

CHAPTER III

DATA PROCESSING - SESA MAINFRAME COMPUTER OPERATIONS AND INTERFACES WITH SUN ADP SYSTEM

1. Introduction. The BQC program has been designed to be as automated as possible. Each SESA has a Sun workstation to support QC operations. SESAs with IBM UI mainframe computer systems can pass data directly to the Sun computer via a Sunlink connection. The Department's National Office electronically picks up BQC data from the Sun for storage on the UI Sun computer system at the National Office. This system is designed to:

- ! increase the accuracy of data flows by minimizing the number of paper transactions and simplifying data storage and retrieval;

- ! 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

- ! 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 BQC program from existing SESA data files. Information is downloaded (transferred) either directly to the Sun computer via Sunlink or indirectly via 9 track tape. Definitions, coding schemes, and record formats are provided for all items for required and optional uses.

2. Overview. The BQC program involves the collection and analysis of large amounts of data. Of primary importance is the information provided to the QC unit to assist it in investigating the accuracy of UI payments which are sampled on a weekly basis. Other data are collected to create the population or universe from which the BQC samples are selected, to ensure the statistical validity of the sampling procedures, and to evaluate the representativeness of the BQC samples.

At the option of the SESA, data can be gathered for longitudinal research files. Any data elements that are not required are indicated as optional in the record formats included in this chapter.

To meet all these needs and uses it is necessary to extract data from SESA mainframe files in three different record formats:

a. Record Type One. Record Type One data elements are central to the BQC function. They pertain to the sampled cases and include control data, data passed (downloaded) from existing automated State UI files, and data collected and/or verified by BQC field investigators. These data permit BQC staff to determine whether or not the sampled case was processed accurately. There are data elements included for optional use by States.

b. Record Type Two. The creation and use of this record is completely optional. These are longitudinal data on the wages paid to claimants whose cases were sampled previously for BQC investigation. As data become available, the State downloads the data to the Sun computer from its mainframe. Creation and collection of this record is possible for all States which maintain or have access to quarterly wage information.

c. Record Type Three. Although listed third, the data on this record must be extracted first. These data elements are obtained from State files for the universe of weekly UI transactions -- the universe from which the BQC samples are selected. Record Type Three contains more optional data elements than the initial BQC sampling frame requires to permit expanding the QC universe from its initial configuration of paid claims to the areas of determinations on denied initial and continued claims.

The weekly population data on Record Type Three which pertain to the current BQC sampling frame are aggregated to produce sample and population proportions of claimant characteristics (sex, ethnic group, age, amount of benefits), which are used to check the representativeness of the weekly BQC samples.

If a state chooses, historical Record Type Three data (like Record Type Two data) can also be compiled for each person who had a weekly UI payment chosen for BQC investigation. This longitudinal payments history file can then be used with the Record Type Two earnings history. The data on both records will be available for State and Federal research and policy analysis on an optional basis.

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 One, Two, and Three; 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 Sun computer. It also contains an explanation of the functions performed by a COBOL program, supplied by the

Department to the States, to assist States in performing BQC tasks. Although all the tasks described in this section will be performed continuously and simultaneously, the discussion proceeds chronologically, from the beginning of one cycle to its end, beginning with the creation of Record Type Three.

a. Step 1: Create the QC Transactions File. The initial BQC 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, which is referred to as Record Type Three. This file is required for drawing the weekly BQC sample and testing its representativeness. Optionally, it can be used for updating the longitudinal claims history file and preparing several required UI reports now done manually. Because it can be 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 BQC sample.

(1) Definitions and Record Format. The definitions and format for Record Type Three are given in Section 4 of this chapter, beginning on page III-11.

(2) Timing and Frequency. The Record Type Three file is created weekly. 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 as 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 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 period. In this case, it would be necessary to construct the BQC transactions file by accessing files each night and cumulating the records. The computer program that the State uses to select records for the BQC 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 records selected for Tuesday must be added to the file created on Monday. In this example, the procedure would be applied five times during the week to obtain all of the records for the BQC transactions file for that week.

The Run Date will be included in each record selected for the weekly file. If the program the State has written to create the BQC transactions file is run only once each week (because the SESA maintains a cumulative file of UI transactions), then one Run Date will be entered for all records selected for the weekly BQC transactions file. In contrast, if the program is run on five different days (after the SESA's UI transaction files are updated each day), then the Run Date for the records in the weekly BQC transactions file will have five different values corresponding to the dates on which the records were selected.

(3) Distinguishing Between Payments and Weeks. The weekly BQC transactions file can be constructed without difficulty as long as there is a separate record for each specific week of unemployment insurance paid or offset in the SESA's 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.

For example, in a case involving a labor dispute, a ruling is issued that an individual claimant must 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, the State must create eight individual records on the weekly BQC transaction file.

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

These procedures must be followed because the BQC sample consists of single weeks for which UI benefits were paid or offsets applied. The BQC sampling methodology requires that each element in the sampling frame (i.e., each record in the transaction file) represents 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.

b. Step 2: Edit the Transactions File. To edit the transaction file, as well as to accomplish a number of other tasks described in subsequent steps, the Department has prepared a COBOL program which has been sent to all States.

