

CHAPTER III  
DATA PROCESSING - SESA MAIN FRAME COMPUTER OPERATIONS  
AND INTERFACES WITH QC MICRO COMPUTER

1. Introduction.

The UI QC system has been designed to be as highly automated as possible. Each State has a dedicated supermicro computer at the center of all QC operations, which links with both the State UI mainframe computer and with the DOL QC host computer using the most direct and sophisticated telecommunications means available. This high degree of automation is designed to increase the accuracy of data flows by minimizing the number of paper transactions and simplifying data storage and retrieval; to increase the usefulness of the data by simplifying data retrieval and raising the sophistication with which it can be manipulated and combined with other data; and to reduce the amount of time QC staff must spend in data handling.

This chapter contains the specific procedures required for developing the data records to be used by the QC program from existing SESA data files. Information is downloaded (transferred) directly to the micro computer provided to each SESA's QC unit. Definitions, coding schemes and record formats are provided for all items required.

2. Overview.

Because of the inherently diagnostic character of QC, it involves marshalling appropriate data. The data gathered are used for several purposes. Of primary importance is the information provided to the QC unit to assist it in investigating the accuracy of payments made in the sampled weeks. Because this involves sample data, data operations concern selecting and assessing the representativeness of the samples. Data other than those required for assessing payment accuracy are needed to create the population or universe from which the samples will be taken and to ensure statistical validity of the sampling procedures. Other information will be gathered for longitudinal research files and to produce certain federally required reports.

To meet these needs it is necessary to extract data from SESA mainframe files in three (3) different record formats:

a. Record Type 1. This data record is labelled "Type 1" because the elements are central to the QC function. They all pertain to the sampled cases and include control data, data passed (downloaded) from existing automated State UI files, and data manually collected and/or verified by QC field investigators. These data permit QC staff to determine whether or not the sampled case was processed accurately.

b. Record Type 2. These are longitudinal data on the wages paid to claimants whose cases were sampled previously for QC investigation. As they become available, the State downloads them to the QC micro computer from its mainframe. Creation and collection of this record is required of all States which maintain or have access to quarterly wage information.

c. Record Type 3. Although listed third, the data on this record must be extracted first. These data elements are first obtained from the State files for the entire universe of weekly UI transactions--the universe from which the QC samples will be selected. Record 3 contains more data elements than the initial QC "sampling frame" requires, for two reasons: (1) to permit expanding the QC universe beyond its initial configuration of paid claims and into the areas of determinations on denied initial and continued claims if later desired; and (2) to permit States to use the QC automated system as the vehicle for reporting the data now reported manually on required ETA reports 5-39, 5-210, 5-159, and 203.

The weekly population data on Record 3 which pertain to the current QC sampling frame are aggregated to produce certain population proportions--claimant characteristics, average weekly benefit amounts, etc. These universe proportions are the controls used for checking the representativeness of the weekly QC samples.

Historical Record 3 data (like Record 2 data) are also compiled for each person who had a weekly claim chosen for QC investigation. This longitudinal payments history file will be used in tandem with the Record 2 earnings history. The data on both records will be available for State and Federal research and policy analysis.

### 3. Detailed Instructions to State ADP Staff.

This section of the chapter discusses (1) the tasks to be performed by State ADP staff in the creation of Records Type 1, 2, and 3; (2) the creation of various reports based on those records; and (3) the process to follow to provide for the

downloading of records and reports to the QC micro computer. It also provides all information needed to carry out the tasks, and contains an explanation of the functions performed by a COBOL program, supplied by DOL to the States, to assist States in performing QC tasks. Although all the tasks described in this section will be performed continuously and simultaneously once QC is fully operational, the discussion proceeds chronologically, from the beginning of one "cycle" to its end. It thus begins with the creation of Record Type 3.

Step 1: Create the QC Master Transactions File. The initial QC operation is the assembly of a universe file of weekly UI transactions consisting of information on initial claims and weeks claimed. State ADP staff must write the program to create this file. The data elements are those referred to above as Record Type 3. This file will be the basis for: drawing the weekly QC sample; testing its representativeness; updating the longitudinal claims history file; and preparing several required UI reports now done manually. Because it is being used to produce required reports, and to allow for expansion of the scope of QC investigations in future years, this file contains more data elements than are required to draw and validate the initial QC sample.

a. Definitions and Record Format. The definitions and format for this file (Record 3) are given in APPENDIX A to this chapter.

b. Timing and Frequency. This file is to be created weekly, beginning with the week ending July 20, 1985. It may be created by accessing SESA files each day these files are updated or once each week after all updating activity has been completed. The weekly period is defined to be 12:00 a.m. Sunday to 11:59 p.m. Saturday. The file must be ready for processing as soon as possible after all transactions for the week have been extracted but no later than the following Monday morning.

If the SESA routinely maintains a cumulative file during the uniformly-defined week, the weekly transaction file may be created with a single computer run at the end of the week. If a cumulative file is not maintained, it will be necessary to construct the weekly data file by accessing SESA files each day they are updated. Each SESA may determine the most efficient file creation procedure in light of its normal operations.

For purposes of illustration, assume that the SESA updates five nights per week, Monday through Friday, and that no cumulative file is routinely maintained during

this week-long period. In this case, it would be necessary to construct the master transactions file by accessing files each night to cumulate the records. The computer program that the State has written to select records for the QC master transactions file must be executed on Monday night after the UI transaction data base has been updated, and the output must be stored. The same procedure must be repeated on Tuesday and the records selected for Tuesday must be added to the file created on Monday. In this example, this procedure would be applied five times during the week to obtain the total records for the QC master transactions file for that week. The Run Date will be included in each record selected for the weekly universe file. If the program the State has written to create the QC master transactions file were run only once each week (because the SESA maintains a cumulative file of UI transactions), then one Run Date would be entered for all records selected for the weekly QC master transactions file. In contrast, if the program were run on five different days each week (after the UI transaction files were updated each day), then the Run Date for the records in the weekly master transactions file would have five different values corresponding to the dates on which the records were selected.

c. Distinguishing Between Payments and Weeks. The weekly QC master transactions file can be constructed without difficulty as long as there is a separate record for each specific week of unemployment paid or offset in the files. Problems may arise in constructing the transactions file if the UI transactions data base has a single payment record (or applies a single offset) that meets the definition of an original payment but is for more than a single week of unemployment.

