

# Unemployment Insurance Benefit Accuracy Measurement Program

## Specifications for State ADP Tasks and the COBOL Population Edit and Sample Selection Programs

### 1. Introduction

This document contains the ADP specifications for the Unemployment Insurance (UI) Benefit Accuracy Measurement (BAM) Program. Definitions, coding schemes, and record formats are provided for all required and optional items and tasks.

Specifications for three major components are described:

- ! The construction of the UI transactions file on the State's mainframe ADP system, which will be used to define the populations (sampling frames) from which the samples are selected for UI benefits and the three types of denied claims for unemployment compensation: monetary denials, separation issue denials, and denials based on nonmonetary and nonseparation issues. **This task will be performed by each State's ADP staff.**
  
- ! The BAM COBOL programs which 1) edit the population transactions file; 2) select the records which meet the definition for inclusion in the populations; 3) execute a routine to randomly select samples from the appropriate sampling frames; 4) produce an output file of the sampled cases; and 5) produce a file containing aggregate data on the samples and populations which will be used to verify the validity of the samples and the sampling frames. Two separate COBOL programs have been developed to replace the single COBOL program currently used in BAM. **The source code for the two COBOL programs will be distributed by the Department of Labor. States will compile the source code and install the executable (object) code on their ADP systems.**
  
- ! The creation of a file containing data which has been downloaded from the State's mainframe for the sampled transactions. This file consists of items for the UI BAM data collection instrument (dci), which will be downloaded to the State's UI Sun ADP system, either electronically (for example via a Sunlink connection with the State's mainframe computer system or ftp) or

on tape. **This task will be performed by each State's ADP staff.**

From its inception, the BAM program (formerly Benefits Quality Control) has been designed to be as automated as possible. The UI unit in each State Employment Security Agency (SESA) has a Sun workstation to support BAM operations. The Unemployment Insurance Service, Division of Information Technology, electronically picks up BAM data from the Sun for storage in the UI database on the Sun computer system at the National Office.

The specifications included in this document address the ADP requirements for both the benefits and denials components of the BAM program. Five States are participating in a pilot to test and evaluate the inclusion of denied claims in the BAM program. Because one purpose of any pilot is the identification of information which will result in the revision of program procedures and requirements, the specifications in this document are subject to change based on the outcome of the pilot.

## **2. State UI Transactions File**

This section discusses the steps to be performed by State ADP staff to produce the UI transactions file, which must be created each week and is the initial task in the population definition and sampling process. **State ADP staff must write the program(s) to create this file.** Data for this file are extracted from the State's UI database and management information system.

The UI transactions file is the input file to COBOL program one, which edits the file, verifies that the records are sorted correctly, and identifies records that meet the criteria for inclusion in the UI benefits and denials sampling frames.

The UI transactions input file for the revised BAM COBOL program differs from the record type three transactions file used in the current BAM COBOL population definition and sample selection program in several respects:

- ! Several data elements that are not needed to define the BAM populations or select the BAM samples have been deleted;
- ! New data elements and codes have been added;

- ! Only records that meet the definition for inclusion in one of the four BAM populations -- UI benefits, monetary denials, separation denials, and nonmonetary-nonseparation denials -- should be included in the UI transactions file;
- ! Records in the UI transactions file will be sorted according to the criteria specified below, using a sort utility on the SESA mainframe, before the transactions file is read by the COBOL program;
- ! All date fields have been modified so that these fields can store and manipulate four-digit year fields in order to accommodate dates beginning January 1, 2000.

A. Data Definitions for the UI Transactions File

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 (YYYYWW). Each week of the year is assigned a unique number beginning with 01 for the week which includes the first Saturday in January. (A week is 12:00 am Sunday to 11:59 pm Saturday).

Field Size: 6 Digits

3) Social Security Number

Social Security Number of claimant (State use only).

Field Size: 9 Digits

4) Claim Date

Use effective date (MMDDYYYY), if record is a new initial, additional, transitional, or reopened claim. Item #16, Claim Type, will be coded 01, 02, 03, or 04.

Use week ending date (MMDDYYYY), if record is a week claimed. Item #16, Claim Type, will be coded 12, 13, or 14.