Documentation, including tape specifications, instructions for running and implementing the program, and a system flow chart showing the processing of all record types explained in this chapter, has been sent to each State.

Two versions of the BQC COBOL program have been created, an ANSI version, and a version for States using a COBOL II compiler.

(1) Modify and Install the Program. States must modify the COBOL program to run on their State ADP systems. Some SESAs may have to make COBOL changes due to system, vendor, or other criteria unique to the local ADP environment. States should install the modified COBOL program in the SESA's program library as an integral part of the BQC operational system.

(2) Use of the Program for Editing the File. To use the COBOL program, each State must prepare an Input Control Record. The format for this record is shown in section 5 of this chapter on page III-19. Input control data are used to set limits on the input records and to enter information used for identification or calculations. This information includes 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 (weekly sample) being selected; a four-digit numeric number for the batch; and a six-digit random start number used by the COBOL program's sample selection routine. The input control record also includes the number of cases to be selected for the weekly BQC sample. The Quality Control Supervisor must provide this information to the ADP staff.

(3) Special Parameters. The following parameters are used in the COBOL program edits and must be set by each State:

(a) Local Office Table. This table consists of 200 four-digit fields. The Local Office (LO) number format in the BQC tables of the UI database 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 the State is "10", the first four characters in the table would be loaded as 0010. If the next highest LO number is "25", the next four characters in the table should be loaded as

0025. States must assign one of the four-digit fields to each LO and 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 of the State's local offices. The COBOL program uses the values in the local office table in its edit routine.

(b) 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.

(4) Output of the Edit. Section 6 of this chapter, beginning on page III-20, contains a list of error edits and reasons for the error, along with an example of an output error listing. The output consists of separate records for each record with a numeric, alpha, or relational error.

(a) Nonfatal Errors. Records with errors in any field except Batch number 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 file or in the State UI transactions data base which may require corrections (e.g., changing the maximum WBA in the Input Control Record if the State raises its maximum WBA).

(b) Fatal Errors. If Batch number 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.

c. Step 3: Define the QC Population (Sampling Frame). In order to make statistically reliable inferences about the claimant population from the investigation of sampled cases, it is 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, which creates the BQC sampling frame each week by selecting from the Record Type Three file those weeks compensated that meet the selection criteria which are described in Section 7 of this chapter, beginning on page III-25.

d. Step 4: Select the Weekly Sample. The COBOL program selects a BQC sample once each week. The COBOL program uses the BQC sampling frame created in the preceding step and data from the Input Control Record (Section 5, page III-19). The COBOL program sorts the BQC sampling frame in ascending order on two keys: 1) amount of UI payment, offset, and/or child support intercept, and 2) Social Security Number (SSN). A systematic

random sample of cases is selected. The COBOL program uses the sample size and random start number from Input Control Record in the sample selection algorithm, which is described in detail in Section 8 of this chapter, beginning on page III-26. The SSNs of the cases selected, in Record Type Three format, is the basis for creating Record Type One data for BQC investigation and historical data for the optional longitudinal files of Records Type Two and Three.

(1) Actions Required of ADP Staff. The allocated weekly sample size and random start numbers are provided by the Department for each State for inclusion in the Input Control Record. The random start number is stored in the b_batch table in the UI Data Base (UIDB) on the Sun computer. The random start number must be updated in the Input Control Record each week. The allocated weekly sample size is fixed until it is changed by the Department (for approved program improvement studies, pilot studies, or a change in allocated resources, for example). However, the BQC supervisor may change the weekly sample size within the range given in section 8 of this chapter to accommodate investigator vacation schedules or other factors. The BQC unit must work with their ADP unit to modify the sample size in the Input Control Record.

In addition, the BQC supervisor in each SESA may request additional information for each case sampled. For example, the supervisor may wish to collect data on the claimant's name, local address, phone number, and UI claim history or wages. These optional data elements will be produced only for the benefit of the BQC supervisor and staff. This information would not be transmitted outside the SESA. State optional data must be downloaded in the format described in this Chapter, page III-38.

e. Step 5: Build a Cumulative File From BQC Population Defined in Step 3. The COBOL program will aggregate the data used in the Sample Characteristics and Sample Validation Reports. These reports summarize the results of tests conducted to ensure the statistical validity of the BQC sample. The program compiles aggregates of selected data elements from Record Type Three for both the sample and the population of elements in the weekly sampling frame. This file is called "PRELUDE-SF-SUM" and is downloaded to the Sun computer either via Sunlink or 9 track tape. The file will be stored in /opt/bqc/data/tmp/sfsum.dat on the Sun computer. BQC software provided by the Department will store the aggregated data in the b_comparison table of the

UIDB and, at the request of the BQC staff, it will produce the Sample Characteristics and Validation Reports.

f. Step 6: Build a File of Record Type Three for Sampled Cases. The COBOL program creates a file of records selected for the BQC sample. This file is called the "HIT FILE". The HIT FILE can be cumulative, with the SSNs selected in the current week added to those selected in previous weeks. The previously selected SSNs in this file can be used to update optional longitudinal files by extracting newly available Record Types Two and Three data, as described below.

g. Step 7: Create Record Type One. The complete Record Type One contains information on an individual claimant including demographic characteristics, benefit year data, and information specific to the week the claimant is selected for investigation, referred to as the Key Week (KW). Data reflect status at time of selection for such items as weekly benefit amount, remaining entitlement, base period wages, etc. All Record Type One data available in existing SESA UI data bases must be extracted for downloading to the Sun computer.

