

ET HANDBOOK NO. 410, 4th EDITION

APPENDIX D

FUNCTIONAL ACTIVITY CODES

After determining the costs that can be included in the RJM, allocate those costs to the ten functional activity codes and nine NPS categories. The coding structure below shows what costs are to be included in each category. Each state should develop its own system of converting its accounting data to the RJM format. While each state is responsible for designing its own system, it is suggested that a worksheet be developed to show how the data is crosswalked. The system that the state chooses to use in converting its data from its system to the RJM system must be documented and designed so that a reviewer will be able to trace the data conversion.

ET Handbook No. 362 documented the functional activity codes for workforce agencies. The RJM has condensed these codes for the RJM system to ten functional activities. The functional activity codes used in the RJM have been modified to include current terminology and to include additional tasks that were not covered in ET Handbook 362.

Activity Code Principles

1. Charge time directly to a specific functional activity when possible.
2. Charge training on a specific function to that functional activity code.
3. Charge direct supervision of a specific function to that functional activity code. This includes direct or first level supervision of operating functions. All time spent on supervising a direct activity, even though an individual may supervise more than one (i.e., initial claims and weeks claimed), should be charged proportionally to the codes.
4. Charge travel associated with a functional activity to that functional activity code.
5. Charge ADP programming services for specific functional activities to that activity.
6. Charge time for system administrators and operators for activities such as scanner and voice response systems to the specific functional activity code.
7. Charge time spent on maintaining files to the specific functional activity.
8. Charge time to AS&T function codes when such time cannot be directly charged to a program's functional activity code.
9. Include only the UI portion of AS&T charges.

INITIAL CLAIMS

1. Taking and processing New, Transitional, and Additional UC, UCFE, and UCX, claims including intrastate, interstate agent and interstate liable.
2. Fact finding by agent state with respect to wage record issues, separation, or non-separation issues on interstate claims.
3. Obtaining data concerning dependents' allowances.
4. Requesting UCFE wage and separation information from Federal Agencies (Form ES-931 and ES-934).
5. Preparing and submitting UCFE-UCX control cards to the Louisiana Claims Control Center, and preparing requests to the Armed Forces on UCX claims.
6. Determining monetary eligibility of claimants for unemployment insurance benefits based on wage records or wage request reports and other benefit factors, such as seasonality, full-time weekly wage combining, pension provisions, and dependents' allowances.
7. Computing weekly and maximum benefit amounts, and notifying claimants or employers.
8. Ascertaining facts and disposing of protests, inquiries and appeals concerning wage credit disputes, issuing a redetermination.
9. Obtaining and furnishing hearing information for combined wage credit claims.
10. Maintaining and operating both claim application and claim determination files and preparing first compensable claim materials, address files, payment history.
11. Receiving, batching, and controlling new claims and returning claims to local offices.
12. Local office reception functions pertaining to unemployment insurance, such as questioning persons to determine the type of claim to be filed, issuing appropriate claim forms with instructions for completion, and directing claimants to the proper reporting station. Clerical activities performed by receptionists in local offices, which can be clearly identified with a specific function, should be charged to that function.
13. Interviewing claimants following breaks in the series due to illness, disqualification, unavailability, or failure to report for any reason other than job attachments, and no waiting period or compensable claim is taken during the interview.

14. All activities not elsewhere classified that can be identified with unemployment insurance. Includes discussing or resolving general problems, questions, or other matters pertaining to unemployment insurance that cannot be related to any specific UI functional activity code. Includes telephone inquiries and correspondence. Includes voluntary withholding.
15. Where applicants and claimants are served at the same reception point, the prorated share charged to functional activity codes should preferably be measured by short-term time study, such as work sampling or time log.
16. Traveling to service itinerant points in support of Initial Claims, Weeks Claimed and Nonmonetary Determinations. Setting up and tearing down equipment at the itinerant point and similar activities that are necessary to provide service.

WEEKS CLAIMED

1. Taking and processing waiting period or compensable claims. When this is done in conjunction with the performance of another function (such as the benefit rights interview or nonmonetary determinations), the time spent in taking the certification for a waiting period or compensable claims taking.
2. Interviewing claimants, preparing necessary records, and transmitting claims or pay authorization for further processing.
3. Reviewing payment authorizations in the central and/or local office.
4. Interviewing claimant periodically to obtain further information on claimant's employability.
5. Processing weekly continued claims for payment.
6. All interstate agent fact-finding activities involving the IB-2 process, whether separation or non-separation issues.
7. Reviewing and examining authorization for payment in the central office.
8. Controlling and releasing pay orders.
9. Preparing and distributing benefit checks.
10. Performing operations for balance control, updating of benefit payment histories.
11. Reconciling benefit-account bank statements, and controlling and filing paid checks, pay orders, vouchers, and other payment data.
12. Post examining payments as a quality control procedure.