Field Size: 8 Digits

5) Transaction Date

For benefit payments, this is the date (MMDDYYYY) that the payment was made or the date that the offset, withholding or intercept was applied. If amounts are withheld or intercepts applied in one sampling week (for example on a Friday) and the check is not issued until the following sampling week (for example on the following Monday), the payment record will be included in the sampling frame for the week in which the Monday falls.

For denied claims, this is the date (MMDDYYYY) that the monetary, separation, or nonmonetary-nonseparation denial was issued by the State agency (that is, the date the determination notice was mailed to the claimant or, if no notice is required, the date that a stop payment order was issued or a partial payment was made).

Field Size: 8 Digits

6) Sample Selection Indicator

1 = This record was selected for the BAM sample (UI benefits or monetary, separation, or nonmonetary-nonseparation denials).

2 = This record was not selected for the BAM sample.  
NOTE: All records are coded "2" when SESA builds the transactions file.

Field Size: 1 Digit

7) Transaction (Sample) Type

1 = UI benefits  
2 = Monetary denials  
3 = Separation denials  
4 = Nonmonetary-nonseparation denials

Field Size: 1 Digit

8) Gender

1 = Male  
2 = Female  
8 = Information Not Available or Missing

Field Size: 1 Digit

9) Date of Birth

Claimant's month and year of birth (MMYYYY).

Enter 010001 when information is not available from the State's computer records.

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

Field Size: 6 Digits

10) Ethnic Classification

1 = White, not Hispanic  
2 = Black, not Hispanic  
3 = Hispanic  
4 = American Indian or Alaskan Native  
5 = Asian or Pacific Islander  
8 = Information Not Available or Missing

Field Size: 1 Digit

11) Program Type

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

Field Size: 1 Digit

12) Unemployment Duration Code

1 = Regular UI  
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 benefits program (e.g. EUC)

Field Size: 1 Digit

13) 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, withheld or deducted),  
entry will be 000.

Field Size: 3 Digits

14) 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

15) Amount of Intercept or Withholding

Whole dollar amount of entitlement applied to  
outstanding child support payments, Federal, State or  
local income tax withholding, or amount withheld for  
over-issuance of Food Stamp coupons.

If none intercepted or withheld, entry will be 000.

Field Size: 3 Digits

16) Claim Type

00 = No week claimed  
01 = New Claim  
02 = Additional Claim  
03 = Transitional Claim  
04 = Reopened Claim  
11 = Waiting Week  
12 = First Payment (optional code)  
13 = Continued Week (paid or claimed but not paid)  
14 = Final Payment (optional code)  
15 = Supplemental Payment (paid previously)

Field Size: 2 Digits

17) Filing Status Indicator

1 = Intrastate - a claim filed in the State in which the claimant's wage credits were earned, including combined wage claims, in which claimant wage credits have been transferred from one or more States to the State in which the claim was filed.

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

18) Workshare Percentage

Code percent of unemployment in week due to a workshare agreement.

Use 00 if claimant is not in a workshare agreement or SESA does not collect this information.

Field Size: 2 Digits

19) Run Date for Program (optional)

Identifies when program to build file was executed (MMDDYYYY).

Field Size: 8 Digits

20) Adjustment Indicator (optional)

1 = This record adjusts previously reported information.

2 = This record has not been previously reported.  
(Default code if item not collected.)

Field Size: 1 Digit

21) Total Amount "Paid" to Claimant

The sum of item 13, Amount Paid to Claimant; item 14, Amount Offset; and item 15, Amount of Intercept or Withholding.

