted through SIDES and E-Response received high quality scores for voluntary quit separations, with average case scores of 92.89 and 95.70 respectively. For non-SIDES nearly 10 percent of employers failed to respond to requests for information for voluntary quit separations, and the quality of responses was significantly lower than the SIDES / E-Response information.

Areas of Concern Identified for SIDES Web Services and SIDES E-Response

Upon completion of scoring for all Study cases, the following areas were identified as being areas of concern for SIDES and E-Response:

» **Acceptance of non-SIDES Responses**

Study states which have implemented both SIDES and SIDES E-Response are still accepting non-SIDES responses from employers/TPAs. This Study has demonstrated statistically significantly higher quality scores for responses provided via SIDES and SIDES E-Response versus non-SIDES.

» **The Use of Additional State Specific Questions**

All state agencies have the ability to add additional questions to both SIDES and SIDES E-Response separation requests; however, only one state (Georgia) attached additional questions/forms to SIDES or SIDES E-Response requests.

While New Hampshire did not attach additional questions to SIDES or E-Response, they provided their state specific (non-SIDES) fact-finding questions/forms based upon the claimant's reason for separation to the employer along with the notice of claim filing. The employer was instructed to use E-Response, but often chose to submit via paper/non-SIDES.

Other additional questions added to SIDES or E-Response, identified during the Study, were added by TPAs and were included in the comment section of the separation requests. Refer to Attachment D examples of additional questions provided by TPA's.

» **Prior Incident Information**

Some employers/TPAs are not using the prior incident section as designed. Employers/TPAs indicated "0" or "no" prior incidents, but then provided details and/or documentation regarding prior incidents. This allowed the employer/TPA to by-pass remaining prior incident questions required by SIDES and SIDES E-Response.

» **Remuneration Provided in Comment/Attachment Section**

Improper use of the remuneration section of SIDES and E-Response by Employers/TPAs was identified in the Study analysis as shown in Table 19. below. Employers/TPA's using SIDES or E-Response responded "NO" to the initial remuneration question, "Did/Will the claimant receive any compensation on or after the last day of work?" but provided remuneration information in the comment/attachment sections. This allowed the employer/TPA to by-pass all remaining remuneration questions required by SIDES and SIDES E-Response.

Additionally, remuneration information provided within the comment field or as an attachment versus directly into SIDES/E-Response response format creates problems for the state agency to capture the remuneration information and increases the probability of an improper payment.

TABLE 19. REMUNERATION PROVIDED IN COMMENTS/ATTACHMENTS

Employer Response Method	# of Cases Scored	% Provided Remuneration in Comments and/or Attachments
SIDES	373	12.18 %
E-Response	374	18.07 %
Non-SIDES	314	Not Applicable

» **Remuneration Information Delayed**

Employer/TPA failure to provide wage information during the initial separation response. In some cases, for both SIDES and E-Response, the employer/TPA responded "Wages Not Available at This Time". Employer/TPA indicated that wages would be provided at a later date. Because the study evaluated only initial separation responses, we were unable to determine if/when wage information was provided to the state agency. Failure by the employer/TPA to provide timely remuneration information negatively impacts the states' ability to prevent improper payments.

» **Incorrect Separation Reason Selected**

Employers/TPAs selecting incorrect separation type. For example, employers indicated the claimant voluntarily quit, however, in providing separation information via SIDES and SIDES E-Response, the employer indicated that claimant had violated attendance/tardy policies and therefore was no longer employed.

Glossary of Terms

Term/Acronym	Definition
Calculated Raw Score	Numerical value assigned to a component/group of data points after the application of a mathematical formula (sum) in Excel spreadsheet.
ITSC	Information Technology Support Center
Key Date Information	Date work began and ended and return to work date if applicable.
LOW	Lack of Work
Misclassified Case	Study case which was submitted as one type of separation (per claimant filing), but based upon the employer response was scored as different separation reason.
NASWA	National Association of State Workforce Agencies
Non-SIDES	State specific methods used to request and obtain initial separation information from employers for new and additional claims. These may include paper fact finding as well as a State developed web based portal.
Not Listed Above	Separation Type cannot be identified using reasons provided in fact finding system.
Other	Separation type which is later broken down into School Employee between Terms Not likely to Return, Not Listed Above, Refuse to Provide
Provider Information	Name, Title, Phone Number and Company of individual providing the separation information
Raw Score	Numerical value assigned to a component/group of data points.
Refuse to Provide	Employer/Employer Representative does not want to provide and separation information.
Regression Analysis	Regression analysis is a statistical process for estimating the relationships among variables by measuring the change in a dependent variable (for example income) on the basis of change in one or more independent variables (such as education and age). The relationship is expressed as an equation which includes the coefficients of the independent variables and, in some models, a constant, which have been estimated from sample data.
Remuneration	(For study purposes) Monies received by the claimant after separation. i.e. vacation pay, severance, pension, pay in lieu of notice, bonus, etc.
SIDES	State Information Data Exchange System - a web based system that allows electronic transmission of information requests from UI agencies to employers and/or Third Party Administrators (TPAs), as well as transmission of replies containing the requested information back to the UI agencies.
SIDES E-Response	A web based system for employers/TPAs with limited number of UI information exchanges that want to access SIDES and enter their information through a secure web-site. SIDES E-Response is managed by the state from whom the request is received.
SME- Subject Matter Expert	An individual who has expertise in a specific area.
Still Working	Separation type which is later broken down into Still Employed Full Time, Still Employed Part Time, Hours Reduced by Employer.
Study States	Five states who submitted Study cases for review. Arizona, Colorado, Georgia, Iowa, New Hampshire.
SWA	State Workforce Agency

Term/Acronym	Definition
Temporary	A separation type where the claimant separation is temporary in nature. I.e. Vacation/Holiday Shutdown, School Employer Between Terms Likely to Return, On Call or Temporary Status, Leave of Absence, Disciplinary Suspension, Professional Athlete Between Seasons.
Temporary	A separation type identified where the claimant has reasonable assurance of returning to work.
Total Weighted Score	The sum of all weighted scores from each of the 4 scoring components for a claim/case. (Provider, Key Dates, Remuneration and Separation Components)
TPA	Third Party Administrator. A party who represents the employer providing information for Unemployment purposes.
Variations	Variance is a measurement of the spread/difference between numbers in a data set. The variance measures how far each number in the set is from the mean. Variance is calculated by taking the differences between each number in the set and the mean, squaring the differences (to make them positive) and dividing the sum of the squares by the number of values in the set for a population or the sample size minus 1 for sample data.
VQ	Voluntary Quit
Weighted Score	Score/value that has been assigned a weight of importance relative to the other scores/values. A weighted score is a more accurate measurement of scores that are of relative importance to each other.

APPENDIX A

SIDES Employer Response Study Sampling Methodology

The following methodology was developed to conduct the SIDES Employer Response Study.

STUDY UNIVERSE

The Study universe comprises new initial intrastate claims and additional initial intrastate claims in the State UI program for the period July 1, 2016 to September 30, 2016. The population was classified into three response types: 1) Employer and TPA responses submitted through SIDES computer to computer interfaces; 2) Employer and TPA responses submitted through SIDES E-Response; and 3) Employer and TPA responses requested and/or submitted through non-SIDES methods.

The Study team surveyed several candidate states to obtain information on practices and IT capabilities with respect to employer / TPA information requests and responses. Based on the survey results and an analysis of workload and SIDES response data, the SIDES team invited the following states to participate in the Study: Arizona, Colorado, Georgia, Iowa, and New Hampshire.

The following table summarizes population data for these states for the period July 1, 2016 through September 30, 2016.

State	UI IC's and AIC's (ETA5159 Report) (B)	Total Number of SIDES Requests (C)	Total Number of SIDES Responses (D)	Total Number of E-Response Requests (E)	Total Number of E-Response Responses (F)	Potential Non-SIDES Responses (B-D-F)
AZ	53,992	24,218	24,214	15,839	10,763	19,015
CO	25,686	11,081	11,081	4,968	3,727	10,878
GA	84,525	17,756	17,752	5,533	3,781	62,992
IA	28,653	9,993	9,993	5,559	3,376	15,284
NH	6,325	1,884	1,884	1,215	192	4,249

SAMPLE SIZES

A sample size of 75 cases was set for each of the three response types -- SIDES, E-Response, and non-SIDES requests/responses. This resulted in a target sample of 1,125 cases for the Study: 75 cases x 3 strata x 5 states. A detailed explanation of sample size assumptions and calculations are provided below.

Sample Allocation by Reason for Separation

Samples randomly selected from the SIDES and E-Response populations should be representative of the distribution of reasons for separation. Based on the July 1, 2016 to September 30, 2016 data, the following tables summarize the percentage of employer / TPA responses by type of separation. The Study team agreed that the following categories would be excluded:

16 - Labor Dispute

20 - Never Employed Here

21 -TPA Does Not Represent This Employer

The sample strata are:

- » Laid Off / Lack of Work
- » Discharged / Fired and Asked to Resign
- » Voluntarily Quit and Retirement
- » Temporary Separation: Includes Temporary Layoff, Vacation/Holiday Shutdown, School Employee Between Semesters or Terms, Likely to Return, On-Call or Temporary Status, Leave of Absence, Disciplinary Suspension, Professional Athlete Between Sports Seasons, Disaster Related Separation
- » All Other Reasons: School Employee Between Semesters or Terms, Not Likely to Return, Still Employed (F/T, P/T, reduced hours), other (SIDES code 19), reason not provided (SIDES code 99)

DISTRIBUTION OF REASON FOR SEPARATION FOR SIDES RESPONSES

State	Laid Off	Discharged	Quit	Temporary	Other	Total
AZ	18.57%	27.35%	38.89%	5.44%	9.74%	100.0%
CO	28.04%	24.02%	31.26%	6.18%	10.50%	100.0%
GA	26.91%	34.81%	18.53%	7.04%	12.72%	100.0%
IA	17.92%	16.00%	25.31%	29.56%	11.20%	100.0%
NH	38.18%	19.61%	16.45%	6.75%	19.01%	100.0%

DISTRIBUTION OF REASON FOR SEPARATION FOR E-RESPONSE

State	Laid Off	Discharged	Quit	Temporary	Other	Total
AZ	29.46%	18.22%	36.04%	4.96%	11.33%	100.0%
CO	26.84%	21.93%	27.19%	13.22%	10.81%	100.0%
GA	19.35%	42.30%	21.92%	9.19%	7.24%	100.0%
IA	12.77%	17.56%	35.58%	18.43%	15.65%	100.0%
NH	39.29%	14.80%	27.04%	6.12%	12.75%	100.0%

If samples of 75 cases were selected proportionally to the distribution of separation type, sample allocations would be as follows.