Suppose, for example, that in a case involving a labor dispute, a ruling is issued that an individual claimant be paid for eight weeks of unemployment claimed after the labor dispute began. If the SESA has only a single record in its computer files at the time all eight weeks of unemployment are paid, it will be necessary to create eight individual records on the weekly SESA data file.

Alternatively, some SESAs create two or more separate records for a single week's payment. They may do this when that week is chargeable to two or more programs (e.g., UI, UCFE, UCX) or to two or more employers, or is for a payment and an offset. If this occurs, the separate records must be combined. The file must have a single payment/offset record for each claimant for each week.

These procedures must be followed because the QC sample consists of single weeks for which UI benefits were paid or offsets applied. The QC sampling methodology requires that each element in the sampling frame (that is, each record in the survey population file) represent a single week compensated. Also, the specific amount of the payment/offset that applies to each individual week of unemployment must be identified on the record for each week.

Step 2: Edit the Universe Transactions File. To edit the universe file, as well as to accomplish a number of other tasks described in subsequent steps, the Department has prepared an ANSI COBOL program which will be made available on request to all States.

a. Obtaining the Program Tape. To obtain this tape, forward requests to:

NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Be sure to specify that the request is for "Quality Control - COBOL Program - Record Type Three".

The tape specifications will be included along with all necessary instructions for running and implementing it.

Each SESA should copy the tape and return the original tape to the above address.

b. Modify and Install the Program. Upon receiving and copying the COBOL program, make the modifications to the program that are necessary to enable it to run on the State system. Some SESAs may have to make COBOL changes due to system, vendor, or other criteria used in the data processing area. Install the modified program in the SESA's program library as an integral part of the QC operational system.

c. Use of the Program for Editing the Universe File. To use the COBOL program, each State must prepare an Input Control Record. The format for this record is shown in APPENDIX B to this chapter. Input control data are used to set certain limits on the input records and to enter certain information used for identification or calculations. This information includes e.g. ten alphabetic characters to set the State name in the output

table; the two-digit state FIPS code; a three-digit numeric maximum benefit amount (including dependents' allowances if applicable) to set the upper limit on amount paid; two six-digit dates for beginning and ending dates of the batch being selected; and a four-digit numeric number for the batch. Some of the elements in this record relate to the use of the COBOL program for drawing the weekly QC sample. QC staff may provide some of these data to the ADP staff weekly (e.g., element # 7, "Number of Weeks to be Sampled this Batch").

d. Special Routines. The following subroutines are used in this edit:

(1) Local Office Table. This table consists of 200 four-digit fields. Local Office (LO) number in the record format is four digits. States must load the table with numeric values, using one of the 200 fields for each local office in the State. For example, if the lowest LO number in your State is "10", the first four characters in the table would be loaded as 0010. The next highest LO number may be "25" so the next four characters in the table should be loaded as 0025. Continue to enter numbers, assigning one of the four-digit fields to each LO. Be sure to use leading zeros if the actual number is less than four digits. Zeros should appear in all other elements not needed to account for all your local offices. This enables the edit to be performed by using the numeric value of the local office.

(2) Transaction Date. Edit criteria may vary from State to State for this item. In some States it is possible for the Transaction Date to be greater than the Run Date, so this data element is edited against the claim date.

e. Output of the Edit. APPENDIX C contains an example of an output error listing along with a list of all possible error edits and corresponding reasons for the error. The output format provides separate print lines for each record found to have a numeric, alpha, or relational error.

Nonfatal Errors. Records having errors in any field except Batch # will be accepted and used in all procedures, with the data failing the edit considered missing. No corrections to the file should be made. The error listing is provided to indicate any mistake of a continuing nature in the input transactions universe file or in the State UI transactions data base which may require corrections.

Fatal Errors. If Batch # fails the edit, it is considered a fatal error and the record is not used. The program lists the records with fatal errors as part of the edit output.

Step 3: Aggregate Selected Elements from Edited Universe Transaction file for Required Reports. The COBOL program will aggregate the elements necessary to produce required reports ETA 5-210, 5-39, 5-159, and 203. These weekly aggregates will be extracted by (downloaded to) the QC Pro 380 computer for transmission to DOL.

Step 4: Define the QC Survey Population (Sampling Frame). In order to make statistically reliable inferences about the claimant population from the investigation of sampled cases, it is first necessary to ensure that the population about which the inferences will be made is defined consistently week to week. This task is performed by the COBOL program using combinations of the coding in the fields of each Record Type 3. The definitions used by the COBOL program to identify this population are given in APPENDIX D. Each week, running the COBOL program creates the QC sampling frame by selecting from the edited universe file those weeks compensated whose elements conform to the definitions in APPENDIX D.

Step 5: Select the Weekly Sample. QC samples are selected once each week. This function is performed by the COBOL program, which takes as input the QC survey population file (created in the preceding step) and selected inputs from the Input Control Record (APPENDIX B). The COBOL program will sort the QC survey file in order of ascending payment, intercept, and/or offset and again by Social Security Number (SSN) and select the sampled cases for investigation by applying a random start number (from Input Control Record) and a calculated skip interval. This process is described in detail in APPENDIX E. The SSNs selected, in their Record Type 3 format, will be the basis for compiling Record 1 data for QC investigation and the historical data for the longitudinal files of Records 2 and 3.

a. Actions Required of ADP Staff. The standard weekly sample size and random start numbers are provided by the national office for each State and may be written into the Input Control Record as a default for repeated use over long time periods (e.g., up to a year for random numbers; and until basic sample sizes are changed for QC for the weekly sample size). However, the QC supervisor may change sample sizes within the range given in APPENDIX E to accommodate investigator vacation schedules or other factors and may thus wish to provide the weekly sample size each week. These procedures must therefore be resolved with the QC staff.