(1) 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 the sample of UI weeks compensated has been selected by the COBOL program. The file must be available on Monday morning for assignment of cases for the BQC field investigation. A separate record is created for each compensable week ending date (CWE) under each SSN selected. These records are downloaded to the Sun computer either via Sunlink or 9 track tape. Record Type One records will be stored in /opt/bqc/data/tmp/recl.dat on the Sun computer.

(2) Format and Definition. The record format for Record Type One is in Section 9 of this chapter, beginning on page III-30. This section includes the codes or information for the Record Type One data elements. All of the fields cannot be completed from mainframe files since some data can only be obtained through the BQC investigation. These fields must be left blank as indicated in the record format. Also leave blank the fields for missing, optional, or not applicable data. For fields that can be completed from data available on the mainframe, use the proper format.

Since some of the data are completed by the BQC unit, the data definitions for all data items in Record Type One are included in Chapter IV. Chapter IV also includes data entry procedures for the Sun computer. SESA data processing staff should

review the definitions portion of Chapter IV to ensure data are in the prescribed Record Type One format.

(3) Selection Criteria. The control keys for selecting data from the SESA mainframe for downloading are Social Security Number (SSN) and compensable week ending date (CWE) of the sampled week. The SSN and CWE control keys are provided by the Record Type Three data on the "HIT FILE", which consists of the cases selected for the BQC sample, as explained in Steps 5 and 7 of this Chapter.

If the SESA UI database contains information for more than one benefit year, the information extracted for downloading in Record Type One must be only the benefit year history for the CWE of the selected sample case.

(4) Record Retention. There is no requirement to retain a Record Type One for a SSN selected for the BQC sample. Should that same SSN be selected in a subsequent BQC sample, a new Record Type One must be created since a new week (CWE) would be involved.

h. Step 8: Create Record Type Two (Optional). As each weekly BQC sample is drawn, historical wage (Record Type Two) and benefits/claims (Record Type Three) data can be assembled for each person sampled. The longitudinal data base is created by retaining the SSNs of individuals whose claims were previously sampled and updating their wage and claims/benefits histories, while adding new individuals from each successive BQC sample.

Record Type Two contains information on quarterly reported wages, and cannot be created by those SESAs which do not have quarterly wage files available. Record Type Two records do not contain any data collected or coded by the BQC unit; all data in these records must be downloaded from the SESA UI database.

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

- ! If a new record is being created, create a separate Record Type Two for each employer in each quarter for which data exists in the SESA database of wage records.
- ! If an old record is being updated, add only new information on wages in a Record Type Two format as it becomes available for that person.

(1) Definitions and Format. The definition for each Record Type Two data element and the record format are in Section 10 of this chapter, page III-35. Use specified coding when data are missing or not available.

(2) Frequency and Timing. New Record Type Two data should be created as soon as possible after a new SSN has been added to the cumulative hit file. Record Type Two data should be updated for "old" SSNs in the cumulative file whenever wage files are updated with a new quarter's information.

(3) Selection Criteria. A Record Type Two is created for any SSN in the cumulative file of SSNs sampled during the execution of the COBOL population edit and sample selection program, described in Step 7 of this Chapter.

i. Step 9: Create Record Type Three for Sampled Cases (Optional). This is the other optional record in the longitudinal database. The principles for creating and updating these records are the same as Record Type Two (Step 9, above). As with Record Type Two, when Record Type Three is created for those new SSNs selected in the sampling process, a separate Record Three is constructed for each UI claim/payment that exists in the State's UI database (for as many benefit years as possible). For SSNs in the cumulative file from previously sampled weeks, only new transactions or updates will trigger the addition of a Record Type Three.

j. Step 10: Format Data Records for Downloading. Software used by the Sun computer to convert data from the SESA mainframe to the BQC tables of the UI database will be provided by the Department. This software requires that data passed from the SESA mainframe to the Sun computer be in a particular form. It is the responsibility of the SESA to assure that data transferred to the Sun computer adhere to these formats, which are described in detail in Section 11, page III-38 of this chapter.

Each SESA data processing staff is also responsible for any modifications to the job control language of the COBOL program and any additional scripts needed to download the PRELUDE_SF_SUM and the recl.dat files to the Sun computer either via Sunlink or 9 track tape.

k. Step 11: Transfer Data from State Mainframe to the Sun Computer. States must transfer two files from their State mainframe computer to the Sun system. The two files are 1) recl.dat, which uses the HIT FILE, created by the COBOL program, as a selection key for downloading the information which

constitutes Record Type One from the SESA UI database, and 2) PRELUDE_SF_SUM, which is created by the COBOL program. These files can be transferred directly via Sunlink connection or via 9-track tape. States should refer to the Sunlink documentation to set the parameters for their local ADP system. States must secure login permission and permission to download files from their State ADP system to the Sun computer. Section 11, page III-38 of this chapter contains specific information on the format of recl.dat.