13. Contingency experience rating activities in those states having charging provisions in their state laws as performed in states having reserve and benefit ratio rating provisions (charging benefit payments instead of wages); disposing of protests, inquiries, and appeals concerning payment charge backs.
14. Experience rating activities in those states having charging provisions in their state laws as performed in states having benefit wage ratio provisions (charging wages instead of benefit payments); disposing of protests, inquiries, and appeals concerning wages charged.
15. Determining labor force attachment; identifying restrictions on availability; filing and searching documents and computer records in connection with the ERP; flagging and removing flags from documents and computer records; scheduling interviews; conducting and documenting interviews; referring claimants to adjudication or the Employment Service; and reviewing and developing claims work search plans (Intrastate and Interstate).
16. Traveling to service itinerant points in support of Weeks Claimed. Setting up and tearing down equipment at the itinerant point and similar activities that are necessary to provide service. Include Weeks Claimed travel in Initial Claims if unable to breakout separately.

NONMONETARY DETERMINATIONS

1. Obtaining facts and determining whether a claimant is entitled to receive benefits or waiting period credits for reasons other than those affecting his or her insured (monetary) status.
2. Interviewing, telephone contacts, correspondence, applying pertinent law or precedents, and making decisions.
3. Preparing and reviewing the determinations, and notifying interested parties.
4. Single claimant determinations and re-determinations.
5. Requesting additional separation information on UCFE claims (Form ES-934), and preparing claimant affidavits on separation information (Form ES-935).
6. Traveling to service itinerant points in support of Nonmonetary Determinations. Setting up and tearing down equipment at the itinerant point and similar activities that are necessary to provide service.

Note: Exclude time spent on multi-claimant nonmonetary determinations.

APPEALS

1. Local office staff time interviewing and assisting the claimant or employer to complete the appeal form; preparing, assembling, and transmitting the necessary records to the appeals authorities (includes processing appeals filed by mail and filed on the Internet).
2. State agency staff time (including other than appeals staff) preparing materials for use in processing an appeal, i.e., pulling files, preparing folders.
3. Recording an appeal, scheduling hearing, and notifying parties of the hearing.
4. Preparing and conducting the hearing by the referee; reporting the proceedings and testimony of the hearing by a hearing reporter or by mechanical recording equipment; and the attending and participating by agency personnel other than referee and reporter.
5. Transcribing hearing testimony for use (1) in split hearings or (2) for referee's use in preparing decision.
6. Preparing and mailing of the decision.
7. Requesting additional wage or separation information on UCFE claims (Form ES-934).
8. Traveling to service itinerant points in support of Benefit Appeals or to conduct hearings. Includes setting up and tearing down equipment at the itinerant point and similar activities that are necessary to provide services.

Note: Exclude time spent on multi claimant appeals.

WAGE RECORDS

1. Receiving, batching and establishing wage record files.
2. Reconciling total wage information with wage and tax summary information.
3. Maintaining wage record and wage report files, and updating, correcting, adjusting, purging, or verifying wage information.
4. Receiving and filing special notices, flashers, flags, etc.

BENEFIT PAYMENT CONTROL

1. Reviewing and post-auditing initial determinations, benefit payments, wage records, and other benefit payment data, including other program payments.

2. Investigating cases and determining action to be taken. Instituting corrective action, including disqualification of claimants and/or criminal prosecution because of willful misrepresentation. Includes legal work involved.
3. Arranging for restitution, including related collection activities and accounts.
4. Maintaining statistics on program activities.
5. Correcting benefit payment records for reasons of overpayment or underpayment and preparing reports for adjustment of benefit payment accounts.
6. Includes overpayment and fraud control in connection with UCFE-UCX claims and Form ES-936, UCFE verification activity.

TAX

1. Preparing and mailing employer contribution (tax) report forms.
2. Processing tax reports and money received, and maintaining employer accounting records.
3. All operations in posting payments received (current or delinquent), underpayment, overpayment, and adjustments to reflect the complete condition of each employer account, regardless of the system used, type of records, or where performed.
4. Maintaining necessary controls to establish tax and wage report delinquency.
5. Processing, preparing, and mailing proofs of credit (Treasury Schedules A and Form 940).
6. Preliminary reviewing and comparing of total wage information from the wage listing with wage and tax summary information from the contribution report.
7. Establishing and maintaining experience rating accounts, records, and files.
8. Determining tax rates and notifying employers.
9. Disposing of protests, inquiries, and appeals concerning rates and reserve accounts.
10. Determining eligibility for and processing transfers of predecessor experience rating accounts to successor accounts.
11. Identifying and locating employers and determining taxable status of employers.
12. Obtaining and screening leads, contacting employees, obtaining facts for making status determinations (including terminations), and rendering advice and service to employers.
13. Conducting hearings of employer appeals from status determinations.
14. Answering status questions from tax or legal personnel.