Field Size: 3 Digits

B. Record Format for UI Transaction File

<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 #	6	3-8	YYYYWW
3	Social Security #	9	9-17	Actual #
4	Claim Date	8	18-25	MMDDYYYY
5	Transaction Date	8	26-33	MMDDYYYY

<u>Item #</u>	<u>Name</u>	<u>Field Size</u>	<u>Positions</u>	<u>Formats</u>
6	Sample Select. Ind.	1	34	1 or 2
7	Transaction Type	1	35	1 to 4
8	Gender	1	36	1, 2 or 8



9	Date of Birth	6	37-42	MMYYYY or 010001
10	Ethnic	1	43	1 to 5 or 8
11	Program Type	1	44	1 to 9
12	UI Duration	1	45	1 to 5
13	Amount Paid	3	46-48	Whole Dollars
14	Amount Offset	3	49-51	Whole Dollars
15	Amount of Intercept or Withholding	3	52-54	Whole Dollars
16	Claim Type	2	55-56	00-04, 11-15
17	Filing Status	1	57	1 to 3
18	Workshare Pct.	2	58-59	00 to 99
19	Run Date	8	60-67	MMDDYYYY
20	Adjustment Ind.	1	68	1 or 2
21	Total Amount "Paid" To Claimant	3	69-71	Whole Dollars

<u>Item #</u>	<u>Name</u>	<u>Field Size</u>	<u>Positions</u>	<u>Formats</u>
--	Filler	9	72-80	zero-filled; can be used by State for edit codes.

C. Timing and Frequency

The UI Transactions File is created weekly. It may be created by accessing the SESA database each day it is 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 UI transactions file on its ADP system during the defined week, the weekly UI transactions 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 database each day it is 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 its database 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 UI transactions file by accessing the database each night and cumulating the records. The computer program that the State uses to select records for the UI transactions file must be executed on Monday night after the UI transaction database 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 UI transactions file for that week.

States have the option of including the Run Date in each record in the weekly UI transactions file. If the program the State has written to create the UI 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 UI transactions file. In contrast, if the program is run on five different days (after the SESA's database is updated each day), then the Run Date for the records in the weekly UI transactions file will have five different values corresponding to the dates on which the records were selected.

#### D. Distinguishing Between Payments and Weeks

The weekly UI 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 SESA's database of UI transactions 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, assume that 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 UI 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), 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 UI transactions file must have a single payment/offset record for each claimant for each week.

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

#### E. Definitions of UI Transactions

SESAs should use the following BAM population definitions to identify records on their UI databases for inclusion in the UI transactions file.

##### (1) UI Benefits Paid

Include all intrastate UI weeks compensated that are reported on the ETA 5159 Claims and Activities report on line 301, item 14 (State UI Program, All Weeks Compensated), and item 17 (UCFE and/or UCX Programs).

##### Exclude

- ! supplemental payments for an underpayment or offsets for an overpayment in one or more previously compensated weeks;
- ! payments made on interstate claims;

! payments made under the Extended Benefits program or other Federal extended benefits program (for example, EUC);

! compensated waiting week payments;

! payments made under the Short Time Compensation (workshare) program.

#### (2) Monetary Denials

Include all initial claims that were denied because of monetary issues from the initial claims that are reported on the ETA 5159 Claims and Activities report on lines 101 (State UI), 102 (UCFE, No UI), and 103 (UCX only), for items 2 (new intrastate, excluding transitional), item 5 (transitional), and item 6 (interstate received as liable State).

Exclude denied claims made under the Short Time Compensation (workshare) program.

#### (3) Separation Denials

Include all separation determinations that resulted in a denial of a claim for UI benefits from the separation determinations reported in cells c1 (intrastate), c5 (interstate), and c193 (multi-claimant) of the ETA 9052 Nonmonetary Determinations Time Lapse (Detection Date) report. Include only one multiclaimant determination based on a set of facts which results in a denial and which applies to a group of similarly-situated individuals and which is issued to two or more claimant who are members of such group(s).

Exclude denied claims made under the Short Time Compensation (workshare) Program.

#### (4) Nonmonetary-Nonseparation Denials

Include all nonmonetary-nonseparation determinations that resulted in a denial of a claim for UI benefits from the nonmonetary-nonseparation determinations reported in cells c97 (intrastate), c101 (interstate), and c193 (multiclaimant) of the ETA 9052 Nonmonetary Determinations Time Lapse (Detection Date) report. Include only one multiclaimant determination based on a set of facts which

results in a denial and which applies to a group of similarly-situated individuals and which is issued to two or more claimant who are members of such group(s).

Exclude denied claims made under the Short Time Compensation (workshare) Program.