1. Step 12: On-Going Maintenance of the SESA Mainframe - Sun Communications System. Previous experience has shown that claimants are occasionally sampled in error, or that claimant identifiers change during the course of an investigation. The BQC Supervisor will normally be the person who identifies sample or identifier errors. Provisions have been made for reconciliation of either of these errors on the Sun computer system. However, the Sun computer cannot assure the reconciliation of these errors on the SESA mainframe. Therefore, the BQC Supervisor is responsible for alerting the SESA ADP unit regarding changes or errors. Upon notification of an error in the sample selection procedure or an identifier change, the SESA ADP unit is responsible for revising the optional cumulative Record Type Three file (HIT FILE) of sampled claimants which resides on the State's mainframe computer.

4. Record Type Three Definitions, Format, and Record Layout

a. Data Definitions for Record Type Three

(NOTE: ALL FIELDS ARE NUMERIC)

1) State ID Code

Federal Information Processing Standard (FIPS) code.

Field Size: 2 Digits

2) Batch Number

Indicates calendar year and week that file was created (YYWW). Each week of the year is assigned a unique number (week is 12:00 am Sunday to 11:59 pm Saturday).

Field Size: 4 Digits

3) Social Security Number

Social Security Number of claimant (State use only).

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Field Size: 9 Digits

4) Claim Date

Field has optional dual purpose:

Use Effective Date (YYMMDD), if record is an initial claim (optional, if used). Item #20, Weeks Claimed Type, will then be coded as "00".

Use Week Ending Date (YYMMDD), if record is a week claimed. Item #19, Initial Claim Type, will then be coded as "00".

Field Size: 6 Digits

5) Transaction Date

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

Optionally, 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) BQC Sample Selection Indicator

Code scheme: 1 = This record was selected for BQC investigation.

2 = This record was NOT selected for BQC investigation.

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

Enter 8888 when information is not available from the State's computer records.

If month only is not available, code month as 06.

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

Field Size: 1 Digit

13) Unemployment Duration Code

Code Scheme:

1 = Regular UI

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

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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 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 Intercepted

Whole dollar amount of entitlement applied to outstanding child support payments. If none intercepted, 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

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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:

0 = NOT an initial claim (i.e., a week claimed)

(Use of Codes 1-4 Optional)

1 = New Claim

2 = Additional Claim

3 = Transitional Claim

4 = Reopened Claim

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 IC)	00	--

Field Size: 2 Digits

NOTE: Codes 21, 23, and 00 are optional.

21) Filing Status Indicator

Code scheme:

1 = Intrastate - a claim filed in the State in which the claimant's wage credits were earned.

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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

NOTE: Codes 2 and 3 are optional.

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 (Optional)

Major occupational group code (US DOL ETA Dictionary of Occupational Titles, 4th ed., 1977 and 4th ed. supplement, 1982) of claimant's usual occupation.

Code as 998 if INA or State opts not to collect.

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Field Size: 3 Digits

25) Industry Code (Optional)

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

Code as 0098 if INA or State opts not to collect.

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 (Optional)

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

Use 00 if claimant is not in a work sharing agreement or SESA opts not to collect.

Field Size: 2 Digits

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b. Data Processing Record Format for Record Type 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	1 or 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 of Child Support Intercepted	3	53-55	Whole Dollars
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	Weeks Claimed Type	2	63-64	11-15, 21, 23, 00

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<u>Item #</u>	<u>Name</u>	<u>Field Size</u>	<u>Positions</u>	<u>Formats</u>
21	Filing Status	1	65	1-3
22	Combined Wage Ind.	1	66	1 or 2
23	Total Unemployment Indicator	1	67	1 or 2
24	Occupation	3	68-70	3 Digit Occupation Code
25	Industry Code	4	71-74	SIC Code
26	Adjustment Ind.	1	75	1 or 2
27	Work Share Pct.	2	76-77	00 to 99
--	Filler	43	78-120	0 Filled

5. Input Control Data Record for COBOL Program. The following provides the required formats and definitions for the data used by the COBOL program edit and sample selection routines 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 Begin. Date	23-28	6-digit numeric in format YYMMDD for year, month and day of the week beginning date of the batch.

<u>Data Element</u>	<u>Positions</u>	<u>Format</u>
Batch Week End. Date	29-34	6-digit numeric in format YYMMDD 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 UI weeks to be selected for the sample 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	40-80	

6. Output of COBOL Edit of Transactions Universe File. The following identifies the data elements and edit criteria used by the COBOL program in editing the SESA data file. All fields must be numeric.

Records with fatal errors (BATCH #) are not used in subsequent procedures. All other errors are considered nonfatal and will generate error messages. Errors are indicated on the Error Listing printout opposite label, "ERROR(S) ", followed by the data item number in parentheses (for example (14)).

a. Edits and Reasons for Errors

<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 look-up or from control record; Format YYWW - WW must be 01 - 53.

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WW 01 starts with week ending on first Saturday in January of each year.