In addition, the QC supervisor in each SESA may request additional information. For example, for each case sampled, the supervisor may wish to report the claimant's name, local address, phone number, and similar information such as printouts of claimant history or wages. These additional data elements would be produced only for the benefit of the QC supervisor and staff. This information would not be transmitted outside the SESA.

Step 6. Build a Cumulative File From QC Survey Population Defined in Step 4. The COBOL program will aggregate the necessary data for use in proportions tests to ensure the statistical validity of the QC sample. It will compile aggregates of selected data items from Record 3 for both sampled and nonsampled cases from the weekly sampling frame. These aggregates will be downloaded to the Pro 380 which will do the proportions test.

Step 7: Build a File of Record Type 3 for Sampled Cases. The COBOL program will create a file for those records selected as a result of the sampling process. This table is cumulative, with the SSNs selected in the current week added to those selected in previous weeks. The previously selected SSNs from this table will be used to update longitudinal files by extracting newly available Record Types 2 and 3 data, as described below.

Step 8: Create Record Type 1. The complete Record 1 contains all the necessary information on an individual claimant in general and specifically for the week the claimant is selected for investigation. Data are gathered reflecting status at time of selection including such items as weekly benefit amount, remaining entitlement, and base period wages etc. All Record 1 data available in existing SESA UI data bases must be extracted for downloading to the QC computer.

a. Timing and Frequency. SESAs must create Record Type One on a weekly basis. A separate Record One must be created each week as soon as possible after each SSN has been selected by the sampling process. Records Type One, therefore, must also be available on Monday morning. It is created only once for each compensable week ending date (CWE) under each SSN selected. These Record Ones are passed to the QC micro computer for completion through field investigation by the QC staff.

b. Format and Definition. The record format for Record 1 is in APPENDIX F of this chapter. This format gives appropriate codes or information needed in the Record One data fields. All of the fields cannot be completed from mainframe files since some data can only be obtained by

QC investigative work. These fields must be left blank as indicated in the record format. Also leave blank the fields for missing or not applicable data. For fields potentially completable from the mainframe, use the proper format.

Since some of the data is completed by the QC Unit, the data definitions for all data items in Record One are included in Chapter IV. Chapter IV also instructs the QC Unit on entering data into the micro computer. SESA data processing staff should review the definitions portion of Chapter IV to ensure data are in the prescribed Record One format.

c. Selection Criteria. The control keys for selecting data for downloading are social security number (SSN) and compensable week ending date (CWE) of the selected week. The appropriate SSN and CWE will be provided from the Record Type 3 data as a result of selecting the sample cases as explained in Step 5 of this Chapter.

If a SESA UI file contains information for more than one year's benefit history, the information extracted for downloading in Record 1 must be only for the benefit year history in which the selected CWE belongs.

d. Record Retention. There is no requirement to hold a Record Type One for the SSN involved. Should that same SSN be selected in a subsequent sampling cycle, a new Record One would have to be created since a new week would be involved.

Step 9: Create Record Type 2. As each weekly QC sample is drawn, available historical wage (Record 2) and benefits/claims (Record 3) data are assembled for each person sampled. The longitudinal data base is formed by carrying forward the SSNs of individuals whose claims were previously sampled and updating their wage and claims/benefits histories, while adding new individuals from each QC sample.

Record 2 contains information regarding quarterly reported wages. This record will not be required of those SESAs not having quarterly wage files available. These records will not involve any data collection or coding by the QC unit; all data in these records must be downloaded from the SESA UI computer.

Because of the way the longitudinal file is created, State extraction routines must vary depending on whether a SSN is new (never been sampled) or old (previously sampled).

- o If a new record is being created, create a separate Record 2 for each employer in each quarter already existing in the SESA master wage file.
- o If an old record is being updated, only new information on wages for that person is to be added in a Record 2 format as it becomes available.
- a. Definitions and Format. The definition for each data element and the record format is in APPENDIX G of this chapter. Use specified coding when data is missing or not available.
- b. Frequency and Timing. A new Record 2 must be created as soon as possible after a new SSN has been added to the cumulative file. Record 2's should be updated for "old" SSNs in the cumulative file whenever wage files are updated with a new quarter's information.
- c. Selection Criteria. A Record Two must be created for any SSN resident in the cumulative file of SSNs sampled during the execution of the Record Type Three process explained in Step 7 of this Chapter.

Step 10: Create Record 3 for Sampled Cases. This is the other record in the longitudinal data base. The principles for creating and updating these records are the same as Record 2 (Step 9, above). As with Record 2, when Record 3 is created for those new SSNs selected in the sampling process, a separate Record Three must be compiled for each claim/payment that already exists in the UI mainframe files (for as many benefit years as possible). For SSNs placed in the cumulative file for previously sampled weeks, only new transactions or updates will trigger the addition of a Record 3.

Step 11: Establish QC Account in Mainframe for Downloading Information. The QC micro computer will need a login account on the SESA mainframe in order to pick up both Records 1, 2 and 3 for sampled cases, and various cumulated totals from the universe transaction file (population Record 3) for generating required reports and sample proportions tests. As an example: for SESA's which support time share option (TSO), the login account will contain a C LIST, which will allocate required data sets upon login. The actual vehicle for transfer will be the TSO "LIST" command. A standard logout will free the required data sets.

The actual method of connecting will be resolved State by State. Facilities for setting communications parameters are covered in Chapter X of the ADP manual.

The QC micros will contain the software to pick up data from the files created by the SESA extraction routines described above. All data transmitted to the QC micro will pass through a routine provided by the National Office which will put the data into final transfer format.

APPENDICES TO CHAPTER III

APPENDIX A: Record 3 Definitions, Format, and Record Layout

1. Data Definitions for Record Three

(NOTE: ALL FIELDS ARE NUMERIC)

1) State ID Code

Code used is Federal Information Processing Standard (numeric FIPS).

Field Size:  2  Digits

2) Batch Number

Indicates calendar year and week that file is created (YYWW). Each week of the year is assigned a unique number (week is Sunday to Saturday).