States should refer to the definitions of the items referenced in the appropriate report in ET Handbook No. 401, 2nd Edition, change 7 (and any subsequent revisions).

#### F. UI Transactions File Sort

The records in the UI transactions file are sorted first by Transaction (Sample) Type (item 7) in ascending order: 1) UI benefits, 2) monetary denials, 3) separation denials, and 4) nonmonetary-nonseparation denials.

Within each sample type records are sorted in ascending order on two keys. For the UI benefits sampling frame, the primary sort key is the total amount "paid" to the claimant (item 21). For the three denials sampling frames, the primary sort key is the transaction date of the denial (date the denial was issued by the SESA) (item 5). The secondary sort key for all four sample types is the social security number (SSN) (item 3).

When these primary and secondary sorts are completed, the first record in the UI transaction file will correspond to the UI benefits payment (sample type 1) with the smallest amount paid, offset, intercepted, or withheld and the lowest SSN within that amount. The last record among the UI benefits payments in the UI transactions file will correspond to the payment with the largest amount paid, offset, intercepted, or withheld and the highest SSN within that amount. The first record in each of the three denials sample types (monetary, separation, nonmonetary-nonseparation) will correspond to the denial with the earliest transaction date and the lowest SSN within that date. The last record in each of the three denials sample types will correspond to the denial with the latest transaction date and the highest SSN within that date.

### 3. Control Record

The control record is a required input to both BAM COBOL programs. COBOL program one checks the validity of the data in

the control record and uses the control record to edit some of the data fields in the UI transactions file. COBOL program two uses the control record in its sample selection algorithm.

The control record has been revised to accommodate the three types of denied claims and to be year-2000 compliant.

#### Record Format for Control Record

<u>Data Element</u>	<u>Positions</u>	<u>Formats / Edit Criteria</u>
State Code	1-2	2-digit numeric (FIPS); must be 1-56, 72, or 78, except for codes 3, 7, and 14.
Current Week's Batch #	3-8	6-digit numeric in format YYYYWW; YYYY must be $\leq$ current year; WW must be $\geq$ 01 and $\leq$ 53.
UI Benefits Random #	9-14	6-digit numeric; implied decimal (.xxxxxx).
Monetary Random #	15-20	6-digit numeric; implied decimal (.xxxxxx).
Separation Random #	21-26	6-digit numeric; implied decimal (.xxxxxx).
Nonmon.-Nonsep. Random #	27-32	6-digit numeric; implied decimal (.xxxxxx).
Batch Week Beginning Date	33-40	8-digit numeric in format MMDDYYYY; MM must be $\geq$ 01 and $\leq$ 12; DD must be $\geq$ 01 and $\leq$ max. days in MM; YYYY must be $\leq$ current year.

<u>Data Element</u>	<u>Positions</u>	<u>Formats / Edit Criteria</u>
Batch Week Ending Date	41-48	8-digit numeric in format MMDDYYYY; must be > Batch Week Beginning Date. MM must be $\geq 01$ and $\leq 12$ ; DD must be $\geq 01$ and $\leq$ max. days in MM; YYYY must be $\leq$ current year.
UI Benefits Sample Size	49-50	2-digit numeric; must be $\geq 2$ .
Monetary Denials Sample Size	51-52	2-digit numeric; must be $\geq 2$ .
Separation Denials Sample Size	53-54	2-digit numeric; must be $\geq 2$ .
Nonmon.-Nonsep. Denials Sample Size	55-56	2-digit numeric; must be $\geq 2$ .
Max Pay	57-59	3-digit numeric; whole dollars; the maximum WBA in the State, including dependents' allowances.
Filler	60-80	zero-filled

#### 4. COBOL Population Edit and Sample Selection Programs

The BAM COBOL programs can be compiled on IBM OS/VS or COBOL II compilers. States must write the job control language to compile the source code. Because ADP systems vary from State to State, some SESAs may have to modify the source code in order to successfully compile the COBOL programs on their State ADP systems. States should permanently store the executable (object code) COBOL files in a program library or partition on its ADP system from where it can be run on a routine basis.