<u>Data Element # and Name</u>	<u>Edit Criteria</u>
3) Social Security Number	Must be greater than 0 and less than or equal to 999999999.
4) Claim Date	Must be greater than 0; Format YYYYMMDD.
5) Transaction Date	Must be greater (later) than Item 4 (Claim Date); Format YYYYMMDD. Can be all 0's.
6) Run Date for Program	Must be greater (later) than Item 4 (Claim Date); Format YYYYMMDD.
7) Sample Selection	Must be equal to 2.
8) Sex	Must be 1, 2, or 8.
9) Date of Birth	Format YYYYMM; YY must equal 00-99; MM must equal 01-12 (if INA, MM=06). Can be all 8's (All INA).
10) Ethnic Classification	Must be 1-5 or 8 (INA).
11) Local Office Number	Must match valid L.O. #'s in look-up table in program.
12) Program Type	Must be 1-9.
13) Unemployment Duration Code Code	Must be 1-5.
14) Amount Paid to Claimant	Must be equal to or less than maximum WBA from control record information.

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Can be all 0's.

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<u>Data Element # and Name</u>	<u>Edit Criteria</u>
15) Amount Offset Applied to Prior Overpayment	Must be equal to or less than maximum WBA from control record information. Can be all 0's.
16) Amount of Child Support Intercepted	Must be equal to or less than maximum WBA from control record information. Can be all 0's.
17) Earnings Deduction	Must be equal to or less than maximum WBA from control record information. Can be all 0's.
18) Other Deductions	Must be equal to or less than maximum WBA from control record information. Can be all 0's.
SUM of Items 14, 15, 16, 17, and 18	Must be equal to or less than maximum WBA from control record information. Can be all 0's.
SUM of Items 14, 15, and 16	Must be equal to or less than maximum WBA from control record information. Can be all 0's.
SUM of Items 17 and 18	Must be equal to or less than maximum WBA from control record information. Can be all 0's.
19) Initial Claim Type	Must be 1-4 or 0. If = 1-4, SUM Items 14-16 must be = 0.

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<u>Data Element # and Name</u>	<u>Edit Criteria</u>
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.
21) Filing Status Indicator	Must be 1-3.
22) Combined Wage Indicator	Must be 1 or 2.
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	Edits first two digits only. Valid ranges: 01-02, 07-17, 20-67, 70, 72, 73, 75, 76, 78-84, 86-89, 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 Percentages	Must be 00 - 99.
NOTE: All Date Fields	YY = 00 - 99 MM = 01 - 12 DD = 01 - 31

- b. Example of Error Listing from COBOL Program

7. Definition of the BQC Population (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 BQC sampling frame. 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 categories (1-4):

- 1) Regular Program Type Claim. One of:
 - a) UI
 - b) UCFE
 - c) UI-UCFE
 - d) UCX
 - e) UI-UCX
 - f) UCFE-UCX
 - g) UI-UCFE-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 claimant for that week. The offsets 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.

b. Excluded Weeks. Weeks that fall into any of the following categories will be excluded from the BQC survey population.

- 1) Weeks for which supplemental payments are made. These "non-original" payment weeks are excluded because original payments/offsets (as defined above) already have been made for the week claimed. 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, such as EUC.

8. Sample Selection Process. BQC samples are selected once a week. The basic input to the sample selection process is the weekly BQC population file described in Section 4 of this chapter, beginning on page III-11. All of the records in the file must be sorted in ascending order on two keys. The primary sort key is the total amount paid, offset, or intercepted. 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, offset, or intercepted and the lowest SSN within that amount. The last record on the sorted file will correspond to the week with the highest amount paid, offset, or intercepted and the highest SSN within that amount.

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

Annual Sample	Normal Weekly	Minimum Weekly	Maximum Weekly	Normal Quarter	Minimum Quarter	Maximum Quarter
400*	8	6	10	100	100	100
480	9	6	12	120	108	132
600	12	8	15	150	135	165
720	14	9	18	180	162	198
840	16	11	21	210	189	231
960	18	12	24	240	216	264
1080	21	14	27	270	243	297
1200	23	15	30	300	270	330
1320	25	17	33	330	297	363
1440	27	18	36	360	324	396
1560	30	20	39	390	351	429
1680	32	21	42	420	378	462
1800	35	23	45	450	405	495

* Any State that has been given permission to reduce its annual sampling rate to 400 cases must select a minimum of 100 cases in each quarter that the reduced annual rate is in effect.

The COBOL program counts the number of records included in the sampling frame. 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. Each batch is assigned a computer-generated random start number. The first sample case selected is determined by multiplying this random start number by the skip interval. This product is always rounded to the nearest integer. If the rounded integer is zero, the case corresponding to the skip interval (that is, the last case in the first skip interval zone) is selected as the first case in the sample. The random number is always expressed as a six-place decimal with a value greater than zero and less than one.

For example, assume the following:

Number of Records in BQC Sampling Frame (N) = 17,258 weeks.

Random Start Number (r) = .260903.

Total Number of Cases to be Sampled (n) = 12.