Field Size:  4  Digits

3) Social Security Number

Social Security Number of claimant.

Field Size:  9  Digits

4) Claim Date:

Dual purpose field:

Use Effective Date (YMMDD), if Record is an Initial Claim. Item #20, Weeks Claimed Type, will then be coded as "00".

Use Week Ending Date (YMMDD), if Record is a Week Claimed. Item #19, Initial Claim Type, will then be coded as "0".

Field Size:  6  Digits

5) Transaction Date

This is the date (YMMDD) that payment was made, or the date any offset or deduction was applied.

If none paid or applied, (i.e., initial claim or claimed/not paid), entry will be zeros.

Field Size:  6  Digits

- 6) Run Date for Program  
Identifies when program to build file was executed (YYMMDD).

Field Size:  6  Digits

- 7) QC Sample Selection Indicator  
Code scheme: 1 = This record was selected for Quality Control investigation.  
2 = This record was NOT selected for QC investigation.

NOTE: All records coded "2" when SESA data file is built.

Field Size:  1  Digit

- 8) Sex  
Code scheme: 1 = Male  
2 = Female  
8 = INA/Missing

Field Size:  1  Digit

- 9) Date of Birth  
Claimant's date (YYMM) of birth

All 8's entered when information is not available from the State's computer records.

Field Size:  4  Digits

- 10) Ethnic Classification  
Code scheme: 1 = White, not Hispanic  
2 = Black, not Hispanic  
3 = Hispanic  
4 = American Indian or Alaskan Native  
5 = Asian or Pacific Islander  
8 = INA

Field Size:  1  Digit

- 11) Local Office Number  
This identifies office through which the claim was filed.

Field Size:  4  Digits

12) Program Type

Code scheme:

1 = UI	5 = UCFE
2 = UI-UCFE	6 = UCFE-UCX
3 = UI-UCX	7 = UCX
4 = UI-UCFE-UCX	8 = Other
	9 = Missing

Field Size:  1  Digit

13) Unemployment Duration Code

Code Scheme:

1 = Regular

2 = State Supplemental Program  
(regular beyond 26 weeks when EB is triggered on)

3 = State Additional Program  
(special State extended beyond normal duration unless EB is triggered on)

4 = Extended Benefits

5 = Other Federal Extended

Field Size:  1  Digit

14) Amount Paid to Claimant

Whole dollar amount of check actually provided to the claimant.

If none paid, (i.e., initial claim, claimed/not paid, totally offset, intercepted, or deducted), entry will be 000.

Field Size:  3  Digits

15) Amount Offset Applied to Prior Overpayment

Whole dollar amount of entitlement applied to an outstanding overpayment.

If none offset, entry will be 000.

Field Size:  3  Digits

16) Amount of Child Support Intercept

Whole dollar amount of entitlement applied to outstanding child support payments.

If none offset, entry will be 000.

Field Size:  3  Digits

17) Earnings Deduction

Whole dollar amount deducted from claimant's entitlement due to earnings.  
If none deducted, entry will be 000.

Field Size:  3  Digits

18) Other Deductions

Whole dollar amount deducted from claimant's entitlement due to pensions, holiday pay, pay in lieu of notice, separation pay, etc.  
If none deducted, entry will be 000.

Field Size:  3  Digits

19) Initial Claim Type

Code scheme: 1 = New Claim  
2 = Additional Claim  
3 = Transitional Claim  
4 = Reopened Claim  
  
0 = NOT an Initial Claim  
(i.e., a Week Claimed)

Field Size:  1  Digit

20) Weeks Claimed Type

Code Scheme:

	<u>Paid</u>	<u>Claimed/ Not Paid</u>
Waiting week	11	21
First payment	12	--
Regular week	13	23
Final payment	14	--
Supplemental payment (paid previously)	15	

NOT a Week Claimed  
(i.e., an Initial Claim) 00

Field Size:  2  Digits

21) Filing Status Indicator

Code scheme: 1 = Intrastate - a claim filed in the same State in which the claimant's wage credits were earned.  
  
2 = Interstate liable - a claim filed through the facilities of another (agent) State against this (liable) State.

3 = Interstate agent - a claim filed in this (agent) State against another (liable) State.

Field Size:  1  Digit

22) Combined Wage Indicator

Code scheme: 1 = YES - claim based on eligible wages earned in more than one State.

2 = NO - claim based on eligible wages earned in only one State.

Field Size:  1  Digit

23) Total Unemployment Indicator

Code scheme: 1 = Total - Claimant entitled to full benefit amount whether paid or offset or pension deducted or if the claimant's benefit balance precludes full payment.

2 = Partial/Part Total - claimant entitled to a reduced amount because of casual, part-time, intermittent employment or subsidiary work with regular employer.

Field Size:  1  Digit

24) Primary Occupation Code

Major occupational group code (US DOL/ETA Dictionary of Occupational Titles, 4th ed., 1977) of claimant's usual occupation.

Field Size:  3  Digits

25) Industry Code

Standard Industrial Classification (SIC) of claimant's last employer prior to most recent new or additional claim.

Field Size:  4  Digits

26) Adjustment Indicator

Code scheme:

1 = This record adjusts previously reported information.

2 = This record has not been previously reported.

Field Size:  1  Digit

27) Work Share Percentage

Code percent of unemployment in week due to a work share agreement.

Use 00 if claimant is not in a work sharing agreement.