SIDES SAMPLE DISTRIBUTION BY REASON FOR SEPARATION

State	Laid Off	Discharged	Quit	Temporary	Other	Total
AZ	14	21	29	4	7	75
CO	21	18	23	5	8	75
GA	20	26	14	5	10	75
IA	14	12	19	22	8	75
NH	29	15	12	5	14	75

E-RESPONSE SAMPLE DISTRIBUTION BY REASON FOR SEPARATION

State	Laid Off	Discharged	Quit	Temporary	Other	Total
AZ	22	14	27	4	8	75
CO	20	17	20	10	8	75
GA	15	32	16	7	5	75
IA	9	13	27	14	12	75
NH	29	11	20	5	10	75

Proportional allocation produces significant differences among the states. For example, Iowa employers / TPAs report a large number of temporary lay-offs through SIDES. Over 40 percent of the separations reported by E-Response in Georgia are discharges.

NON-PROPORTIONAL SAMPLE ALLOCATION

If all types of separation were equally likely to result in an improper payment, proportional sample allocation would be an acceptable option, given that it would result in a representative mix of reasons for separation. However, based on the results of the U. S. Department of Labor's Benefit Accuracy Measurement (BAM) survey, certain types of separation have higher probabilities of overpayments.

OVERPAYMENT PROBABILITIES BY TYPE OF SEPARATION

The following table shows the overpayment probabilities by Type of Separation (per agency records before the BAM audit was completed). Overall, nearly one in five (18.8 percent) UI payments had at least one overpayment error according to BAM (including overpayments that were not recoverable due to finality or other reasons). However, only 2.8 percent of UI payments were classified as overpayments due to separation issues.

Reason For Separation	Separation OP Probability	Total OP Probability
Laid Off	0.0184	0.1678
Discharged	0.0500	0.2029
Quit	0.0745	0.2307
Temporary	0.0254	0.3442
Other	0.0206	0.1458
Total	0.0283	0.1880

The data show that some types of separations are more likely to have overpayment issues than others. In the following table, relative probability is the ratio of each separation category's separation overpayment probability to the overall probability of a separation overpayment. For example, the relative probability of voluntary quits is $.0745 / .0283 = 2.6326$, the highest likelihood of a separation overpayment, followed by discharges (1.7668). The separation overpayment probabilities for the other categories are below the average probability. These data support sampling quits and discharges at higher proportions because these types of separations are more likely to result in separation overpayments.

Reason For Separation	Separation OP Probability	Relative Probability
Laid Off	0.0184	0.6502
Discharged	0.0500	1.7668
Quit	0.0745	2.6326
Temporary	0.0254	0.8975
Other	0.0206	0.7279
Total	0.0283	

The following fixed (non-proportional) sampling allocation for all states ensures that higher proportions of claimants who voluntarily quit or were discharged (who are more likely to have overpayments attributable to separation issues) are selected.

NON-PROPORTIONAL SAMPLE ALLOCATION FOR SIDES WEB SERVICES AND E-RESPONSE CASES

	Laid Off	Discharged	Quit	Temporary	Other	Total
All States	7	22	26	11	9	75

NON-SIDES SAMPLES

Samples of SIDES and E-Response cases were selected from the SIDES data exchange, which maintains the SIDES and E-Response database. Non-SIDES cases were selected by the participating states from their UI administrative databases.

Operational Definitions of Sampling Frames for Non-SIDES Samples

The following criteria were established for inclusion in the sampling frames.

- 1) UI Claim Type (claims reported on the ETA 5159 report per instructions in ET Handbook 401, 4th edition):
 - » **New Intrastate, Excluding Transitional.** State UI (line 101, column 2) - initial claims which represent new intrastate claims. Exclude transitional claims and interstate new claims taken.
 - » **Additional Intrastate.** State UI (line 101, column 3) initial claims which represent the beginning of a second or subsequent series of intrastate claims within a benefit year or period of eligibility when a break of one week or more occurred in the claim series due to intervening employment.
- 2) Effective Date of Claim: The effective date of the new initial or additional claim is between July 1, 2016 and September 30, 2016. Note: this date corresponds to Sequence Number A-2 in the State UI Agency Request for Separation Information record [UI SIDES Implementation Guide, version: V3.10].
- 3) Type of Employer / TPA Response: Employer / TPA information submitted through method other than SIDES or SIDES E-Response.
- 4) Multiple Employer Requests: If a state sends requests to multiple base period employers for the claim, include only the request sent to the last (separating) employer.
- 5) Exclude cases for which the employer / TPA response indicated that:
 - » Separation is the result of a labor dispute
 - » The claimant was never employed with the employer
 - » The TPA does not represent the employer

Based on new initial and additional claims data and the SIDES and E-Response data, the following table summarizes the potential estimated population sizes per state.

State	UI IC's and AIC's (ETA5159)	Potential Non-SIDES Responses
AZ	53,992	19,015
CO	25,686	10,878
GA	84,525	62,992
IA	28,653	15,284
NH	6,325	4,249

SAMPLING PROCEDURES

1) Identify Eligible Records

State agencies queried their administrative records (database) to identify those claims meeting the criteria for inclusion in the Study sampling frame (Operational Definitions).

2) Define Population Strata

The population was divided into five strata according to Reason for Separation.

Stratum	Reason for Separation
1 - Laid Off	2 - Laid Off/Lack of Work
2 - Discharged	3 - Fired/Discharged 5 - Asked to Resign
3 - Quit	6 - Voluntary Quit/Separation 14 - Retirement
4 - Temporary	1 - Temporary Layoff 4 - Vacation/ Holiday Shutdown 7 - School Employee Between Semesters or Terms, Likely to Return 12 - On Call or Temporary Status 13 - Leave of Absence 15 - Disciplinary Suspension 17 - Professional Athlete Between Sports Seasons 18 - Disaster Related Separation
5 - Other	8 - School Employee Between Semesters or Terms, Not Likely to Return 9 - Still Employed, Full Time 10 - Still Employed, Part Time 11 - Still Employed, Hours Reduced by Employer 19 - Not Listed Above 99 - Refused to Provide

3) Sample Sizes and Selection

States randomly selected a sample of cases from the non-SIDES responses for each stratum according to the following allocation.

Stratum	Sample = 75	Sample Case ID #
1 - Laid Off	7	1 - 7
2 - Discharged	22	8 - 29
3 - Quit	26	30 - 55
4 - Temporary	11	56 - 66
5 - Other	9	67 - 75

States assigned a sequential sample case ID number. If the number of cases in the population was less than the target number of sample cases, all cases were selected for the sample and the sample case ID numbers were assigned sequentially. For example, if the population includes only 9 cases for temporary separations, sample case ID #s 56 to 64 were assigned, and the first case selected from the Other stratum was assigned Sample Case ID # 65.

If states could not filter employer / TPA nonresponse cases from the sampling frame, a larger number of sample cases was selected in order to ensure that approximately 75 valid cases were available for scoring.

4) Case Documentation

For all sample cases, states provided the following for the Study:

- » An electronic image (copy) of the initial request for information that was sent by the agency to the employer / TPA.
- » An electronic copy of the initial response by the employer / TPA to the agency.

CASE IDENTIFIER

Each case was identified by a unique combination of data elements:

- » Study State ID (1 to 5)
- » Sample Type (1, 2, or 3)
- » Separation Type (1 to 5)
- » Sample Case ID Number (1 to n, where n is the number of sample cases selected.)
- » Sample Size Assumptions and Calculations

Assumptions

Sample size estimates were based on the following assumptions.

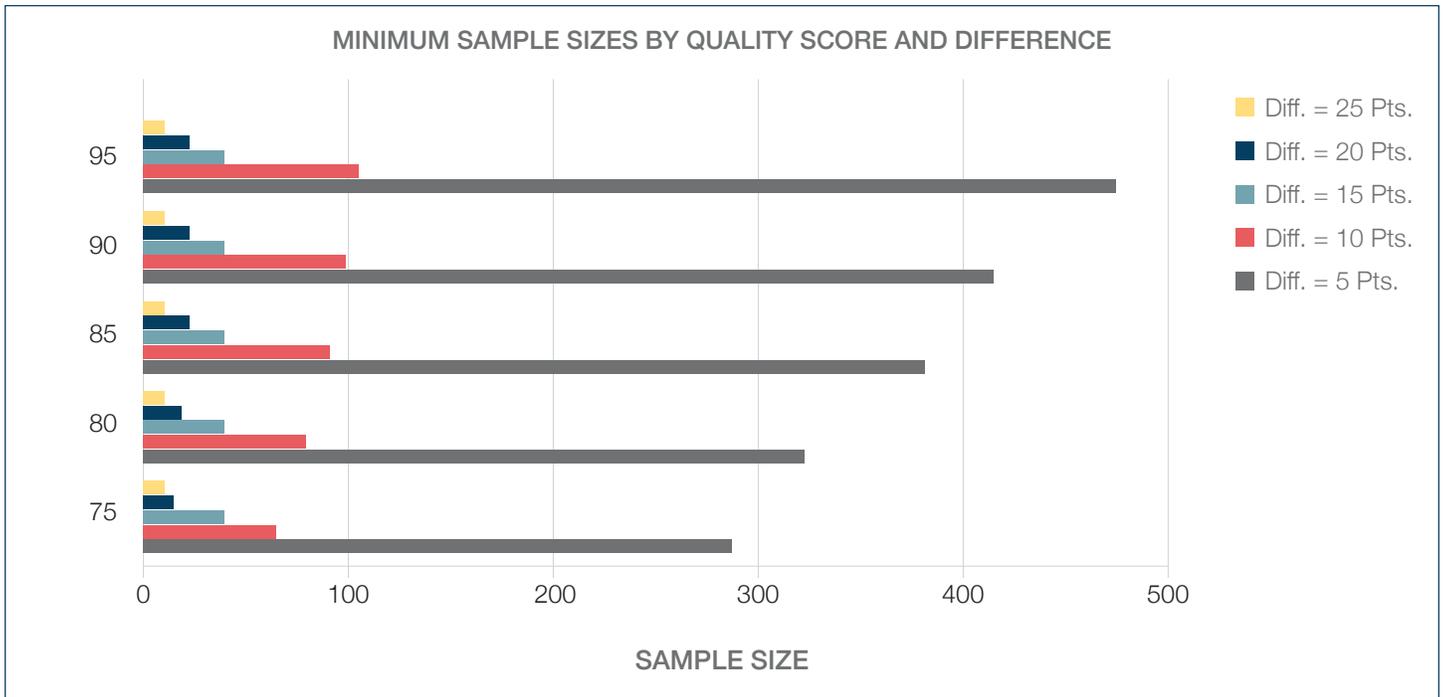
- 1) The scale of the quality scores range from 0 to 100.
- 2) The standard deviation of the scores is unknown prior to the collection of data and were estimated for the purposes determining an appropriate sample size by taking a fraction of the mean (discussed below).
- 3) Quality scores are approximately normally distributed.
- 4) Samples (SIDES, E-Response, and non-SIDES) are independent.
- 5) Differences are considered statistically significant at the 95 percent level.
- 6) The ability to detect a significant result for relatively small differences were balanced against the resources (sample sizes) required.
- 7) Sampling fractions (sample size divided by population size) are small enough so that the estimated sampling error will not be appreciably reduced (population correction factor).