The COBOL programs perform the following tasks, which are described in detail in the subsequent sections:

##### COBOL Program 1

- ! edits the input control record to identify data element codes which do not meet the specified format or range;
- ! verifies that the UI transactions file is sorted according to the specifications in section 2 (F), above;
- ! edits the UI transactions file to 1) identify records with data element codes which do not meet the specified format or range and 2) identify records that meet the definition for inclusion in the sampling frames for UI benefits and the three types of denials;
- ! produces an error report of records which fail any of the edits and the identification of the failed edit(s);
- ! creates a file consisting of the records in the UI transactions file that meet the definition for inclusion in the sampling frames.

#### COBOL Program 2

- ! selects the sample cases according to the prescribed algorithm;
- ! writes records selected for the samples to the properly formatted output file;
- ! creates a file of aggregate sample and population information for UI benefits and the three types of denials, and produces a report for each of the four transaction types which summarizes the aggregate data.

#### A. Editing the Input Control Record

Both BAM COBOL programs require an input control record, which is prepared by each State. Input control data are used in the sample selection algorithm and to edit the input file of UI transactions. This information includes the two-digit State FIPS code; two eight-digit dates for beginning and ending dates of the batch (weekly sample) being selected; a six-digit number for the batch; four six-digit random start numbers (for sample selection), which are provided by the Department; four two-digit numbers, which are provided by the BAM supervisor, that designate the number of cases to be selected for the weekly UI benefits, monetary, separation, and nonmonetary-nonseparation denials



samples; and the maximum amount of UI benefits payable in the State.

COBOL program one edits the input control record to insure that the fields contain valid entries. If any of the edits fail, the appropriate error message will be displayed and the program will terminate. The required formats and definitions for the input control record data are provided in section 3 of this document.

#### B. Verifying the Sort of the UI Transactions File

Samples are selected for BAM using a systematic selection algorithm. With systematic selection, the first sample case is selected at random and subsequent cases are selected at a fixed interval. The procedure will therefore produce a sample which reflects the way in which the records in the sampling frame file are sorted. Because of this, it is critical that the records in the UI transaction file be sorted according to the specifications in section 2 (F).

COBOL program one verifies that:

- ! The first  $N_1$  records in the file are UI benefit payments (Sample Type "1"), the next  $N_2$  records in the file are monetary denials (Sample Type "2"), the next  $N_3$  records in the file are separation denials (Sample Type "3"), and the last  $N_4$  records in the file are nonmonetary-nonseparation denials (Sample Type "4").

Note: All four types of records may not be present in the file. If more than one type of record is in the file, the program verifies the proper sort sequence, as described in the preceding paragraph. If only one type of record is present, the program verifies that the records are sorted according to the appropriate primary and secondary sort keys, as described in the following two sections.

- ! The primary sort key for the UI benefit records is the total amount "paid" to the claimant (item 21) (ascending) and the secondary sort key is the social security number (item 3) (ascending).
- ! The primary sort key for the three denials sampling frames is the transaction date of the denial (date the denial was issued by the SESA) (item 5) (ascending) and

the secondary sort key is the social security number (item 3) (ascending).

If the UI transactions file fails the sort edit, the COBOL program will terminate, identify the record(s) out of sequence, and display an error message advising the user to re-sort the UI transactions input file.

C. Editing the UI Transactions File

COBOL program one uses the following criteria to edit the UI transactions file. The program generates an error report, which will include all records that fail one or more of the edits. Data elements failing an edit will be flagged. An example of the format of this report is shown on page 26.

Data Element # and Name

Edit Criteria

1. State I.D. Code

Must be proper numeric FIPS code for SESA from input control record; must be 1-56, 72, or 78, except for codes 3, 7, and 14.