Field Size:  2  Digits

2. Data Processing Record Format for Record Three

<u>Item #</u>	<u>Name</u>	<u>Field Size</u>	<u>Positions</u>	<u>Formats</u>
1)	STATE I.D.	2	1-2	FIPS CODE
2)	BATCH #	4	3-6	YYWW
3)	SOCIAL SECURITY #	9	7-15	Actual #
4)	CLAIM DATE	6	16-21	YYMMDD
5)	TRANSACTION DATE	6	22-27	YYMMDD OR 000000
6)	RUN DATE	6	28-33	YYMMDD
7)	SAMPLE CODE	1	34	2
8)	SEX	1	35	1, 2 OR 8
9)	DATE OF BIRTH	4	36-39	YYMM OR 8888
10)	ETHNIC	1	40	1 TO 5 OR 8
11)	LOCAL OFFICE #	4	41-44	SESA Assigned Code
12)	PROGRAM CODE	1	45	1 TO 9
13.	DURATION	1	46	1 TO 5
14)	AMOUNT PAID	3	47-49	Whole Dollars
15)	AMOUNT OFFSET	3	50-52	Whole Dollars
16)	AMOUNT INTERCEPTED	3	53-55	Whole Dollars

ET HANDBOOK 395 - DRAFT (5/21/85)

<u>Item #</u>	<u>Name</u>	<u>Field Size</u>	<u>Positions</u>	<u>Formats</u>
17)	EARNINGS DEDUCTION	3	56-58	Whole Dollars
18)	OTHER DEDUCTIONS	3	59-61	Whole Dollars
19)	INITIAL CLAIM TYPE	1	62	1 TO 4 OR 0
20)	WEEK CLAIMED TYPE	2	63-64	11-15,21,23 OR 00
21)	FILING STATUS	1	65	1-3
22)	COMBINED WAGE	1	66	1 OR 2
23)	TOTAL UNEMPLOYMENT	1	67	1 OR 2
24)	OCCUPATION	3	68-70	3 Digit-Major Occupation Group
25)	INDUSTRY CODE	4	71-74	SIC Code
26)	ADJUSTMENT INDICATOR	1	75	1 OR 2
27)	WORK SHARE PERCENT	2	76-77	00-99
--	FILLER	43	78-120	

APPENDIX B: INPUT CONTROL DATA RECORD FOR COBOL PROGRAM (RECORD 3)

This appendix provides the required formats and definitions for the data needed to ensure control within the edit for items unique to each SESA or for each week of sampling.

<u>Data Element</u>	<u>Positions</u>	<u>Format</u>
State Code	1-2	2-digit numeric (FIPS)
State Name	3-12	10 characters alphabetic (abbreviate as necessary).
Current Week's Batch #	13-16	4-digit numeric in format YYWW
Random Number	17-22	6-digit numeric, unique number assigned each week for each SESA (V999999-format).
Batch Week Beginning Date	23-28	6-digit numeric in format YYYYMMDD for year, month and day of the week beginning date of the batch
Batch Week Ending Date	29-34	6-digit numeric in format YYYYMMDD for year, month and day of the week ending date of the batch
Number of Weeks to be Sampled this Batch	35-36	2-digit numeric, number of individual weeks to be selected in sampling for this batch.
Max-Pay	37-39	3-digit numeric - the maximum WBA possible in the State (includes dependents' allowances, if any) - Whole Dollars.
Filler	40-XX	

APPENDIX C: Output of COBOL Edit of Transactions Universe File

This appendix identifies the data elements and edit criteria which have been programmed in the COBOL program for the SESA data file. All fields must be numeric.

<u>Data Element # and Name</u>	<u>Edit Criteria</u>
1) State I.D. Code	-Must be proper numeric FIPS code for SESA - from control information. -Must be 1-56, 72, or 78, except for codes 3, 7, and 14.
2) * Batch Number	-Table lookup or from control. -Each Saturday assigned unique #. -Starts from January of each year. -YYWW. -WW = 01-53.
3) Social Security Number	-Must be greater than 0. -Must be less than or equal to 999999999.
4) Claim Date	-Must be greater than 0. -YYMMDD.
5) Transaction Date	-Must be greater (later) than Item 4 (Claim Date). -YYMMDD. -Or can be all 0's.
6) Run Date for Program	-Must be greater (later) than Item 4 (Claim Date). -YYMMDD.
7) Sample Selection Indicator	-Must be equal to 2.
8) Sex	-Must be 1, 2 or 8.
9) Date of Birth	-YYMM. -YY = 00-99, MM = 01-12 or 88. -Can be all 8's.

ET HANDBOOK 395 - DRAFT (5/21/85)

- 10) Ethnic Classification -Must be 1-5 or 8.
- 11) Local Office Number -Must match valid L.O. #'s in Table in program.
- 12) Program Type -Must be 1-9.
- 13) Unemployment Duration Code -Must be 1-5.
- 14) Amount Paid to Claimant -Must be equal to or less than MAX-WBA from control information.  
-Can be all zero.
- 15) Amount Offset Applied to Prior Overpayment -Must be equal to or less than MAX-WBA from control information  
-can be all zero.
- 16) Amount of Child Support Intercept -Must be equal to or less than MAX-WBA from control information  
-can be all zero.
- 17) Earnings Deduction -Must be less than MAX-WBA from control information.  
-Can be all zero.
- 18) Other Deductions -Must be equal to or less than MAX-WBA from control information  
-can be all zero.
- SUM of Items 14,15,16,17+18 -Must be equal to or less than MAX-WBA from control information.  
-Can be all zero.
- SUM of Items 14, 15 + 16 -Must be equal to or less than MAX-WBA from control information.
- Sum of Items 17 + 18 -Must be equal to or less than MAX-WBA from control information.
- 19) Initial Claim Type -Must be 1-4 or 0.  
-If = 1-4, SUM Items 14-18 must be = 0.
- 20) Weeks Claimed Type -Must be 11-15, 21, 23 or 00.  
-Must be 00 if Item 19 = 1-4.  
-Must be 21 or 23 if SUM Items 14-18 = 0.  
-Must be 11-15 if SUM Items 14-18 is greater than 0.