SAMPLE SIZES

Because there was no empirical data for the quality scores prior to the Study, it was not possible to compute a standard deviation (sd). As a conservative estimate, a coefficient of variation ($cv = sd / \text{mean}$) of 0.5 was assumed. For example, if the estimated mean score is 80, the estimated sd is 40. In practice, the standard deviation was estimated from the samples selected for the Study.

The following chart displays the sample sizes for several mean scores and differences. Scores range from 75 to 95, with differences from 5 to 25 points. Sample sizes needed to detect significant differences for observed differences as small as 5 points are included for comparison only. Sample sizes required to detect significant differences this small are quite large, and a level of precision this high is not needed for this Study.

The following chart displays the ranges or bands of sample sizes to illustrate the trade-offs of adding resources (increased sample size) to increase the ability to detect differences between the populations.



The minimum sample sizes required to conclude that the indicated differences between the SIDES (either computer to computer or E-Response) quality scores and the non-SIDES score (assuming the non-SIDES score is less than the SIDES score) are statistically significant are summarized in the following table.

Quality Score	Diff.=5 Pts.	Diff.=10 Pts.	Diff.=15 Pts.	Diff.=20 Pts.	Diff.=25 Pts.
75	285	67	28	15	9
80	326	77	32	17	11
85	369	87	37	20	12
90	415	99	42	22	14
95	464	110	47	25	16

Example

The Mean Quality Score (MQS) of the SIDES E-Response sample is 80; the MQS of the non-SIDES sample is 68, a difference of -12. Is this difference statistically significant?

MQS = Mean Quality Score	$MQS_{sides} = 80$
$MQS_{diff} = MQS_{non-sides} - MQS_{sides}$	$MQS_{non-sides} = 68$
SE_{diff} = Sampling Error of the difference	$MQS_{diff} = 68 - 80 = -12$
Sample (n) = 77	Est. $SD_{sides} = 80 * .5 = 40$
Test Statistic ⁵ = $z = MQS_{diff} / SE_{diff}$	Est. $SD_{non-sides} = 68 * .5 = 34$
Significance = .05 ($z \leq -1.645$; one-tail test)	$SE_{diff} = \text{SQRT}[(40^2 + 34^2) / 77] = 5.983$
	$z = -12 / 5.983 = -2.006$

The hypothesis we are testing is that $MQS_{non-sides} = MQS_{sides}$; that is, the difference is zero (the quality of the information obtained through SIDES and non-SIDES employer requests do not differ). The observed difference is -12. The test statistic ($z = -2.006$) is < -1.645 , the critical value corresponding to the lower 5 percent of the distribution for a one-tail test. Because the probability of an observed difference of -12 is less than 5 percent if the population difference were zero, we conclude that the quality of the information obtained for the non-SIDES population is less than the quality of the information gathered for the SIDES population.

Proportions

In addition to testing for differences in mean quality scores, we might also be interested in comparing the percentage of cases with a “high quality” scores. For example, assume a high quality score is defined as ≥ 90 points.

Example:

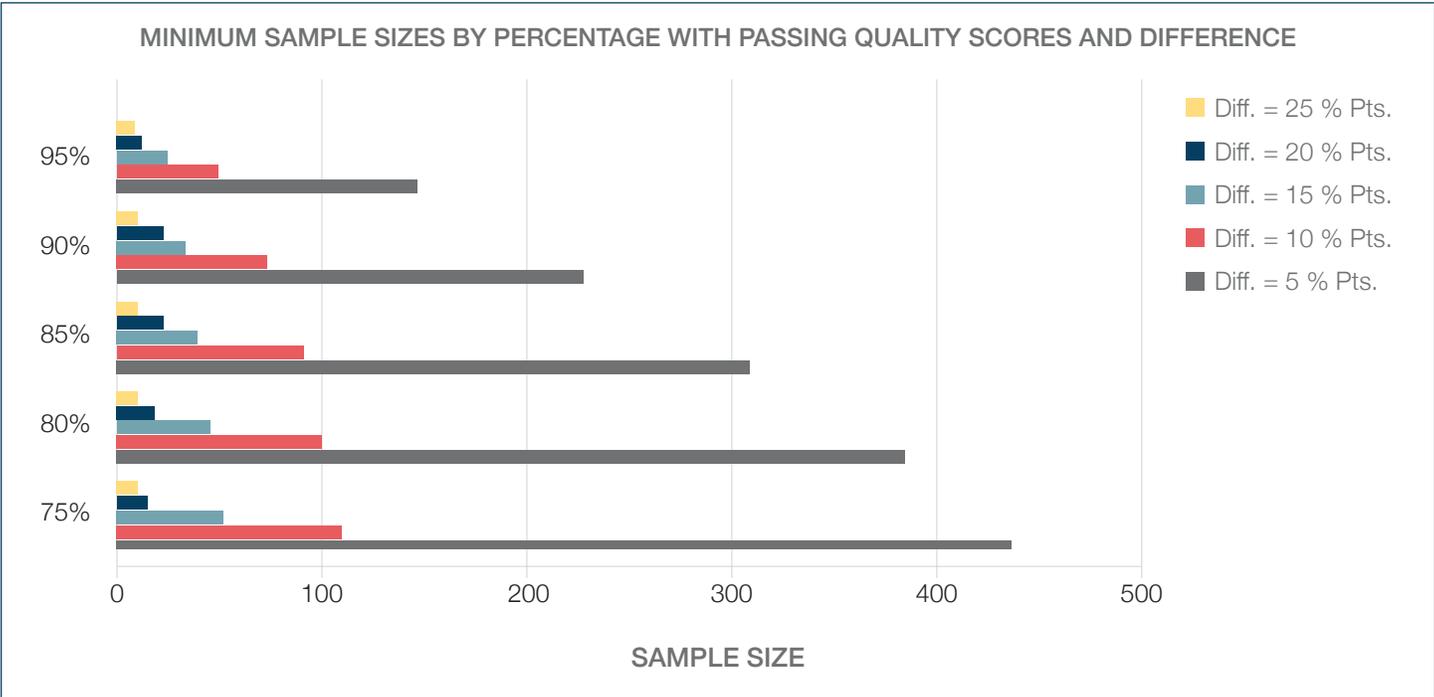
If 85 percent of the SIDES sample had high quality scores and 78 percent of the non-SIDES sample had high quality scores, is the difference significant?

P = Proportion of sample with high quality scores	$P_{sides} = .85$
$P_{diff} = P_{non-sides} - P_{sides}$	$P_{non-sides} = .78$
SE_{diff} = Sampling Error of the difference	Est. $Var_{sides} = .85 * (1 - .85) = .1275$
Sample (n) = 86	Est. $Var_{non-sides} = .78 * (1 - .78) = .1716$
Test Statistic = $z = P_{diff} / SE_{diff}$	$MQS_{diff} = .78 - .85 = -.07$
Significance = .05 ($z \leq -1.645$; one-tail test)	$SE_{diff} = \text{SQRT}[(.1275 + .1716) / 86] = .059$
	$z = -.07 / .059 = -1.186$

The test statistic ($z = -1.186$) is > -1.645 , the critical value corresponding to the lower 5 percent of the distribution for a one-tail test. Because the probability of an observed difference of $-.07$ is greater than 5 percent, we cannot say that the proportion of the SIDES population with passing quality scores is greater than the proportion of the non-SIDES population.

The sample sizes for proportions are summarized in the following chart.