Skip interval (k) = $17,258 / 12 = 1,438.167$
 = 1,438 (rounded)

First (initial) case to be selected is (i) = $.260903 \times 1,438$
 = 375.1785
 = 375 (rounded)

Record 375 in the BQC sampling frame is the first record selected for the sample. Subsequent cases are selected using a balanced systematic sampling procedure.

- 1) Select the initial sample case as described above.
- 2) When the sample size (n) is even, select n/2 pairs of UI weeks paid according to the formula:

$$i + jk, (N - jk) - i + 1,$$

where $j = 0, 1, 2, \dots, \frac{1}{2}n - 1$
 and k is the skip interval, as defined above.

Example: Consider the following population with N = 43,
 n = 4, $k = 43/4 = 10.75 = 11$ (rounded),
 $r = .260903$, $i = 11 \times .260903 = 2.87 = 3$ (rounded).

1 1 2 4 5 6 7 7 8 9 9
 10 10 11 12 13 13 15 16 16 17 18
 19 19 20 21 23 24 24 25 29 30 30
 32 32 33 35 35 35 36 36 37 40

The following cases will be selected (indicated by an underscore in the preceding list).

<u>i</u>	<u>i + jk</u>	<u>(N - jk) - i + 1</u>
0	3	41
1	14	30

3) When n is odd, j goes from 0 to $\frac{1}{2}(n - 1) - 1$, and the remaining sample case is selected at $[i + \frac{1}{2}(n - 1)k]$.

Example: Consider the same population with $N = 43$,
 $n = 5$, $k = 43/5 = 8.6 = 9$ (rounded),
 $r = .260903$, $i = 9 \times .260903 = 2.35 = 2$ (rounded).

The following cases will be selected.

j	$i + jk$	$(N - jk) - i + 1$
0	2	42
1	11	33

$i + \frac{1}{2}(n - 1)k$

20

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 sample selection procedure has been completed, and the Record Type Three HIT FILE has been created, the following information will be produced:

- a) Record Type One, as described above, will be generated for each record selected for the BQC sample.
- b) Optional longitudinal Records Type Two and Type Three will be created.
- c) The PRELUDE-SF-SUM file will be created to verify the validity of the sample. It contains the following information:
 - 1) The total size of the BQC population file from which the sample was selected.
 - 2) The skip interval (K) calculated.
 - 3) The computer-generated random start number.
 - 4) The sequence number of the first sampled case.
 - 5) Aggregate sample and population data for several data elements (UI weeks and dollars paid, variance of amounts paid, sex, ethnic group, age, and amount paid).

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9. Data Processing Record Format for Record Type One

<u>Item #</u>	<u>Name</u>	<u>Field Size</u>	<u>Positions</u>	<u>Formats</u>
1	Social Security #	9	1-9	9-digit SSN (State use only)
2	State ID	2	10-11	2-digit FIPS Code
3	Batch Number	4	12-15	YYWW
4	Compensable Week Ending - Key Week	6	16-21	YYMMDD
5	Local Office #	4	22-25	SESA assigned #
6	Investigator ID	2	26-27	Leave Blank
7	Assignment Date	6	28-33	Leave Blank
8	Method Information Obtained	1	34	Leave Blank
9	U.S. Citizen	1	35	1 to 3 or Blank
10	Education	2	36-37	00 to 12, 14 to 16, 20 or Blank
11	Vo/Tech Training	1	38	1 to 3 or Blank
12	In Training	2	39-40	11 to 14, 21 to 24, 00 or Blank
13	Occup. Code (Last)	3	41-43	3 digit major group or Blank
14	Occup. Code (Usual)	3	44-46	Leave Blank
15	Hourly Wage (Usual)	5	47-51	Leave Blank
16	Occup. Code (Seeking)	3	52-54	Leave Blank
17	Hourly Wage (Lowest)	5	55-59	Leave Blank
18	Date of Birth	6	60-65	YYMMDD or Blank
19	Sex	1	66	1 or 2 or Blank

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<u>Item #</u>	<u>Name</u>	<u>Field Size</u>	<u>Positions</u>	<u>Formats</u>
20	Ethnic Classification	1	67	1 to 5 or Blank
21	Program Code	1	77	1 to 7 or Blank
22	Combined Wage	1	78	1 or 2 or Blank
23	Benefit Yr. Beginning	6	79-84	YYMMDD or Blank
24	I.C. Filing Method	1	85	1 to 5 or Blank
25	Benefits Rights Given	4	86-89	Leave Blank
26	# of ERP's Held	1	90	Leave Blank
27	Last ERP Date	6	91-96	Leave Blank
28	# Prior Nonsep Issues	2	97-98	Leave Blank
29	# Prior Nonsep Issues (Disqualifying)	2	99-100	2 digits or Blank
30	Reason for Separation (Before Investigation)	2	101-102	10, 20, 30, 40, 50, 60, or Blank
31	Date of Separation (Before Investigation)	6	103-108	YYMMDD or Blank
32	Recall Status (Before Investigation)	1	109	0, 1, 2 or Blank
33	Tax Rate Last Employer	4	110-113	In 99V99 format or Blank
34	SIC Last Employer	4	114-117	4 digit SIC code or Blank
35	Reason for Separation (After Investigation)	2	118-119	Leave Blank
36	Recall Status (After)	1	120	Leave Blank
37	# Base Period Employers (Before Investigation)	2	121-122	2 digits or Blank