15. Conducting periodic, special, or combination field audits. Conducting systematic examination and verification of a subject employer's books and records for the purpose of determining amounts of taxable wages, taxes due, and interest or penalties.
16. Analyzing financial condition of employer for collection purposes.
17. Reviewing audit reports and financial statements to support audit findings.
18. Collecting delinquent employer taxes, interest, and penalties, and making refunds, when required, on overpayment.
19. Preparing and issuing delinquency notices, and debit and credit memorandum.
20. Obtaining delinquent wage and tax reports.
21. Maintaining records to control actions on collections and refunds.
22. Hearing appeals of assessments or penalties, including legal time.
23. Traveling to perform any direct operation in connection with employer status, delinquencies, collections and refunds, field audits, and experience rating.
24. Preparing bank and reimbursable billing reconciliations on various accounts.
25. Preparing and submitting Federal reports as required.
26. Maintaining UI General Ledger on contributions and benefit payments.

UI PERFORMS

1. Assessing program operations and developing plans for program improvement.
2. Consulting with federal partners in the development of a State Quality Service Plan (SQSP) that includes Continuous Improvement Plans (CIP'S) and Corrective Action Plans.
3. Conducting Tax Performance System reviews.
4. Benefit Accuracy Measurement including denials.
5. Benefit Timeliness and Quality
6. Data Validation

SUPPORT

1. Directly administering and supervising the UI program.
2. Managing and supervising UI operations by the UI Director and assistants, and all line personnel, except that time spent in direct or first level supervision.
3. Planning, directing, and controlling local office UI operations.
4. Fiscal management activities such as budget preparation and personnel operations for the UI program.
5. Office and support services such as switchboard and mail services when performed in the local office for the UI program.
6. Attendance at outside professional or technical conferences by UI management personnel or their designated representative, as well as in office meetings to discuss policies, procedures, personnel problems, or operating problems in general. Meeting to review operating performance in specific functional areas (e.g., nonmonetary determinations) should be charged to the operating codes applicable.
7. Preparing and verifying data for local office activity reports.
8. Promoting community understanding and acquainting the public through any media with policies and facilities of the UI program.
9. Reviewing employee time distribution sheets for completeness and accuracy.
10. Performing all internal security activities.
11. Performing interstate crossmatch and recovery.
12. Performing all duties of the TRA coordinator.
13. Performing all tasks of the ICON programmer.
14. UI Research and Statistics

AS&T

1. Performing the overall administration of employment security programs. Central office personnel engaging in this function include the executive director, executive assistants, legislative liaison, and supervisors of more than one of the AS&T staff functions

2. Legal activities related to the agency and not attributable to the Employment Service (ES) or Unemployment Insurance (UI), in which case time should be charged to the appropriate program management function code.
3. Organizing and planning by central office personnel.
4. Conducting management analysis activities.
5. Conducting internal audit (time related to the review and evaluation of fiscal management and control of the accounting records and procedures used by the fiscal department in the state agency).
6. Preparing and analyzing state and Federal UI statistical reports which cannot be directly charged to program functions.
7. Preparing and disseminating public information and official agency public relations activities that cannot be directly charged to ES or UI.
8. Performing overhead office services or support activities that cannot be charged directly to a functional activity code such as:
 - Telephone and switchboard operators
 - Receptionists
 - Mail room personnel
 - Library personnel
 - Building maintenance personnel
 - Copying and printing personnel
9. Preparing fiscal documentation for budget request and control of the overall agency budget.
10. Processing personnel time and attendance reports and payrolls.
11. Processing expenditure authorizations and vouchers.
12. Maintaining administrative fund accounts and preparation of required financial reports.
13. Maintaining general overall control accounts relating to state employment security agency funds.
14. Procuring supplies, conducting stockroom activities, and inventory activities.
15. Conducting financial management analysis and developing internal reports.
16. Preparing statewide time distribution reports and analysis.
17. Conducting property and space control activities.

18. Developing and administrating overall agency training activities.
19. Performing general administration of the ADP system and facility, systems maintenance and system operation. Personnel normally charging to this code should be ADP managers, analysts and programmers developing and maintaining general system software and general support personnel such as clerical, tape librarian and equipment operators.
20. Entering data in the central office that is for system maintenance or benefits all users.