⁵ Because standard deviations are estimated from samples, the t distribution, with $n_1 + n_2 - 2$ degrees of freedom, is the appropriate distribution. As sample sizes increase, values of the t static approach those of z. For the examples in this paper, z values are used for simplicity

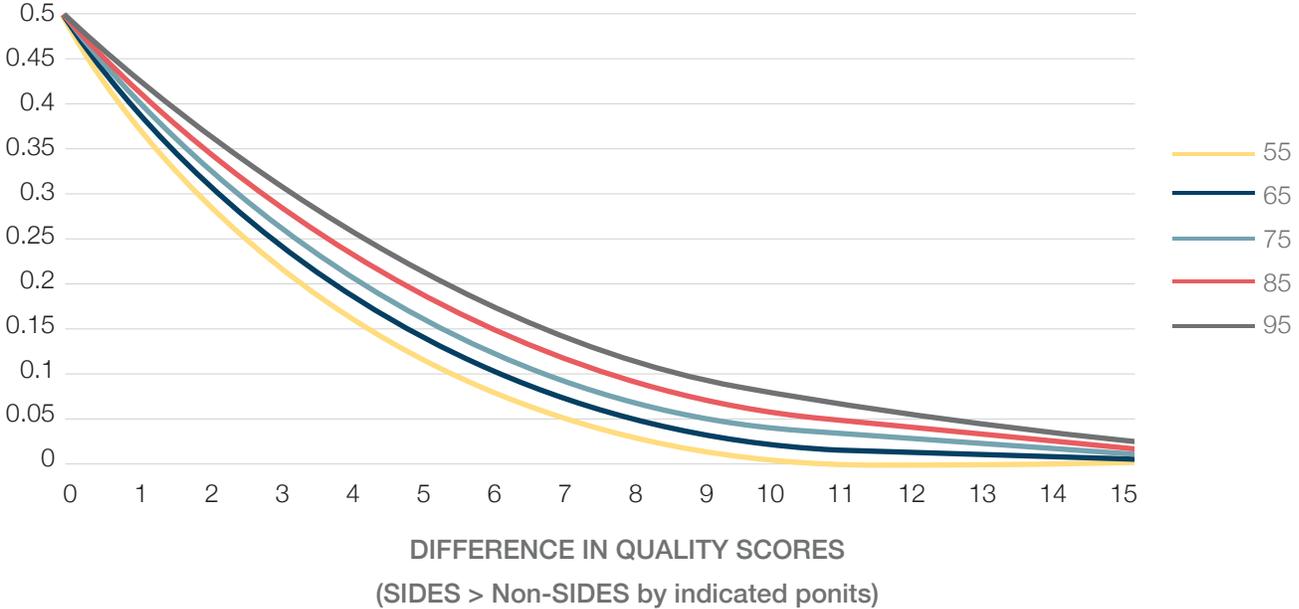


Quality Score	Diff.=5 %Pts.	Diff.=10 %Pts.	Diff.=15 %Pts.	Diff.=20 %Pts.	Diff.=25 %Pts.
75%	431	113	52	30	19
80%	377	101	47	28	18
85%	312	86	41	25	16
90%	236	68	34	21	14
95%	149	48	25	16	12

Sample size depends on the process average, variability, and the degree of precision desired. Assuming mean quality scores in the range 80 to 90, a sample size of 75 per state, per population, is reasonable. States that could filter out nonresponse from employer / TPA requests were advised to select a slightly larger number of cases than the target sample to accommodate missing or misclassified cases which cannot be included in the results.

The following chart illustrates the points at which differences are considered significant for samples of 75 cases. For example, if the average quality score for SIDES E-Response cases is 85, differences of 10.8 or more points in the average quality score of the non-SIDES cases are significant at the .05 level (the point where the curve for average quality score = 85 crosses the probability = .05 line).

PROBABILITY OF OBSERVED DIFFERENCE BY QUALITY SCORE (n = 75)



APPENDIX B

SIDES Study States

In order to conduct the study, the SIDES Team reached out to states to determine who would be willing to participate in the review. After the States responded, work began with each State to ensure that a valid sample could be pulled and cases provided based on the ability of the States to retrieve the data. Five states could pull the samples and provide the data. Their efforts were herculean and much appreciated.

SIDES STUDY SCORERS

Twenty-three states provided scorers, along with two scorers from the SIDES Study Team.

1. ARIZONA	9. INDIANA	17. OREGON
Francine Bracamonte Suzanne Hill	Janey Watkins-Sondrini	James Rice William Ziegler
2. CALIFORNIA	10. MASSACHUSETTS	18. PENNSYLVANIA
Michael Carr Jody Dickinson	Jennifer Lavin Susan Saulnier	Heather George Garrett Malik Beth Mummert Corinne Weymers
3. COLORADO	11. MISSISSIPPI	19. SOUTH DAKOTA
Kat Muja Cefton Springer	Tashauna Bolls	Kristi Bonn
4. CONNECTICUT	12. MONTANA	20. UTAH
Maria Hagen Ken Petow Anne Rugens	Boris Karasch	Justin Williams (3 rd Scorer)
5. DELAWARE	13. NEBRASKA	21. WASHINGTON D.C.
Jennifer Comparoto Heather Comstock Carolyn Nasser	Lea Dietrich Karen Nielsen	Tiffany Agnew Corey Dixon Tamika Gamble Louis Hirsch Marissa Montalvo
6. GEORGIA	14. NEW HAMPSHIRE	22. WYOMING
Saffron Paris Racquel Robinson Crystal Singleton	Renee Carboni	Trish Pesek
7. IDAHO	15. NEW YORK	23. WISCONSIN
Tyler Smith	Richard White	Claudia Pecha Lanetta Virgil
8. ILLINOIS	16. OKLAHOMA	SIDES STUDY TEAM SCORERS
Alex Britton Alice Sutherland	Tami Decker Stephen (Brad) Giroux Pete Shipman	Maridale Vanek Donna Widmaier

The following volunteers from Arizona, Colorado, Georgia, Iowa, and New Hampshire provided the non-SIDES case samples for the review. The Study couldn't have begun without their efforts. Many thanks.

Arizona	Colorado	Georgia	Iowa	New Hampshire
Amanda Culp	Kat Muja	Saffron Paris	Kelley Hauschildt	Renee Carboni
Jim Sorenson		Racquel Robinson	Dana Kirgan	Dianne Carpenter
Tim Walker				

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Donna Widmaier	Project Design Consultant	donnawidmaier@gmail.com

APPENDIX C

Unique Case ID # _____

SCORING COMPONENT #1: PROVIDER/PREPARER

PROVIDER/PREPARER (5% of Total Weighted Score) Applies to all cases.

PROVIDER/PREPARER QUESTIONS: (5% of Total Weighted Score)

1. Type of Preparer (Employer or TPA) indicated? (Maximum 10 points)

_____ Type of Preparer **provided**, = 10 points.

_____ Type of Preparer **not provided** and/or scorer is **not** able to determine, = 0 points.

Name of Employer/TPA: _____

2. Telephone Number of Preparer provided? (Maximum 40 points)

_____ Telephone Number **provided**, = 40 points.

_____ Telephone Number **not provided**, = 0 points.

3. Contact Name of Preparer provided? (Maximum 40 points)

_____ Contact Name **provided**, = 40 points.

_____ Contact Name **not provided**, = 0 points.

4. Title of Preparer (For Employer) or Company Name (For TPA) provided? (Maximum 10 points)

_____ Title of Preparer/TPA Company Name **provided**, = 10 points.

_____ Title of Preparer/TPA Company Name **not provided**, = 0 points.

_____ **Total Points: Raw Score (Maximum- 100 points):**

***(Multiply Total Raw Score Points _____ x .05= _____ *(Total Weighted Score for Provider-Max. 5)**

*** _____ Score #1: Provider/Prepare Total Weighted Score: (Maximum Score- 5)**

Comments/Questions regarding Provider Questions: _____

SCORING COMPONENT #2: KEY EMPLOYMENT DATES

KEY EMPLOYMENT DATES (5% of Total Weighted Score) Applies to all cases.

KEY EMPLOYMENT DATE QUESTIONS: (5% of Total Weighted Score)
<p>1. Was the claimant’s first day of work provided? (Maximum 15 points)</p> <p>_____ First day of work provided, = 15 points.</p> <p>_____ First day of work not provided, = 0 points.</p>
<p>2. Was the claimant’s last day of work provided? (Maximum 45 points)</p> <p>_____ Last day of work provided, = 45 points.</p> <p>_____ Last day of work not provided, = 0 points.</p>
<p>3. Return to work date (if applicable)? (Maximum 40 points)</p> <p>(Note to scorer: IF a definite Return to Work Date is indicated then a Return to Work Date is required for the following separation reasons:</p> <ul style="list-style-type: none"> » Vacation/Holiday Shutdown » School Employee, Between Terms, Likely to Return » Professional Athlete Between Seasons » Temporary Lay-off » Disciplinary Suspension <p>_____ Return to work date provided, = 40 points.</p> <p>_____ If a definite return to work date is not required (N/A), = 40 points.</p> <p>_____ Return to work date not provided, = 0 points.</p>
<p>_____ Total Raw Score Points (Maximum 100 points)</p> <p>*(Multiply Total Raw Score Points _____ x .05 = _____ *(Total Weight Score for Key Employment Dates-Max. 5)</p>
<p>* _____ Score #2: KEY EMPLOYMENT DATES TOTAL WEIGHT SCORE: (Maximum Score- 5)</p>

Comments/Questions for *KEY EMPLOYMENT DATE* Questions: _____

SCORING COMPONENT #3: INCOME/REMUNERATION

INCOME/REMUNERATION (45% of Total Weighted Score) Applies to all cases.

INCOME/REMUNERATION QUESTIONS: (45% of Total Weighted Score)

1. Will the claimant receive any income/remuneration on or after the last day of work? If yes, was remuneration/income provided? (Maximum 25 points)

Use the table below to determine score for this question:

Points to Award (Circle One)	Is remuneration question asked?	Did employer respond to remuneration question?	Is income information provided by employer?
0 points	No	No	No
12.5 points	No	No	Yes
12.5 points	Yes	No	No
12.5 points	Yes	Yes	No
12.5 points*	Yes	No	Yes (Comment field- SIDES)
25 points	Yes	Yes	Yes
25 points	Yes	Yes	N/A (No Remuneration)

*Was remuneration information provided in comments field/attachment for this case? _____

2. What was the average number of hours the claimant worked per week? (Maximum 5 points)

- _____ Average hours worked per week **provided**, = 5 points.
- _____ If average hours worked per week question **asked**, but **not provided**, = 2.5 points.
- _____ If average hours worked per week question **not asked**, but is **provided**, = 2.5 points.
- _____ If question regarding average number of hours worked per week **not asked**, and **not provided** = 0 points.

3. What was the claimant’s average weekly wage? (Maximum 5 points)

- _____ Weekly wage **provided** =5 points.
- _____ Weekly wage question **asked**, but **not provided**, = 2.5 points.
- _____ Weekly wage question is **not asked**, but is **provided**, = 2.5 points.
- _____ Weekly wage question **not asked**, and **not provided** = 0 points.