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<u>Item #</u>	<u>Name</u>	<u>Field Size</u>	<u>Positions</u>	<u>Formats</u>
38	Base Period Wages (Before Investigation)	6	123-128	6 digits (whole dollars) or Blank
39	SIC Primary Base Period Employer	4	129-132	4-digit SIC code or Blank
40	High Quarter Wages (Before Investigation)	5	133-137	5 digits (whole dollars) or Blank
41	# Weeks Worked in BP (Before Investigation)	2	138-139	2 digits or Blank
42	WBA (Before Invest.)	3	140-142	3 digits (whole dollars) or Blank
43	MBA (Before Invest.)	5	143-147	5 digits (whole dollars) or Blank
44	Monetary Redeterm. (Before Investigation)	1	148	1, 2, or Blank
45	Remaining Balance as of Key Week	4	149-152	4 digits (whole dollars) or Blank
46	# Base Period Employers (After Invest.)	2	153-154	Leave Blank
47	Base Period Wages (After Investigation)	6	155-160	Leave Blank
48	High Quarter Wages (After Investigation)	5	161-165	Leave Blank
49	# Weeks Worked in BP (After Investigation)	2	166-167	Leave Blank
50	WBA (After Investigation)	3	168-170	Leave Blank
51	MBA (After Investigation)	5	171-175	Leave Blank

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52	# Dependents Claimed (Before Investigation)	2	176-177	2 digits, 00, or Blank
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<u>Item #</u>	<u>Name</u>	<u>Field Size</u>	<u>Positions</u>	<u>Formats</u>
53	Dependents Allowance (Before Investigation)	3	178-180	3 digits (whole dollars) or Blank
54	# Dependents Claimed (After Investigation)	2	181-182	Leave Blank
55	Dependents Allowance (After Investigation)	3	183-185	Leave Blank
56	First CWE Date	6	186-191	YYMMDD of First CWE or Blank
57	Date of First Pay't.	6	192-197	YYMMDD or Blank
58	KW Filing Method	1	198	1, 2, 3, or Blank
59	KW Cert. Method	1	199	1, 2, 3, or Blank
60	Amount Paid and/or Offset for KW	3	200-202	3 digits whole dollars
61	Total Earnings for KW (Before Investigation)	3	203-205	3 digits whole dollars, 000, or Blank
62	Earnings Deduction for KW (Before Investigation)	3	206-208	3 digits whole dollars, 000, or Blank
63	Other Deduct. Income for KW (Before Investigation)	3	209-211	3 digits whole dollars, 000, or Blank
64	Other Deduction for KW (Before Investigation)	3	212-214	3 digits whole dollars, 000, or Blank
65	Total Earnings for KW (After Investigation)	3	215-217	Leave Blank
66	Earnings Deduction for KW (After Investigation)	3	218-220	Leave Blank

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<u>Item #</u>	<u>Name</u>	<u>Field Size</u>	<u>Positions</u>	<u>Formats</u>
67	Other Deduct. Income for KW (Before Investigation)	3	221-223	Leave Blank
68	Other Deduction for KW (After Investigation)	3	224-226	Leave Blank
69	Required to Seek Work	1	227	1-5, or Blank
70	JS Registration Req.	1	228	1, 2 or Blank
71	Actively/Currently Registered as of KW	1	229	1, 2 or Blank
72	Reason JS Regist. Deferred	1	230	1 to 6, or Blank
73	# JS Referrals	2	231-232	2 digits or Blank
74	Reg. w/ Private Agency	1	233	Leave Blank
75	# of Private Referrals	2	234-235	Leave Blank
76	Union Status	1	236	1 to 3, 0 or Blank
77	# of Union Referrals	2	237-238	Leave Blank
78	# of Job Contacts KW	2	239-240	Leave Blank
79	# of Job Contacts Prior Weeks	2	241-242	Leave Blank
80	# Job Contacts Investigated	2	243-244	Leave Blank
81	# of Job Contacts Acceptable	2	245-246	Leave Blank
82	# Job Contacts Unacceptable	2	247-248	Leave Blank
83	# Job Contacts Not Verifiable	2	249-250	Leave Blank

10. Definitions and Data Format for Record Type Two

NOTE: USE OF THIS RECORD IS OPTIONAL

a. Data Definition for Record Type Two

1) Social Security Number

Social Security number of claimant for whom wages were reported (State use only).

Field Size: 9 Digits

2) Batch Number

Indicates calendar year and week that record was created (YYWW) -- the week that this SSN was first sampled.

Field Size: 4 Digits

3) Year/Quarter of Wages

Enter number for calendar year and quarter for which wages were reported using the format YYQ (Ex: first quarter of CY 1993 is coded 931).

Field Size: 3 Digits

4) 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

5) 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

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6) Standard Industrial Classification Code

Enter four-digit industry code (SIC) for employer.
Enter 8888, if INA.

Field Size: 4 Digits

7) Federal Employer Identification Number

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

Enter zero if INA.