ET HANDBOOK 395 - DRAFT (5/21/85)

<u>Data Element # and Name</u>	<u>Edit Criteria</u>
21) Filing Status Indicator	-Must be 1-3.
22) Combined Wage Indicator	-Must be 1 or 2. -If equal to 1, Item 21 must = 1.
23) Total Unemployment Indicator	-Must be 1 or 2. -Must equal 1 if Item 17 = 0.
24) Primary Occupation Code	-Any three digit code. -Can be 998 (INA).
25) Industry Code	-Edit first two digits ONLY. -Valid ranges: 01-02, 07-17, 20-67, 70 72-73, 75-76, 78-84, 86 88-89, 91-97, 99. -Can be 0098 (INA).
26) Adjustment Indicator	-Must be 1 or 2. -Must be 1 if Item 20 = 15.
27) Work Share Percentage	-Must be 00 - 99.
NOTE: All Date Fields	YY = 00 - 99 MM = 01 - 12 DD = 01 - 31

\* Records with fatal errors (BATCH #) are not used in subsequent procedures and will generate error messages. These will show on the Error Listing printout opposite heading called "ERROR(S) = ", with the data item number shown in parenthesis [e.g., (2)].

ET HANDBOOK 395 - DRAFT (5/21/85)

FACIMILE OF COBOL OUTPUT - ERROR LISTING

III-23

APPENDIX D: DEFINITION OF THE QC SAMPLING FRAME

In order to make statistically reliable inferences about the claimant population, it is first necessary to define the population about which inferences will be made.

Not all weeks compensated are included in the QC survey population. The survey population will be selected from all weeks for which payments are made or offsets applied during a period that begins at 12:00 a.m. on Sunday and ends at 11:59 p.m. on Saturday. This interval is defined by the run time(s) of the computer programs that issue the checks or apply offsets. The compensated weeks must meet a series of criteria to be included in the survey population. If the criteria listed below do not classify all weeks as either included or excluded weeks, clarification about whether particular weeks should be included or excluded must be obtained by contacting the appropriate Regional Office.

a. INCLUDED WEEKS. From the total statewide weeks for which payments are made during the time interval defined above, include only weeks that fall into all of the following four categories:

(1) Regular Program Type Claim

- |             |                 |
|-------------|-----------------|
| (a) UI      | (e) UI-UCX      |
| (b) UCFE    | (f) UCFE-UCX    |
| (c) UI-UCFE | (g) UI-UCFE-UCX |
| (d) UCX     |                 |

(2) An Original Payment Week. Weeks for which the payments/offsets made are original payments/offsets (except waiting weeks). An original payment/offset is defined as the first valid payment/offset made by the agency to a particular claimant for that week. The offsets referred to would normally recover overpayments established for previous weeks.

(3) A Total or Partial Payment/Offset

(a) Weeks for which "total" payments/offsets are made. Include weeks for which no checks were issued because the entire payment was offset.

(b) Weeks for which true partial payments/offsets are made.

(c) Weeks for which part-total payments/offsets are made.

(4) Weeks for which payments/offsets are made to intrastate claimants. These weeks include combined wage claims paid to intrastate claimants.

ET HANDBOOK 395 - DRAFT (5/21/85)

b. EXCLUDED WEEKS. Weeks that fall into any of the following categories will be excluded from the QC survey population:

(1) Weeks for which supplemental payments are made. These "nonoriginal" payment weeks are excluded because original payments/offsets (as defined above) already have been made for them. For example, if a revised wage statement indicated that a claimant should have been paid \$95/week but the claimant originally was paid \$80 and later received a supplemental payment of \$15, that week would not be included in the population at the time the supplemental payment was made.

(2) All waiting weeks. Exclude whether such weeks are compensated or not.

(3) Weeks with Stop Payments. All weeks for which checks are written to individuals for whom a "stop payment order" is in effect for the particular week the check is written.

(4) Interstate-Liable Claimants. All weeks for which payments are made to interstate-liable claimants.

(5) EB/FSC/Other. All weeks paid under Federal-State extended benefits (EB), any FSC programs or other special programs.

APPENDIX E: Sample Selection Process

QC samples are selected once a week. The basic input to the sample selection process is the weekly QC survey population file described in Appendix D above. All of the records in the weekly QC survey population file must first be sorted in ascending order on two keys. The primary sort key is the total amount paid (or intercepted) plus offset. The secondary sort key is the social security number (SSN). When these primary and secondary sorts are completed, the first record on the file will correspond to the week with the lowest amount paid (intercepted) plus offset and the lowest SSN within that amount. The last record on the sorted file will correspond to the week with the highest amount paid (intercepted) plus offset and the highest SSN within that amount.

The number of cases to be selected for the sample is set by the Department but may be changed by the QC supervisor. Adjustments of the weekly sample size must be made within the guidelines summarized in the following table:

<u>Annual Sample Allocation</u>	<u>Normal Weekly Sample Size</u>	<u>Minimum Weekly Sample Size</u>	<u>Minimum Quarterly Sample Size</u>
500	10	6	125
600	12	8	150
700	14	8	175
800	16	10	200

When the weekly QC survey population file is sorted, the total number of records in the file will be counted. This total is divided by the number of records to be sampled that week. The quotient is rounded to the nearest integer and is defined as the skip interval.

A computer-generated random start number for each weekly sample is multiplied by the total number of records in the weekly QC survey population file. This product is always rounded up to the next highest integer to prevent the number zero from ever being selected. This integer is then used to select the first case in the sample. The random number is always expressed as a decimal with a value greater than zero and less than one.

For example, assume the following:

-Total Number of Records in QC Survey Population (N) = 92,174 weeks.

-Random Start Number = .038730.

-Total Number of cases to be sampled = 8.

ET HANDBOOK 395 - DRAFT (5/21/85)

-The skip interval (K) =  $92,174/8 = 11,521.75 = 11,522$ , rounded.

-The first case to be selected (R) is:

$$R = .038730 \times 92,174 = 3,569.899,$$

which is rounded up to the next integer. In this case record 3,570 in the QC survey population (sampling frame) is the first record selected for the sample.

The second record to be selected is given by the sum of the sequence number for the first case selected and the skip interval, computed as:  $3,570 + 11,522 = 15,092$ .

The third record to be selected is given by the sum of the sequence number for the second case selected and the skip interval, computed as:  $15,092 + 11,522 = 26,614$ .