4. What were the total wages earned by the claimant after the Effective Date of Claim? (Maximum 5 points)

- _____ Total wages **provided**, = 5 points.
- _____ Total wages after effective date of claim question **asked**, but **not provided**, = 2.5points.
- _____ Total wages after effective date of claim question is **not asked**, but is **provided**, = 2.5 points.
- _____ Total wages question **not asked**, and **not provided**, = 0 points.

5. What type remuneration did/will the claimant receive on/after the last day of work? (Maximum 5 points)

- _____ If remuneration is indicated and Type of remuneration **provided** = 5 points.
- _____ If **N/A**, = 5 points (No remuneration/income indicated in Question #1 above.)
- _____ If remuneration is indicated and type of remuneration question **asked**, but **not provided**, = 2.5 points.
- _____ If remuneration is indicated and type of remuneration question is **not asked**, but is **provided**, = 2.5 points.
- _____ If remuneration is indicated and type of remuneration question **not asked**, and **not provided**, = 0 points.

6. How many types of remuneration/income will the claimant receive on or after the last day of work, i.e. vacation pay, sick, bonus? (Maximum 5 points)

- _____ If remuneration/income is indicated and Types of remuneration **asked** and **provided**, = 5 points.
- _____ If **N/A**, = 5 points (No remuneration/income indicated in Question #1 above.)
- _____ If remuneration/income is indicated, but Types of remuneration **asked**, but **not provided**, = 2.5 points.
- _____ If remuneration/income is indicated but Types of remuneration question **not asked**, and **provided**, = 2.5 points.
- _____ If remuneration/income is indicated but Types of remuneration question **not asked** and **not provided** = 0 points.

7. Was the amount of the income/remuneration received per period provided? (Maximum 5 points)

- _____ If remuneration is indicated and Amount of remuneration/income **provided** = 5 points.
- _____ If **N/A**, = 5 points (No remuneration/income indicated in Question #1 above.)
- _____ If remuneration is indicated and amount of remuneration/income received per period question **asked**, but **not provided**, = 2.5 points.
- _____ If remuneration is indicated and amount of remuneration/income received per period question is **not asked**, but **provided**, = 2.5 points.
- _____ If remuneration is indicated but amount of remuneration/income question is **not asked**, and **not provided**, = 0 points.

8. Was the frequency of the claimant's remuneration provided? (Maximum 5 points)

- _____ If remuneration is indicated and Frequency of remuneration/income **provided** =5 points.
- _____ If **N/A**, = 5 points (No remuneration/income indicated in Question #1 above.)
- _____ If remuneration is indicated and Frequency of remuneration/income question **asked**, but **not provided**, = 2.5 points.
- _____ If remuneration is indicated and Frequency of remuneration/income question is **not asked**, but is **provided**, = 2.5 points.
- _____ If remuneration is indicated, but Frequency of remuneration/income question **not asked**, and **not provided**, = 0 points.

9. Is date paid for remuneration/income provided? (Maximum 5 points)

- _____ If remuneration is indicated and Date remuneration/income paid **provided** =5 points.
- _____ If **N/A**, = 5 points (No remuneration/income indicated in Question #1 above.)
- _____ If remuneration is indicated and Date of remuneration/income question **asked**, but **not provided**, = 2.5 points.
- _____ If remuneration is indicated and Date of remuneration/income question is **not asked**, but is **provided**, = 2.5 points.
- _____ If remuneration is indicated but Date of remuneration/income question is **not asked**, and **not provided**, = 0 points.

10. Remuneration Allocation

10A. Was the remuneration/income allocated? (Maximum 5 points)

- _____ If remuneration is indicated and Remuneration/income allocation **provided**, =5 points.
- _____ If **N/A**, = 5 points (No remuneration/income indicated in Question #1 above.)
- _____ If remuneration is indicated and remuneration/income allocation question **asked**, but **not provided**, = 2.5 points.
- _____ If remuneration is indicated but remuneration/income allocation question is not **asked**, but is **provided**, = 2.5 points.
- _____ If remuneration is indicated but remuneration/income allocation question **not asked**, and **not provided**, = 0 points.

10B. What was the beginning date for the remuneration/income allocation? (Maximum 5 points)

- _____ If remuneration is indicated and Remuneration/income beginning date **provided**, = 5 points.
- _____ If **N/A**, = 5 points (No remuneration/income indicated in Question #1 above.)
- _____ If remuneration is indicated and Remuneration/income date question **asked**, but **not provided**, = 2.5 points.
- _____ If remuneration is indicated and Remuneration/income date question is **not asked**, but is **provided**, = 2.5 points.
- _____ If remuneration is indicated but Remuneration/income date **not asked**, and **not provided**, = 0 points.

10C. What was the ending date for the remuneration/income allocation? (Maximum 5 points)

- _____ If remuneration is indicated and Ending date for remuneration/income **provided** = 5 points.
- _____ If **N/A**, = 5 points (No remuneration/income indicated in Question #1 above.)
- _____ If remuneration is indicated and Ending date for remuneration **asked**, but **not provided** = 2.5 points.
- _____ If remuneration is indicated and Ending date for remuneration **not asked**, but is **provided**, = 2.5 points.
- _____ If remuneration is indicated but Remuneration/income Ending date question **not asked**, and **not provided**, = 0 points.

11. Pension

11A. Was the pension mandatory? (Maximum 5 points)

- _____ If pension question **provided**, = 5 points.
- _____ If **N/A**, = 5 points (No remuneration/income indicated in Question #1 above.)
- _____ If pension question is **asked**, but **not provided**, = 2.5 points.
- _____ If pension question is **not asked**, but is **provided**, = 2.5 points.
- _____ If pension question is **not asked**, and **not provided**, = 0 points.

11B. Does/did the claimant contribute to the pension? (Maximum 5 points)

- _____ If pension contribution question **provided**, = 5 points.
- _____ If **N/A**, = 5 points (No remuneration/income indicated in Question #1 above.)
- _____ If pension contribution question **asked**, but **not provided**, = 2.5 points.
- _____ If pension contribution question is **not asked**, but is **provided**, = 2.5 points.
- _____ If pension contribution question is **not asked**, and **not provided**, = 0 points.

11C. What was the percentage of the pension that the claimant contributed? (Maximum 5 points)

- _____ If pension percentage question is asked and **provided**, = 5 points.
- _____ If **N/A**, = 5 points (No remuneration/income indicated in Question #1 above.)
- _____ If pension percentage question is **asked** and **not provided**, = 2.5 points.
- _____ If pension percentage question is **not asked**, but is **provided**, = 2.5 points.
- _____ If pension percentage question is **not asked**, and **not provided**, = 0 points.

11D. Pension comments: Provide additional information about the claimant's pension. (Maximum 5 points)

- _____ If pension comments **provided**, = 5 points.
- _____ If **N/A**, = 5 points (No remuneration/income indicated in Question #1 above.)
- _____ If pension comments **not provided**, = 0 points.

_____ Total Raw Score Points (Maximum- 100 points):
(Multiply Total Points _____ x .45= _____*(Total Weighted Score for Income: Maximum Score 45)

* _____ Score #3: REMUNERATION/INCOME TOTAL WEIGHTED SCORE: (Maximum Score: 45)

Comments/Questions for *INCOME/REMUNERATION* Questions: _____

SCORING COMPONENT #4: SEPARATION FACTS

SEPARATION FACTS (45% of Total Weighted Score) Varies based upon type of separation. Listed below are the five types of separation categories for the study:

1. **Discharge**
2. **Voluntary Quit**
3. **Still Employed**
4. **Temporary**
5. **Other**

There are five sets of separation facts questions. Each set of separation facts questions are based upon the type of separation. Only **one** set of separation fact questions will used per case for scoring purposes.

The set of separation facts used for scoring the initial separation response will be determined by the **employer** provided reason for separation. Even though the claimant may have indicated a different reason for the separation, the study is designed to measure the adequacy of initial employer responses. Cases for the SIDES study have been randomly selected based upon the type of separation as indicated by the employer.

The study will include randomly selected sample cases for each type of separation, except Labor Dispute, Never Employed Here, and TPA Does Not Represent the Employer. These employer separation reasons are excluded from the SIDES Study.

The five set of separation facts questions are:

1. Discharge Questions- Applies to the following employer separation reasons:

*Discharge/Fired
Asked to Resign
Voluntary Quit (In Lieu of Discharge)*

2. Voluntary Quit Questions- Applies to the following employer separation reasons:

*Voluntary Quit
Retirement*

3. Still Employed Questions- Applies to the following employer separation reasons:

*Still Employed, Full-Time
Still Employed, Part-Time
Still Employed, Hours Reduced by Employer*

4. Temporary Questions- Applies to the following employer separation reasons:

*Temporary Lay-Off
Lack of Work
Vacation/Holiday Shut-down
School Employee between Terms, Likely to Return
On Call/Temporary
Leave of Absence
Disciplinary Suspension
Professional Athletes Sports Seasons
Disaster Related Separation*

5. Other Questions- Applies to the following employer separation reasons:

*School Employee between Semesters, NOT Likely to Return
Not Listed Above
Refuse to Provide*

DISCHARGE SCORING

Separation Facts Component #4:

1. DISCHARGE (45% of Total Weighted Case Score)

Discharge/Fired

Asked to Resign

Voluntary Quit (In Lieu of Discharge)

This separation item is initially a Voluntary Quit separation, however, the fact finding scoring questions required for this type of separation are DISCHARGE questions.