<u>Data Element # and Name</u>	<u>Edit Criteria</u>
2. Batch Number	Must match batch # in input control record: 6-digit numeric YYYYWW; YYYY must be $\leq$ current year; WW must be $\geq$ 01 and $\leq$ 53. <sup>1</sup>
3. Social Security Number	Must be numeric > 0.
4. Claim Date	8-digit numeric MMDDYYYY; MM must be $\geq$ 01 and $\leq$ 12; DD must be $\geq$ 01 and $\leq$ max. days in MM; YYYY must be $\leq$ current year.  Can be all zeros if Transaction Type (item 7) equals 3 (separation denial) or 4 (nonmonetary-nonseparation denial).
5. Transaction Date	8-digit numeric MMDDYYYY; MM must be $\geq$ 01 and $\leq$ 12; DD must be $\geq$ 01 and $\leq$ max. days in MM; YYYY must be $\leq$ current year.  Must be greater (later) than or equal to Batch Week Beginning Date from input control record.  Must be less (earlier) than or equal to Batch Week Ending Date from input control record.

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<sup>1</sup> Record must meet edit criteria for inclusion in sampling frame.

<u>Data Element # and Name</u>	<u>Edit Criteria</u>
5. Transaction Date (continued)	Must be greater (later) than or equal to Item 4 (Claim Date). <sup>1,2</sup>
6. Sample Selection Indicator	Must equal 2.
7. Transaction (Sample) Type	Must equal 1, 2, 3, or 4. <sup>1</sup>
8. Gender	Must equal 1, 2, or 8 (INA).
9. Date of Birth	6-digit numeric MMYYYY; MM must be $\geq 01$ and $\leq 12$ ; YYYY must be $\geq$ (current year - 100) and $\leq$ YYYY of Item 4 (Claim Date); can be 0001 (INA).
10. Ethnic Classification	Must equal 1-5 or 8 (INA).
11. Program Type	Must equal 1-7 (UI, UCFE, UCX, UI-UCFE, UI-UCX, UI-UCFE-UCX, UCFE-UCX), or 9 (missing). <sup>1</sup>
12. Unemployment Duration Code	Must equal 1 (regular UI) or 3 (State additional, no EB). <sup>1</sup>
13. Amount Paid to Claimant	Must be equal to or less than max. WBA from input control record. Can be all 0's.
14. Amount Offset Applied	
15. Amount of Intercept or Withholding	

<u>Data Element # and Name</u>	<u>Edit Criteria</u>
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<sup>1</sup> Record must meet edit criteria for inclusion in sampling frame.

<sup>2</sup> 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.

16. Claim Type
- For UI benefits (Sample Type "1"): must equal 12, 13, or 14.<sup>1</sup>
- For monetary denials (Sample Type "2"): must equal 01 (new) or 03 (transitional).<sup>1</sup>
- For separation denials (Sample Type "3"): must equal 01 (new), 02 (additional), 12 to 14 (week claimed) or 00 (no week claimed).<sup>1</sup>
- For nonmonetary-nonseparation denials (Sample Type "4"): must equal 01 (new), 02 (additional), 03 (transitional), 04 (reopened claim), 12 to 14 (week claimed) or 00 (no week claimed). Denied claims for waiting week credit should be coded 13.<sup>1</sup>
- If Claim Type = 12 or 14, item 21 must be > 0.
17. Filing Status Indicator
- For UI benefits (Sample Type "1"): must equal 1 (intrastate).<sup>1</sup>

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<sup>1</sup> Record must meet edit criteria for inclusion in sampling frame.

<u>Data Element # and Name</u>	<u>Edit Criteria</u>
17. Filing Status Indicator (Continued)	For monetary, separation, or nonmonetary-nonseparation denials (Sample Types "2", "3", or "4"): must equal 1 (intrastate) or 2 (interstate liable). <sup>1</sup>
18. Workshare Percentage	Must equal 00. <sup>1</sup>
19. Run Date for Program	8-digit numeric MMDDYYYY; can be all zeros;  If greater than 0:  MM must be $\geq 01$ and $\leq 12$ ; DD must be $\geq 01$ and $\leq$ max. days in MM; YYYY must be $\leq$ current year.  Must be greater (later) than Item 4 (Claim Date).  Must be greater (later) than or equal to Batch Week Beginning Date from input control record.
20. Adjustment Indicator	Must equal 1 or 2. Must equal 1 if Item 16 = 15.
21. Total Amount "Paid" to to Claimant	Must be equal to the sum of items 13, 14, and 15. Must be equal to or less than max. WBA from input control record. Can be all 0's.