Field Size: 9 Digits

8) Quarterly Tax Rate

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

Enter 8888 if INA.

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

Field Size: 3 Digits

9) Adjustment Indicator

Code scheme:

0 = This is a new wage item.
1 = This replaces a previously reported wage item.
2 = Add this to a previously reported wage item.
3 = This is subtracted from a previously reported
wage item.
4 = This wage item previously reported, delete.

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b. Data Processing Record Format for Optional Record 2

<u>Item #</u>	<u>Name</u>	<u>Size</u>	<u>Positions</u>	<u>Formats</u>
1)	Social Security #	9	1-9	9-digit numeric
2)	Batch Number	4	10-13	YYWW
3)	Year/Quarter	3	14-16	year and quarter in which wages were reported (YYQ)
4)	Amount of Wages	5	17-21	whole dollar amount of wages for individual in YR/QTR
5)	# of Weeks Worked	2	22-23	# weeks worked in YY/QTR, code 99 if INA
6)	Industry Code	4	24-27	industry code of employer (SIC), code 8888 if INA
7)	Employer Federal ID	9	28-36	9-digit Federal Employer ID Number (FEIN), code all zeros if INA
8)	Tax Rate	3	37-39	Employer's quarterly tax rate for quarter shown, decimal assumed (e.g. 10.9% = 109), code 888 if INA, 999 if not applicable
9)	Filler	37	40-76	Leave blank
10)	Adjustment Ind.	1	77	0, 1, 2, 3, or 4

11. Formatting Data for Transfer to the Sun Computer

a. General Rules. In order to process the three data records explained in this chapter and the downloadable files created by the COBOL program, States will be required to transfer information from their mainframe computer to the Sun ADP system. Some of this data is communicated to the Sun computer located at the National Office. Successful transmission depends on fixed formats and file-naming conventions, which are described in this section.

The following rules will apply to all Record Types One, Two, and Three:

- 1) Records are broken into 80 character lines.
- 2) Some fields wrap from one line to the next line.
- 3) Position 78 on the last line of each record must be coded as a dollar sign (\$), indicating the end of the logical record.
- 4) For each line required, position 79 must be coded with an asterisk.
- 5) For each line required, position 80 must be coded with a line feed (ASCII - 10, HEX OA, EBCDIC 25, LF).
- 6) All records contain "filler" in certain lines; however, the entire line must be transmitted.
- 7) Positions not used for data must be filled with spaces.
- 8) SESAs are responsible for the programming which outputs these record types in the required formats.
- 9) Each record of a given type must each be written to its own file. There will be separate files for Record Type One, Record Type Two, Record Type Three, PRELUDE-SF-SUM, and PRELUDE-US-SUM.

b. Format for Transfer of Record Type One

(1) The Record Type One transfer consists of twenty-three (23) lines. The first four lines are defined by the Department and cannot be changed. The data in these four lines are the same as explained earlier in Record Type One. The remaining lines are reserved for State use and can contain such

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information as names and addresses. QC Supervisors are responsible for providing their ADP staff the record formats of optional fields.

(2) All twenty-three lines must be formatted and transferred whether or not the State optional lines are used for data.

(3) The total size is 1840 bytes per record.

(4) Listed below is a description of each line of the transfer format:

<u>Line #</u>	<u>Record One Data Element Numbers</u>	<u>Positions</u>
1	Items 1 thru 22	1 - 78
2	Items 23 thru 47 (first 2 characters)	79 - 156
3	Items 47 (last 4 characters) thru 75 (first character)	157 - 234
4	Items 75 (last character) thru 83 (62 spaces reserved in remainder of 4)	235 - 250 251 - 312
5-23	Spaces reserved for State use. Position 78 of line 23 must be a dollar sign (\$) indicating end of logical record.	

(5) Note the data fields which wrap from the next are 47 and 77.

(6) Position 79 on ALL lines must be coded with an asterisk (*).

(7) Position 80 on ALL lines must be coded with a line feed (ASCII - 10, HEX OA, EBCDIC 25, LF - end of physical record).

(8) All Record Type One records for a given week (batch) must be written to one file named "recl.dat". Logical records in the recl.dat file must be contiguous. The recl.dat file may be overwritten each week. This file must reside in a location on the State's mainframe that can be accessed via Sunlink for direct transfer to the Sun computer. States are advised to consult their Sunlink documentation to set the parameters and initiate the procedures for their local ADP system.

States that cannot or choose not to establish a Sunlink connection can write the recl.dat file to 9 track tape. The file will then be transferred to the Sun system from the 9 track tape, following the procedures described in the documentation which accompanied BQC software release 4.1.

States may also choose to manually enter comparison and case information into the Sun computer by using the BQC software. These procedures are described in ET Handbook No. 400, Unemployment Insurance Benefit Quality Control ADP User Guide.

c. Format for Transfer of Record Types Two and Three. The creation of longitudinal Record Types Two and Three is optional. The Department does not download these files from State Sun systems to the National Office computer. States which opt to collect Record Type Two or Record Type Three longitudinal data should follow the data element definitions, record formats, and file transfer formats.