SEPARATION FACTS SCORE-DISCHARGE (45% OF TOTAL WEIGHTED SCORE)

SEPARATION REASON: DISCHARGE

1. What is the reason for the separation according to the employer? (How was claimant separated from employment i.e. fired, quit, temporary lay-off, etc.?) (Maximum 5 points)

_____ Reason for separation **provided**, = 5 points.

_____ If reason for separation **asked**, but **not provided**, = 2.5 points.

_____ If reason for separation **not asked**, = 0 points.

2. Reason for discharge according to the employer, i.e. absenteeism, tardiness, theft, etc., Including the option of 'Not Listed' in SIDES/E-SIDES provided? Why was claimant separated/discharged? (Maximum 5 points)

_____ Reason for DISCHARGE **provided**, = 5 points.

_____ If reason for DISCHARGE separation **asked**, but **not provided**, = 2.5 points.

_____ If DISCHARGE reason question **not asked**, = 0 points.

3. Name of person who discharged claimant provided? (Maximum 5 points)

_____ Name of person is **provided**, = 5 points.

_____ If Name of person who discharged claimant question **asked**, but **not provided**, =2.5 points.

_____ If Name of person question **not asked**, = 0 points.

4. Title of person who discharged claimant provided? (Maximum 5 points)

_____ Title of person who discharged claimant **provided**= 5 points.

_____ If Title of person who discharged claimant question **asked**, but **not provided**, =2.5 points.

_____ If Title of person who discharged claimant question **not asked**, = 0 points.

5. 'Final Incident Date' provided by employer? (Last day worked does not always equal 'Final Incident' date for this scoring item.) (Maximum 5 points)

_____ Final Incident Date is **provided**= 5 points.

_____ If Final Incident date question asked, but **not provided**, =2.5 points.

_____ If Final Incident Date question **not asked**, = 0 points.

6. Was a 'Final Incident' statement or discharge reason comments provided by employer? What was the reason for final incident? (Maximum 10 points)

_____ Final Incident Statement/Comment **provided**= 10 points.

_____ Final Incident Statement/Comment **requested**, but **not provided**, =5 points.

_____ Final Incident Statement/Comment **not requested**, = 0 points.

7. Additional Discharge Information/ Questions: (Maximum 5 points)

Award points for only one item (#7A. - #7H.) below:

7A. Not Qualified/Inadequate Performance: In what way was the claimant not qualified/failing to perform? (Maximum 5 points)

_____ Additional information regarding the discharge separation reason **provided**, = 5 points.

_____ Additional information **not provided**, = 0 points.

7B. Absent/Late: What reason did the claimant give the employer for the final absence/tardy? (Maximum 5 points)

_____ Additional information regarding the discharge separation reason **provided**, = 5 points.

_____ Additional information **not provided**, = 0 points.

7C. Failed to Follow Instructions/Policy/Contract: What instruction/policy/contract did the claimant fail to follow? (Maximum 5 points)

_____ Additional information regarding the discharge separation reason **provided**, = 5 points.

_____ Additional information **not provided**, = 0 points.

7D. Drugs/Alcohol: What alerted the employer to the fact that the claimant was under the influence of drugs/alcohol? (Maximum 5 points)

_____ Additional information regarding the discharge separation reason **provided**, = 5 points.

_____ Additional information **not provided**, = 0 points.

7E. Theft/Felony/Criminal/Property Damage/Fighting: What act did the claimant commit that? (Maximum 5 points)

_____ Additional information regarding the discharge separation reason **provided**, = 5 points.

_____ Additional information **not provided**, = 0 points.

7F. Medical: Was the claimant unable to perform his/her regular duties on the advice of a doctor? (Maximum 5 points)

_____ Additional information regarding the discharge separation reason **provided**, = 5 points.

_____ Additional information **not provided**, = 0 points.

7G. Failed Employment Requirements: What employment requirement(s) did the claimant fail to meet? (Maximum 5 points)

_____ Additional information regarding the discharge separation reason **provided**, = 5 points.

_____ Additional information **not provided**, = 0 points.

7H. Not Listed Above: Please explain the reason the claimant was discharged. (Maximum 5 points)

_____ Additional information regarding the discharge separation reason **provided**, = 5 points.

_____ Additional information **not provided**, = 0 points.

8. Is the information provided in the FINAL INCIDENT (Item 6. above) and ADDITIONAL DISCHARGE INFORMATION (Item 7. above) adequate? (Maximum 20 points)

Award points for only one of the items (#8A. - #8F.) below:

_____ 8A. If information adequate and **no follow-up required**, =20 points.

_____ 8B. If information adequate but **rebuttal required** for claimant statement, = 20 points.

_____ 8C. If additional **follow-up required** for clarification and/or missing information, = 10 points.

_____ 8D. If adequate information **not provided**, score 0 points.

Please explain why the FINAL INCIDENT (Item 6. above) and ADDITIONAL DISCHARGE INFORMATION (Item 7. above) was scored down (less than 20 points): If Not Applicable, please leave blank.

9. VIOLATION OF COMPANY POLICY (Maximum 15 points)

9A. Was there a violation of company policy? If yes, was claimant aware of company policy? (Maximum 5 points)

- _____ Policy violation question **asked** and **answered** (claimant was/was not aware), = 5 points.
- _____ NO violation (**N/A**), = 5 points.
- _____ Policy violation question **asked**, but **not answered** (claimant was or was not aware), = 2.5points.
- _____ Policy violation question is **not asked**, but is **answered** (claimant was or was not aware), = 2.5 points.
- _____ Policy violation question **not asked**, and **not answered**= 0 points.

9B. What method was used to make claimant aware of the policy? Written, Verbal or Both? (Maximum 5 points)

- _____ If policy question **asked** and **answered** (method used to make claimant aware of policy is identified) = 5 points.
- _____ NO violation (**N/A**) = 5 points.
- _____ If policy question **asked** and but **not answered** (method used to make claimant aware of policy not identified, = 2.5 points.
- _____ If policy question is **not asked**, but is **answered** (method used to make claimant aware of policy is identified, = 2.5 points.
- _____ If policy violation question **not asked**, = 0 points.

9C. Did employer provide details regarding verbal notice or provide a copy of the written notice? (Maximum 5 points)

- _____ If policy details or documentation question **asked** and **answered**, = 5 points.
- _____ NO violation (**N/A**) = 5 points.
- _____ If policy details or documentation question **asked** but **not answered**, =2.5points.
- _____ If policy details or documentation question **not asked**, but is **answered**, = 2.5 points.
- _____ If policy details or documentation question **not asked**, =0 points.

10. PRIOR INCIDENT (Maximum 25 points)

10A. Prior Incident indicated? If yes, was Prior Incident date provided by employer? (Maximum 5 points)

- _____ Prior Incident question **asked**, **indicated** and **date provided**, = 5 points.
- _____ **N/A**, = 5 points. (No prior incident.)
- _____ Prior Incident question **asked**, **not indicated** (there is no prior incident), and **no date** (no prior incident) = 5 points.
- _____ Prior Incident question **asked**, **indicated** and date **not provided**, = 2.5 points.
- _____ Prior Incident question **not asked**= 0 points.

10B. Prior Incident Reason provided by employer? (What happened in prior incident?) (Maximum 5 points)

- _____ Prior Incident **indicated** in item 10A. and **reason provided** by employer = 5 points.
- _____ **N/A**, = 5 points. (No prior incident.)
- _____ Prior Incident **indicated** in item 10A. reason question **asked**, but **reason not provided** by employer = 2.5 points.
- _____ Prior Incident Reason question **not asked** but **reason provided** by employer = 2.5 points.
- _____ Prior Incident Reason question **not asked** and **not provided**,= 0 points.

10C. Warning(s) provided by employer for Prior Incident? (Maximum 5 points)

- _____ Prior Incident **indicated** in 10A. and employer **provides** (if there was or was not a Warning), = 5 points.
- _____ **N/A**, = 5 points. (No prior incident.)
- _____ Prior Incident **indicated** in 10A. but employer **does not provide** (if there was or was not a Warning), = 2.5 points.
- _____ Prior Incident Warning question **not asked**, but warning **provided** = 2.5 points.
- _____ Prior Incident **indicated** in 10A. but question **not asked**, = 0 points.

10D. Date of Prior Incident Warning provided by the employer? (Maximum 5 points)

- _____ Warning **indicated** in 10C. and employer **provides date** of prior incident, = 5 points.
- _____ **N/A**, = 5 points. (No prior incident.)
- _____ Warning **indicated** in 10C. but employer **does not provide date** of prior incident, = 2.5 points.
- _____ Warning date of prior incident question **not asked** but warning date is **provided** = 2.5 points.
- _____ Warning **indicated** in 10C. but warning date question **not asked** = 0 points.

10E. Did employer provide a description of the Prior Incident warning? (Maximum 5 points)

- _____ Warning **indicated** in 10C. and description of Prior Incident Warning **provided**, = 5 points.
- _____ **N/A**, = 5 points. (No prior incident.)
- _____ Warning **indicated** in 10C. but detailed description of Prior Incident Warning **not provided**, = 2.5 points.
- _____ Warning **indicated** in 10C. and description of Prior Incident Warning not asked, but is **provided**, = 2.5 points.
- _____ If Warning **indicated** in 10C. and description of Prior Incident Warning **not asked**, = 0 points.

_____ **Total Raw Score Points (Maximum- 100 points):**

(Multiply Total Points _____ x .45 = _____) * (Total Weighted Score for Separation Facts - Max. 45)

* _____ **Score #4: SEPARATION: DISCHARGE TOTAL WEIGHTED SCORE: (Maximum Score-45)**

Comments/Questions for Separation Component-Discharge: _____

VOLUNTARY QUIT SCORING

Separation Facts Component #4:

2. VOLUNTARY QUIT (45% of Total Weighted Case Score)

*Voluntary Quit
Retirement*

SEPARATION FACTS SCORE-VOLUNTARY QUIT (45% OF TOTAL WEIGHTED SCORE)