The same procedure is used to select the remaining cases sampled during this week:

4th case = sequence number 38,136  
5th case = sequence number 49,658  
6th case = sequence number 61,180  
7th case = sequence number 72,702  
8th case = sequence number 84,224

In this procedure the weekly population file is treated as a "circular" file. Selections subsequent to the initial random selection are determined by:

$$I = R + (J * K),$$

where I is the Ith element in the sampling frame and J is an integer from 1 to n-1 (n is the number of cases sampled). If I is greater than N, then the (I-N)th element is selected.

The Sample Selection Indicator will be changed from a value of 2 to a value of 1 for each of the records sampled.

After the weekly sample selection procedure has been completed, the following information will be produced:

a. Record types 1, 2, and 3, as described in Chapter IV, will be generated for each record selected for the QC sample.

b. A summary report for the Department will be written which will contain the following information. An example of this report is provided in Section 12.

ET HANDBOOK 395 - DRAFT (5/21/85)

(1) The total size of the weekly QC survey population file from which the sample was selected.

(2) The number of cases to be sampled that week. A default number is set by the Department, but may be changed by the QC supervisor within the guidelines listed above.

(3) The skip interval (K) calculated.

(4) The total number of records output to the cumulative population file. This number should be the same as the number reported in (1) above, but calculated and reported independently. If these numbers do not match, a warning message will be generated and cases will not be assigned for investigation until the cause of the discrepancy is known.

(5) The actual number of records selected during the sample selection procedure. This number should equal the number reported in (2) above. If the numbers do not match, a warning message will be generated and cases will not be assigned for investigation until the cause of the discrepancy is known.

(6) The computer-generated random start number input.

(7) The calculation of the first element selected (R).

(8) The run date for the execution of the sample selection procedure.

(9) The batch number for the weekly QC survey population file from which the sample was selected.

c. For each record selected for the QC sample, the following information will be included on the report described in Section 7b:

(1) The sequence number of each of the sample cases.

(2) Data elements 1 through 16 of Record Type 3 (see format in Section 3a above).

(3) The sum of data elements 14 through 16.

APPENDIX F: Data Processing Record Format for Record 1

Note: The Parts and numbering scheme used here refer to the Parts of the Data Collection File specified in Chapter IV.

<u>Item #</u>	<u>Name</u>	<u>Field Size</u>	<u>Positions</u>	<u>Formats</u>
<u>PART A</u>				
A	1. Social Security #	9	1-9	9 digit (actual #)
A	2. State ID	2	10-11	2 digit FIPS Code
A	3. Batch Number	4	12-15	YYWW
A	4. Compensable Week Ending - Key Week	6	16-21	YYMMDD
A	5. Local Office #	4	22-25	SESA assigned #
A	6a. Investigator ID	2	26-27	Leave Blank
A	6b. Assignment Date	6	28-33	Leave Blank
<u>PART B</u>				
B	1. Method Information Obtained	1	34	Leave Blank
B	2. U.S. Citizen	1	35	1 to 3 or Blank
B	3. Education	2	36-37	00 to 12, 14 to 16, 20 or Blank
B	4. Vo/Tech Training	1	38	1 to 3 or Blank
B	5. In Training	2	39-40	10 to 14, 20 to 24, 30 to 34 or Blank
B	6. Occup. Code (Last)	3	41-43	3 digit major group or Blank
B	7. Occup. Code (Usual)	3	44-46	Leave Blank
B	8. Hourly Wage (Usual)	5	47-51	Leave Blank
B	9. Occup. Code (Seeking)	3	52-54	Leave Blank
B	10. Hourly Wage (Lowest)	5	55-59	Leave Blank

ET HANDBOOK 395 - DRAFT (5/21/85)

B	11. Date of Birth	4	60-63	YYMM or Blank
B	12. Sex	1	64	1 or 2 or Blank
	<u>Item #</u>	<u>Name</u>	<u>Field Size</u>	<u>Positions</u>
				<u>Formats</u>
B	13. Ethnic Classification	1	65	1 to 5 or Blank
B	14. Household Status	1	66	Leave Blank
B	15. # of Dependents	2	67-68	Leave Blank
B	16. Public Assistance	6	69-74	Leave Blank
B	17. Household Income	2	75-76	Leave Blank

PART C

C	1. Program Code	1	77	1 to 8 or Blank
C	2. Combined Wage	1	78	1 or 2 or Blank
C	3. Benefit Yr. Beginning	6	79-84	YYMMDD or Blank
C	4. I.C. Filing Method	1	85	1 to 5 or Blank
C	5. Benefits Rights Given	4	86-89	Leave Blank
C	6. # of ERP's Held	1	90	Leave Blank
C	7. Last ERP Date	6	91-96	Leave Blank
C	8. # prior Nonsep. Issues	2	97-98	Leave Blank
C	9. # prior Nonsep. Issues (Disqualifying)	2	99-100	2 digits or Blank

PART D

D	1. Reason for Separation "Before"	2	101-102	10, 20, 30, 40, 50 or 60 or Blank
D	2. Date of Sep. "Before"	6	103-108	YYMMDD or Blank
D	3. Recall Status "Before"	1	109	0, 1, 2 or Blank
D	4. Tax Rate Last Employer	3	110-112	in 99V9 format or Blank

ET HANDBOOK 395 - DRAFT (5/21/85)

D 5. SIC Last Employer 4 113-116 4 digit SIC code for last Employer or Blank

D 6. Reason for Separation "After" 2 117-118 Leave Blank

Item # Name Field Size Positions Formats

D 7. Recall Status "After" 1 119 Leave Blank

PART E

E 1. # Base Period Employers "Before" 2 120-121 2 digits or Blank

E 2. Base Period Wages "Before" 6 122-127 6 Digits (Whole Dollars) or Blank

E 3. SIC Primary Base Period Employer 4 128-131 4 digit SIC code primary BP employer or Blank

E 4. High Quarter Wages "Before" 5 132-136 5 digits (Whole Dollars) or Blank

E 5. # Weeks Worked in BP "Before" 2 137-138 2 digits or Blank

E 6. WBA "Before" 3 139-141 3 digits whole dollars or Blank

E 7. MBA "Before" 4 142-145 4 digits whole dollars or Blank

E 8. Monetary Redeterm. "Before" 1 146 1, 2 or Blank

E 9. Remaining Balance as of Key Week 4 147-150 4 digits (Whole Dollars) or Blank

