

**FY 2004 Substantive Edits of ULP Manual**

Manual Reference	Revision	Revision Date
Posted 5/2004		
Foreword	Updated	5/2004
The Case File -- Part 2, Chapter C., & 2.a	The Agent must explain the reasons for an absence of activity in processing the case in the case log.	11/2003
The Case File -- Part 2, Chapter C, & 2.a	Any time evidence in another case file is considered in the disposition of a charge, the case file must contain a note referencing the Case No. where that evidence may be found.	11/2003
Evidence B Part 3, Chapter F, & 5.a.i	Any documentation in case files that is not clear on its face should be clarified, otherwise it has limited or no probative value.	11/2003
Telephonic Affidavits – Part 3, Chapter I, ¶ 3	However, it is appropriate to use the affidavit as a confirming letter if the Agent includes a statement in the fax cover sheet that is sent to the witness along with the draft affidavit telling the witness that in the event the affidavit is not returned as requested, that the Region intended to treat the draft affidavit as a confirming letter unless advised of inaccuracies, i.e., the information would be taken as true and correct.	11/2003
Regional Director Merit Determinations B Part 4, Chapter D, ¶ 2.a	Case file must contain documentation, e.g., FIR, before case goes to RD that contains the Agent=s recommendation. RD=s have discretion concerning what documentation to require but at a minimum it shall: (1) identify the issue; (2) provide a legal analysis; and (3) contain a recommendation concerning each allegation raised.	11/2003
Regional Director Merit Determinations B Part 4, Chapter D, ¶ 2.a	An RD=s disagreement with the Agent=s recommendation must be documented in the case file. If no disagreement, the RD states, A I agree, @ or words to that effect and signs the FIR or routing slip.	11/2003
Regional Director Merit Determinations B Part 4, Chapter D, ¶ 2.c	If held, an Agenda occurs only after the Agent has completed an FIR or other written documentation prepared by the Agent that contains the Agent=s identification of the	11/2003

	issues, legal analysis and recommendation.	
Dismissal Letter, Part 4, Chapter H, ¶ 2	Each allegation contained in the charge must be addressed, including allegations that are raised in an affidavit.	11/2003
Dismissal Letter, Part 4, Chapter H, ¶ 2	A quality dismissal letter does not contain grammatical and typographical errors	11/2003
Appeals, Part 5, Chapter C, ¶ 4.b	Although there is no requirement that a Dismissing Region comment on an appeal, generally the Regions should provide a comment, unless deemed unnecessary. Such comments contribute information which is not contained in the case file and which add to the Working Region=s understanding of the Dismissing Region=s rationale for its dismissal and the method and scope of the Dismissing Region=s investigation. The comments also aid in the drafting of modified denial letters, as appropriate.	11/2003
Appeals, Part 5, Chapter C, ¶ 12.a	Maintenance of confidentiality in appeals assignments has been added to the appeals quality standards	11/2003
Parity, Part 5, Chapter D	The title of the Chapter is changed to ACase Management.@ All references to Aparity@ throughout the manual are changed accordingly.	11/2003