<u>Data Element # and Name</u>	<u>Edit Criteria</u>
21. Total Amount "Paid" to	For UI benefits (Sample Type

<sup>1</sup> Record must meet edit criteria for inclusion in sampling frame.

to Claimant (continued)

"1"): item 21 must be greater than 0.<sup>1</sup>

For monetary denials (Sample Type "2"): item 21 must equal 0.<sup>1</sup>

For separation and nonmonetary-nonseparation denials (Sample Types "3" or "4"): item 21 can be equal to or greater than 0.<sup>1</sup>

BAM UI Transactions File Error Report					
Page 1		State of XX		Run Date 01/06/1997	
Field	Code	Field	Code	Field	Code
1	99	2	199701	3	111223333
4	12281996	5	01031997	6	2
7	1	8	1	9	071971
10	1	11	1	12	1
13	180	14	000	15	000
16	13	17	2*	18	00
19	01051997	20	2		
1	99	2	199701	3	444556666
4	12071996	5	12301996	6	2
7	3	8	0+	9	111968
10	3	11	2	12	1
13	000	14	000	15	000
16	01	17	1	18	00
19	01051997	20	2		

\* Field failed edit for inclusion in sampling frame.  
 + Field failed coding edit.

D. Extract Flag for UI Benefits and Denials Sampling Frames

<sup>1</sup> Record must meet edit criteria for inclusion in sampling frame.

The information that is collected for the cases in the BAM samples is used to make inferences about the claimant population. To ensure that these inferences are statistically reliable, the populations must be defined consistently each week. The COBOL program performs this task by editing the UI transactions file to insure that only those records defined in section 2 (E) are included in the UI benefits and monetary, separation, and nonmonetary-nonseparation denials sampling frames.

A record in the UI transactions file must meet several criteria, which are denoted in section 4 (C), to be included in the sampling frame file. COBOL program one sets an extract flag for each field (data element) that meets the selection criteria. Records meeting all of the criteria will be written to a sampling frame file from which the four BAM samples are selected.

#### E. Selecting the UI Benefits and Denials Samples

COBOL program two uses a systematic random sampling procedure to select the UI benefits and three denials samples from the sampling frames created each week. The COBOL program uses the sample sizes and random start numbers from the input control record in the sample selection algorithm.

The weekly sample sizes and random start numbers are provided by the Department for each State for inclusion in the input control record. The random start numbers must be updated in the input control record each week. The annual sample sizes for UI benefits and the three types of denials are fixed by the Department. However, BAM supervisors may change the weekly sample sizes, within a range, in the input control record to accommodate investigator vacation schedules or other factors. The minimum and maximum weekly samples, based on current annual sample allocations are:

Sample / Annual Size	Normal Weekly	Minimum Weekly	Maximum Weekly
Benefits 360#	7	5	9
Benefits 480	9	6	12
Denials 200*	4	2	8

# Allocation for ten smallest States in terms of UI workload.



\* 200 cases each of monetary, separation, and nonmonetary-nonseparation denials will be selected each year.

#### F. Systematic Sampling Procedure

COBOL program two counts the number of records included in the sampling frame. A skip interval is computed by dividing the number of records in the sampling frame by the number of records to be sampled that week. The first sample case selected is determined by multiplying the skip interval by the random start number assigned in the input control record for that sample (UI benefits, monetary, separation, or nonmonetary-nonseparation denials). The random start number is a six-place decimal with a value greater than zero and less than one. The product of the skip interval and the random start number is rounded to the nearest integer. If the rounded integer is zero, the case corresponding to the rounded skip interval is selected as the first case in the sample.

For example, assume the following:

Number of Records in the Sampling Frame (N) = 118

Random Start Number (r) = .260903.

Total Number of Cases to be Sampled (n) = 4.

Skip interval (k) =  $118 / 4 = 29.5$

Initial case selected (i) =  $.260903 \times 29.5 = 7.697 = 8$  (rnd)

Record 8 in the sampling frame is the first record selected for the sample.

Subsequent cases are selected using systematic sampling.

1. Select the initial sample case as described above.
2. Select the next (n-1) cases by adding multiples of the skip interval (k), rounded to the nearest integer, to the case number of the initial selection (i):  $i + \text{round}(jk)$ , where  $j = 1, 2, \dots, (n - 1)$ .