SEPARATION REASON: VOLUNTARY QUIT
<p>1. What is the type of separation per employer? (Maximum 5 points)</p> <p>_____ Type of separation provided: Voluntary Quit or Retirement, = 5 points.</p> <p>_____ Type of separation not provided or blank, score = 0 points.</p>
<p>2. What reason did the claimant give, according to the employer, for voluntarily leaving employment? (Maximum 5 points)</p> <p>_____ If question asked and reason provided by the employer, or N/A = 5 points.</p> <p>_____ If question is asked and reason not provided by the employer, = 2.5 points.</p> <p>_____ If question not asked, = 0 points.</p>
<p>3. VOLUNTARY QUIT FACTS/QUESTIONS (Maximum 30 points)</p> <p>Score only <u>one</u> of the following voluntary quit separation reasons (#3A. - #3J.)</p>
<p>3A. No Reason Given: (Maximum 30 points)</p> <p>_____ If additional questions asked regarding 'No Reason Given', = 30 points. (For Example: Are you aware of any reason/conditions the claimant may have had which resulted in the separation?)</p> <p>_____ If additional questions not asked regarding 'No Reason Given', =15 points.</p>
<p>3B. To Seek or Accept Other Employment: (Maximum 30 points)</p> <p>_____ If additional questions asked regarding 'To Seek or Accept Other Employment', = 30 points. (For Example: Were any changes made by the employer to the claimant's working conditions, i.e. hours, shifts, duties?)</p> <p>_____ If additional questions not asked regarding 'To Seek or Accept Other Employment', =15 points.</p>
<p>3C. Due to Health Reasons: (Maximum 30 points)</p> <p>_____ If additional questions asked regarding 'Due to Health Reasons', = 30 points. (For Example: Was the claimant unable to perform current job duties on the advice of a doctor? Were other job duties available/offered by the employer?)</p> <p>_____ If additional questions not asked regarding 'Due to Health Reasons', =15 points.</p>
<p>3D. Due to Job Dissatisfaction: (Maximum 30 points)</p> <p>_____ If additional questions asked regarding 'Due to Job Dissatisfaction', =30 points. (For Example: What reason did the claimant give the employer for the job dissatisfaction?)</p> <p>_____ If additional questions not asked regarding 'Due to Job Dissatisfaction', =15 points.</p>
<p>3E. In Lieu of Discharge: DO NOT SCORE HERE, SCORE USING SEPARATION FACTS FOR DISCHARGE</p>
<p>3F. Personal Reasons: (Maximum 30 points)</p> <p>_____ If additional questions asked regarding 'Personal Reasons', =30 points. (For Example: Please explain the reason the claimant gave the employer for voluntarily quit.)</p> <p>_____ If additional questions not asked regarding 'Personal Reasons', =15 points.</p>
<p>3G. Failure to Report for Work/Abandonment: (Maximum 30 points)</p> <p>_____ If additional questions asked regarding 'Failure to Report for Work/Abandonment', = 30 points. (For Example: Are you aware of any reason the claimant failed to report to work?)</p> <p>_____ If additional questions not asked regarding 'Failure to Report for Work/Abandonment', =15 points.</p>

3H. Retirement: (Maximum 30 points)

- If additional questions **asked** regarding 'Retirement', = 30 points. (For Example: was the retirement mandatory?)
- If additional questions **not asked** regarding 'Retirement', = 15 points.

3I. Working Conditions: (Maximum 30 points)

- If additional questions **asked** regarding 'Working Conditions', = 30 points.
(For Example: Did employer make any changes in the claimant's hiring agreement or working conditions, i.e. hours, shifts, duties? What were the changes in the claimant's hiring agreement/working conditions?)
- If additional questions **not asked** regarding 'Working Conditions', = 15 points.

3J. Not Listed Above/Other: (Maximum 30 points)

- If additional questions **asked** regarding 'Not Listed Above/Other', = 30 points. (For Example: Please explain the reason the claimant left employment.)
- If additional questions **not asked** regarding 'Not Listed Above/Other', = 15 points.

4. Is the information provided in the VOLUNTARY QUIT FACTS/QUESTIONS adequate? (Maximum 20 points)

Select only one of the items (#4A. - #4F.) below and score accordingly:

- 4A. If information adequate and **no follow-up required**, = 20 points.
- 4B. If information adequate but **rebuttal required** for claimant statement, = 20 points.
- 4C. If additional **follow-up required** for clarification and/or missing information, = 10 points.
- 4D. If adequate information **not provided**, score 0 points.

Please explain why the VOLUNTARY QUIT FACTS/QUESTIONS was scored down (less than 20 points):

5. ACTION TO AVOID QUITTING (Maximum 20 points)

5A. Did the claimant take actions to avoid quitting? (Maximum 10 points)

- Question **asked** regarding actions to avoid quitting and **provided** (claimant did or did not take action to avoid quitting), = 10 points.
- Question **asked** regarding actions to avoid quitting but **not provided** (claimant did or did not take action to avoid quitting), = 5 points.
- Question **not asked** regarding actions to avoid quitting, = 0 points.

5B. What action did the claimant take to avoid quitting? (Maximum 10 points)

- Question **asked** regarding 'Action(s) Taken by Claimant' and **provided**, or N/A, = 10 points.
- Question **asked** regarding 'Action(s) Taken by Claimant' but **not provided**, = 5 points.
- Question **not asked** regarding actions to avoid quitting (5A. above), = 0 points.

6. CONTINUING WORK AVAILABLE (Maximum 20 points)

6A. Was continuing work available? (Maximum 10 points)

- Question **asked** regarding continuing work availability and **provided** (work was or was not available), = 10 points.
- Question **asked** regarding continuing work availability but **not provided** (work was or was not available), = 5 points.
- Question **not asked** regarding continuing work availability, = 0 points.

6B. Required only if voluntary quit reason provided in #3J. = Other/Not Listed Above. (Maximum 10 points)

- Employer comments regarding the reason the claimant gave for quitting the job on the last day even though continuing work was available **provided**, or N/A, =10 points.
- Employer comments **not provided** and voluntary separation reason = Other/Not Listed Above as indicated in #3J above, = 0 points.)

____ Total Raw Score Points (Maximum- 100 points):

(Multiply Total Points ____ x .45 = _____)*(Total Weighted Score for Separation Facts-Max. 45)

* ____ Score #4: SEPARATION: VOLUNTARY QUIT TOTAL WEIGHTED SCORE: (Maximum Score- 45)

Comments/Questions for Separation Component-VOLUNTARY QUIT:

STILL WORKING SCORING

Separation Facts Component #4:

3. Still Employed (45% of Total Weighted Case Score)

Still Employed, Full-Time

Still Employed, Part-Time

Still Employed, Hours Reduced by Employer

SEPARATION FACTS SCORE FOR STILL EMPLOYED: (MAXIMUM 100 POINTS) (45% WEIGHT OF TOTAL SCORE)

SEPARATION REASON: TEMPORARY SEPARATIONS

1. What is the reason for the claimant’s separation? (Maximum 10 points)

_____ Reason for STILL EMPLOYED separation provided, = 10 points.

_____ If not provided or blank, = 0 points.

EMPLOYER SEPARATION REASON COMMENTS

2. Explain why the claimant is no longer employed, indicate what additional information will be provided to the state and/or additional information relevant to the claim. (Maximum 90 points Total)

Score only one of the following below (A. - C.):

A. Still Employed, Full-Time (Maximum 90 points)

_____ If employer indicates claimant ‘Still Employed, Full-Time, = 90 points.

B. Still Employed, Part-Time (Maximum 90 points)

B1. Are additional question(s) asked regarding ‘Still Employed Part-Time’? (Maximum 45 points)

For example: Is the claimant working all available hours?

_____ If additional questions **asked** regarding ‘Still Employed Part-Time’, and **provided**, = 45 points.

_____ If additional questions regarding ‘Still Employed, Part-Time’ **asked**, but **not provided**, =22.50 points.

_____ If additional question regarding ‘Still Employed, Part-Time’ **not asked**, = 0 points.

B2. Is Additional Information indicated and provided? (Maximum 45 points)

_____ If ‘Additional Information’ indicated/asked and **provided**, = 45 points.

_____ If ‘Additional Information’ indicated/asked, but **not provided**, = 22.50 points.

_____ If ‘Additional Information’ not indicated/asked and **not provided**, = 0 points.

C. Vacation/Holiday Shut-down (Code 4) (Maximum 90 points)

C1. Working all available hours? (Maximum 30 points)

_____ ‘Working All Available Hours’ question **asked** and **provided**, =30 points.

_____ ‘Working All Available Hours’ question **asked** and **not provided**, = 15 points.

_____ If ‘Working All Available Hours’ question **not asked**, = 0 points.

C2. Are additional question(s) asked regarding ‘Still Employed, Hours Reduced by Employer’? (Maximum 30 points)

For example: Why were hours reduced by the employer?

_____ If additional questions **asked** regarding ‘Still Employed Hours Reduced by Employer’, and **provided**, = 30 points.

_____ If additional questions **asked** but, **not provided**, =15 points.

_____ If additional questions **not asked**, = 0 points.

C3. Is Additional Information indicated and provided? (Maximum 30 points)

_____ If 'Additional Information' **indicated** and **provided**, = 30 points.

_____ If 'Additional Information' **indicated** but **not provided**, = 15 points.

_____ If 'Additional Information' **not indicated/not asked** and **not provided**, = 0 points.

_____ **Total Raw Score Points (Maximum- 100 points):**

(Multiply Total Points _____ x .45 = _____)*(Total Weighted Score for Separation Facts-Max. 45)

* _____ **Score #4: SEPARATION: STILL EMPLOYED TOTAL WEIGHTED SCORE: (Maximum Score- 45)**

Comments/Questions for Separation Component-*STILL EMPLOYED*:

TEMPORARY SCORING

Separation Facts Component #4:

TEMPORARY SEPARATIONS (45% of Total Weighted Case Score)

- Temporary Lay-Off*
- Lack of Work*
- Vacation/Holiday Shut-down*
- School Employee between Terms, Likely to Return*
- On Call/Temporary*
- Leave of Absence*
- Disciplinary Suspension*
- Professional Athletes Sports Seasons*
- Disaster Related Separation*

**SEPARATION FACTS SCORE FOR TEMPORARY SEPARATIONS: (MAXIMUM 100 POINTS)
(45% WEIGHT OF TOTAL SCORE)**

SEPARATION REASON: TEMPORARY SEPARATIONS
<p>1. What is the reason for the claimant’s temporary separation? (10 points)</p> <p>_____ Reason for temporary separation provided, = 10 points. _____ Reason for temporary separation not provided or blank, = 0 points.)</p>
EMPLOYER SEPARATION REASON COMMENTS
<p>2. Explain why the claimant is no longer employed, indicate what additional information will be provided to the state and/or additional information relevant to the claim. (Maximum Total 90 points)</p> <p>Score only <u>one</u> of the following below (A. - I.):</p>
<p>A. Temporary Lay-Off (Code 1) (Maximum 90 points)</p>
<p>1. Employer Statement given? (30 points)</p> <p>_____ Employer Statement provided = 30 points. _____ N/A, = 30 points. _____ Employer Statement not provided, = 0 points.</p>
<p>2. Return to work date question? (30 points) (Does the claimant have a definite date to return to work?)</p> <p>_____ Return to work date question indicated and provided, = 30 points. _____ Return to work date question indicated and not provided, = 15 points. _____ Return to work date question not asked, = 0 points.</p>
<p>3. Is ‘Additional Information’ indicated and provided? (30 points) (Note to scorer: Additional information may include attachments.)</p> <p>_____ Additional information indicated and provided, = 30 points. _____ N/A, = 30 points. _____ Additional information indicated, but not provided, = 0 points.</p>
<p>B. Laid Off/Lack of Work (Code 2) (Maximum 90 points)</p> <p>_____ If employer indicates Laid Off/Lack of Work, = 90 points.</p>
<p>C. Vacation/Holiday Shut-down (Code 4) (Maximum 90 points)</p>
<p>C1. Employer Statement given? (30 points)</p> <p>_____ Employer Statement provided, = 30 points. _____ N/A, = 30 points. _____ Employer Statement not provided, = 0 points.</p>

C2. Return to work date question? (30 points) (Does the claimant have a definite date to return to work?)