E 10. # Base Period Employers "After" 2 151-152 Leave Blank

E 11. Base Period Wages "After" 6 153-158 Leave Blank

E 12. High Quarter Wages "After" 5 159-163 Leave Blank

ET HANDBOOK 395 - DRAFT (5/21/85)

E	13. # Weeks Worked in BP "After"	2	164-165	Leave Blank
E	14. WBA "After"	3	166-168	Leave Blank
E	15. MBA "After"	4	169-172	Leave Blank
	<u>Item # Name</u>	<u>Field Size</u>	<u>Positions</u>	<u>Formats</u>

PART F

F	1. First CWE Date	6	173-178	YYMMDD of First CWE or Blank
F	2. Date of First Pay't	6	179-184	YYMMDD or Blank
F	3. KW Filing Method	1	185	1, 2, 3 or Blank
F	4. KW Cert. Method	1	186	1, 2, 3 or Blank
F	5. Amount Paid and/or Offset for KW	3	187-189	3 digits whole dollars
F	6. Totals Earnings for KW "Before"	3	190-192	3 digits whole dollars, 0 or blank
F	7. Earnings Deduction for KW "Before"	3	193-195	3 digits whole dollars, 0 or Blank
F	8. Other Deduct. Income for KW "Before"	3	196-198	3 digits whole dollars, 0 or Blank
F	9. Other Deductions for KW "Before"	3	199-201	3 digits whole dollars, 0 or Blank
F	10. Total Earnings for KW "After"	3	202-204	Leave Blank
F	11. Earnings Deduction for KW "After"	3	205-207	Leave Blank
F	12. Other Deduct. Income for KW "After"	3	208-210	Leave Blank
F	13. Other Deductions for KW "After"	3	211-213	Leave Blank

PART G

G	1. Required to Seek Work	1	214	1-5, 0 or Blank
G	2. JS Registration Required	1	215	1, 2 or Blank

ET HANDBOOK 395 - DRAFT (5/21/85)

	<u>Item #</u>	<u>Name</u>	<u>Field Size</u>	<u>Positions</u>	<u>Formats</u>
G	3.	Actively/Currently Registered as of KW	1	216	1, 2 or Blank
G	4.	Reason JS Regist. Deferred	1	217	1 to 6, 0 or Blank
G	5.	# JS Referrals	2	218-219	2 digits or Blank
G	6.	With Private Agency	1	220	Leave Blank
G	7.	# Private Referrals	2	221-222	Leave Blank
G	8.	Union Status	1	223	1 to 3, 0 or Blank
G	9.	# Union Referrals	2	224-225	Leave Blank
G	10.	# Job Contacts KW	2	226-227	Leave Blank
G	11.	# Job Contacts Prior Weeks	2	228-229	Leave Blank
G	12.	# Job Contacts Investigated	2	230-231	Leave Blank
G	13.	# Job Contacts Acceptable	2	232-233	Leave Blank
G	14.	# Job Contacts Unacceptable	2	234-235	Leave Blank
G	15.	# Job Contacts Not Verifiable	2	236-237	Leave Blanks
<u>PART H</u>					
H	1 to 8	(ALL ITEMS)	88	238-325	Leave Blank
<u>PART I</u>					
I	1.	# Dependents Claimed "Before"	2	326-327	2 digits, 00 or Blank
I	2.	Dependents Allowance "Before"	3	328-330	3 digits whole dollars, 0 or Blank
I	3.	# Dependents Claimed "After"	2	331-332	Leave Blank
I	4.	Dependents Allowance "After"	3	333-335	Leave BLank

APPENDIX G: Definitions and Data Format for Record 2

1. Data Definitions for Record 2

1) Social Security Number

Social Security number of individual under which wages were filed.

Field Size:   9   Digits

2) Year/Quarter of Wages

Enter number for calendar year and quarter for which wages were reported using the format YYQ (e.g., calendar year 1984 - 1st Quarter = 841).

Field Size:   3   Digits

3) Amount of Wages Reported By Employer

Enter total whole dollar amount of wages reported by employer as paid to/earned by individual for the quarter shown in the previous element.

Field Size:   5   Digits

4) Number of Weeks Worked Reported by Employer

Enter number of weeks claimant worked in quarter.

Complete this item if readily available in state file (i.e., required for monetary).

Enter 9 fill if weeks of work are not recorded.

Field Size:   2   Digits

5) Standard Industrial Classification Code

Enter four digit industry code (SIC) for employer.

Enter 8 fill, if INA.

Field Size:   4   Digits

6) Federal Employer Identification Number

Enter ten digit Federal Employer Identification Number (FEIN) for employer.

Enter zero if INA.

Field Size:  10  Digits

7) Quarterly Tax Rate

Enter quarterly UI tax rate in effect for this quarter.  
Decimal field assumed (i.e., 10.9% coded as 109)

Enter 8 fill = INA

Enter 9 fill = NA (i.e., reimbursable employer)

Field Size:  3  Digits

2. Data Processing Record Format for Record 2

<u>ITEM #</u>	<u>NAME</u>	<u>FIELD SIZE</u>	<u>POSITIONS</u>	<u>FORMATS</u>
1)	Social Security #	9	1-9	9 digit numeric
2)	Year/Quarter of wages	3	10-12	year and quarter in which wages reported (YYQ)
3)	Amount of Wages	5	13-17	whole dollar amount of wages for individual in yr/qtr shown
4)	# of Weeks Worked	2	18-19	# weeks worked in yr/qtr shown, 99 if not applicable
5)	Industry Code	4	20-23	industry code of employer (SIC) 8888 = not available
6)	Employer Federal ID	10	24-33	10 digit Federal Employer ID Number (FEIN) 0000 = not available

ET HANDBOOK 395 - DRAFT (5/21/85)

7) Tax Rate	3	34-36	employers qtrly UI tax rate for quarter shown, decimal assumed (e.g. 10.9% = 109) 888 = INA 999 = not applicable
-------------	---	-------	---