- Return to work date question indicated and **provided**, = 30 points.
- Return to work date question indicated and **not provided**, = 15 points.
- Return to work date question **not asked**, = 0 points.

C3. Is 'Additional Information' indicated and provided? B-33 (30 points) (Note to scorer: Additional information may include attachments.)

- Additional information **indicated** and **provided**, = 30 points.
- N/A**, = 30 points.
- Additional information **indicated**, but **not provided**, = 0 points.

D. School Employee between semesters, Likely to Return (Code 7) (Maximum 90 points)

D1. Employer Statement given? (30 points)

- Employer Statement **provided**, = 30 points.
- N/A**, = 30 points.
- Employer Statement **not provided**, = 0 points.

D2. Return to work date question? (30 points) (Does the claimant have a definite date to return to work?)

- Return to work date question indicated and **provided**, = 30 points.
- Return to work date question indicated and **not provided**, = 15 points.
- Return to work date question **not asked**, = 0 points.

D3. Is 'Additional Information' indicated and provided? (30 points) (Note to scorer: Additional information may include attachments)

- Additional information **indicated** and **provided**, = 30 points.
- N/A**, = 30 points.
- Additional information **indicated**, but **not provided**, = 0 points (Reasonable Assurance)

E. On-Call/Temporary (Code 12) (Maximum 90 points)

**E1. Employer Statement/Additional information regarding 'On-Call/Temporary'? (45 points)
(For example: Is the claimant working all available hours? Was claimant hired as on-call?)**

- Employer statement/additional information **provided**, = 45 points.
- Employer statement/additional information **not provided**, = 0 points.

E2. Is 'Additional Information' indicated and provided? (45 points)

- Additional information indicated and **provided**, = 45 points.
- N/A**, = 45 points.
- Additional information indicated, but **not provided**, = 0 points.

(Example: Employer indicates the claimant was moved to on-call but gives no reason for the move.)

F. Leave of Absence (Code 13) (Maximum 90 points)

**F1. Employer Statement given/Additional information regarding 'Leave of Absence'?
(30 points) (For example: What is the reason for the leave of absence?)**

- Employer statement/additional information **provided**, = 30 points.
- Employer statement/additional information **not provided**, = 0 points.

F2. Return to work date question? (30 points) (Does the claimant have a definite date to return to work?)

- Return to work date question indicated and **provided**, = 30 points.
- Return to work date question indicated and **not provided**, = 15 points.
- Return to work date question **not asked**, = 0 points.

F3. Is 'Additional Information' indicated and provided? (30 points) (Note to scorer: Additional information may include attachments)

_____ Additional information indicated and **provided**, = 30 points.

_____ **N/A**, = 30 points.

_____ Additional information indicated, but **not provided**, = 0 points.

(Example: The employer indicated the Claimant requested the leave of absence but did not provide the reason for the leave.)

G. Disciplinary Suspension (Code 15) (Maximum 90 points)

G1. Employer Statement given? (30 points)

_____ Employer Statement **provided**, = 30 points.

_____ **N/A**, = 30 points.

_____ Employer Statement **not provided**, = 0 points.

G2. Return to work date question? (30 points) (Does the claimant have a definite date to return to work?)

_____ Return to work date question **indicated** and **provided**, = 30 points.

_____ Return to work date question **indicated** and **not provided**, = 15 points.

_____ Return to work date question **not asked**, = 0 points.

G3. Is 'Additional Information' indicated and provided? (30 points) (Note to scorer: Additional information may include attachments.)

_____ Additional information **indicated** and **provided**, = 30 points.

_____ **N/A**, = 30 points.

_____ Additional information **indicated**, but **not provided**, = 0 points. (Example: Employer states the claimant signed a statement admitting to the infraction but did not provide the statement.)

H. Professional Athlete Between Sports Seasons (Code 17) (Maximum 90 points)

H1. Employer Statement given? (30 points)

_____ Employer Statement **provided**, = 30 points.

_____ **N/A**, = 30 points.

_____ Employer Statement **not provided**, = 0 points.)

H2. Return to work date question? (30 points) (Does the claimant have a definite date to return to work?)

_____ Return to work date question **indicated** and **provided**, = 30 points.

_____ Return to work date question **indicated** and **not provided**, = 15 points.

_____ Return to work date question **not asked**, = 0 points.

H3. Is 'Additional Information' indicated and provided? (30 points) (Note to scorer: Additional information may include attachments.)

_____ Additional information **indicated** and **provided**, = 30 points.

_____ **N/A**, = 30 points.

_____ Additional information **indicated**, but **not provided**, = 0 points.

I. Disaster Related Separation (Code 18) (Maximum 90 points)

_____ If employer indicates 'Disaster Related Separation', = 90 points.

_____ **Total Raw Score points (Maximum- 100 points)**

(Multiply Total Points _____ x .45= _____*(Total Weighted Score for Separation Facts-Max. 45)

* _____ **Score #4: SEPARATION: TEMPORARY SEPARATIONS TOTAL WEIGHTED SCORE: (Maximum Score- 45)**

Comments/Questions for Separation Component-TEMPORARY SEPARATIONS: _____

OTHER SCORING

Separation Facts Component #4:

OTHER SEPARATIONS (45% of Total Weighted Case Score)

School Employee between Semesters, NOT Likely to Return

Not Listed Above

Refuse to Provide

SEPARATION FACTS SCORE-OTHER: (MAXIMUM 100 POINTS) (45% WEIGHT OF TOTAL SCORE)

SEPARATION REASON : Other (45% of Total Weighted Score)

1. What is the reason for the claimant’s separation? (Maximum 10 points)

_____ Reason for ‘OTHER’ separation **provided**, = 10 points.

_____ Reason for ‘OTHER’ separation **not provided** or blank, = 0 points.

EMPLOYER SEPARATION REASON COMMENTS (Maximum 90 points)

2. Explain why the claimant is no longer employed, indicate what additional information will be provided to the state and/or additional information relevant to the claim. (Maximum 90 points Total)

Score only one of the following below (A. – C.):

A. School Employee Between Semesters, Not Likely to Return (Code 8) (Maximum 90 points)

A1. Employer Statement given regarding ‘School Employee Between Semesters, Not Likely to Return’? (Maximum 45 points) (For example: Why is the claimant not likely to return?)

_____ Employer statement **provided**, = 45 points.

_____ Employer statement **not provided**, = 0 points.

A2. Is ‘Additional Information’ indicated and provided? (Maximum 45 points)

_____ Additional information indicated and **provided**, or N/A = 45 points.

_____ Additional information indicated, but **not provided**, = 0 points.

B. Still Employed, Part-Time (Code 10) (Maximum 90 points)

B1. Employer Statement given? (Maximum 45 points)

_____ Employer Statement **provided**, score = 45.

_____ Employer Statement **not provided**, = 0 points.

B2. Is ‘Additional Information’ indicated and provided? (Maximum 45 points)

_____ Additional information **indicated** and **provided**, or **N/A** = 45 points.

_____ Additional information **indicated**, but **not provided**, = 0 points.

C. Refused to Provide (Code 99) (Maximum 90 points)

C1. Employer Statement given? (Maximum 45 points)

_____ Employer Statement **provided**, = 45.

_____ Employer Statement **not provided**, = 0 points.

**C2. Are additional question(s) asked regarding ‘Still Employed, Hours Reduced by Employer’? (Maximum 30 points)
For example: Why were hours reduced by the employer?**

_____ Additional information **indicated** and **provided**, or **N/A** = 45 points.

_____ Additional information **indicated**, but **not provided**, = 0 points.

____ Total Raw Score Points (Maximum- 100 points)

(Multiply Total Points ____ x .45 = _____)*(Total Weighted Score for Separation Facts-Max. 45)

* ____ Score #4: SEPARATION: OTHER TOTAL WEIGHTED SCORE: (Maximum Score- 45)

Comments/Questions for Separation Component-OTHER: _____

SCORECARD: Employer Initial Response study

Separation Component Scores

- _____ Scoring #1: Provider/Preparer Total Weighted Score
- _____ Scoring #2: Key Employment Dates Total Weighted Score
- _____ Scoring #3: Income/Remuneration Total Weighted Score
- _____ Scoring #4: Separation Facts Total Weighted Score

_____ Total Weighted Case Score (100%) for Unique Case ID # _____

Scorer Information

Name: _____

Comments/Observations: _____

Enter case scores into Survey Gizmo Link: <http://www.surveygizmo.com/s3/3439772/SIDES-Employer-Study-Results>

After submitting the score for a case in Survey Gizmo, it will be necessary to start over with the link listed above in order to enter additional case scores.

QUESTIONNAIRE

Below are some questions we would like to review in order to obtain additional information. These items will not be scored or considered in the Total Weighted Score of the claim/case.

ADDITIONAL ITEMS:

1. What information/questions, if any, were attached/included by the state to the SIDES/E-SIDES separation information requests? If yes, please identify type(s) of information added.

2. Was there any duplication of questions among state additional questions and SIDES/E-SIDES separation information requests? If yes, please specify.

3. Comments/Questions?

Thanks for your time and input!