In the example, cases 8, 38, 67, and 97 will be selected from the sampling frame of 118 records.

If the last case designated for selection by the sampling algorithm is greater than the size of the sampling frame (N), the case will be selected from the beginning of the sampling frame. That is, the sampling frame will be considered to be circular. For example, if the last case selected is N + 1, the 1st case will be selected.

The general rule is: if  $(i + \text{round}(jk)) > N$ , select case h, where  $h = [(i + \text{round}(jk)) - N]$  and  $1 \leq h < i$ .

The Sample Selection Indicator will be changed from a value of 2 to a value of 1 for all records selected for one of the four samples: UI benefits, monetary denials, separation denials, and nonmonetary-nonseparation denials.

#### G. Output Files and Reports

After the sample selection procedure has been completed, COBOL program two produces two output files and related reports:

1. "HITFILE", which consists of the records selected for the samples. The records in this file are in the same format and sort sequence as the UI transactions file: UI benefits records will be written first, followed by monetary, separation, and nonmonetary-nonseparation denials.

The SSNs and claim dates of the sample cases are used to query the SESA database to create a file of claimant data, recl.dat, which is used in investigating the accuracy of the payment or denial. The recl.dat file is described in section 5.

SESA BAM supervisors may request additional information for each case sampled, for example 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 SESA BAM unit and will not be picked up by the Department. State optional data must be downloaded in the format described in section 5.

In addition to creating the HITFILE, the COBOL program will produce a hard copy report consisting of all of the UI transaction file data elements for each of the sampled cases:

```
JOB [JOB NO.]          [STATE] EMPLOYMENT SECURITY COMMISSION
RUN DATE: 01/06/1997    HITFILE OF BAM SAMPLE CASES
```

```
99199701111223333122819961231199611107197111104000000013100010519972040000000000
99199701444556666122819960103199711202196811107500000013100010519972075000000000
99199701777889999122119961230199611211196222114500000013100010519972145000000000
99199701111335555122819960102199711108196531102515000013100010519972175000000000
99199701222446666122119961230199611210194812120000000013100010519972200000000000
99199701777991357122819960103199711104197451122500000013100010519972225000000000
99199701444668642122819961230199612203197011100000000001100010519972000000000000
99199701999119753122819960103199712101195723100000000001100010519972000000000000
99199701666880123122119961231199613112195511100000000001100010519972000000000000
99199701555004321122819960103199713205197741100000000002100010519972000000000000
99199701888224466122819961230199614209195021100000000013100010519972000000000000
99199701987654321122119960102199714102195911100000000013100010519972000000000000
```

2. "sfsum.dat", which consists of aggregate data for the population and sample cases for several claimant characteristics: gender, ethnic group, age, and program type. In addition to these characteristics, the amount paid to the claimant will be used to check the validity of the UI benefits population and sample. This summary data is used to check the representativeness of the weekly UI benefits and denials samples. This file is analogous to the "PRELUDE\_SF\_SUM" file created by the current BAM COBOL program, although the format of this file is different from PRELUDE\_SF\_SUM. The sfsum.dat file is described in section 5.

In addition to creating the sfsum.dat file, the COBOL program will produce a hard copy report consisting of the data elements described in Attachment 3 for each of the four sample types. The following are examples of the SFSUM hard copy reports for the UI benefits and monetary denials samples and populations.

JOB [JOB NO.] [STATE] EMPLOYMENT SECURITY COMMISSION  
SFSUM REPORT

RUN DATE: 01/06/1997

TRANSACTION TYPE: 1 - UI BENEFITS

State: 99

Batch: 199701

SIZE	06	005382
DOLLARS	00860	000805231
VARIANCE	2718.432	2919.341
MALE	03	002823
FEMALE	03	002559
GENDER MISS	00	000000
WHITE	03	003542
NON-WHITE	03	001840
ETHNIC MISS	00	000000
AGE < 25	01	000639
AGE 25-34	03	001863
AGE 35-44	01	001295
AGE 45-64	01	000871
AGE 65+	00	000714
AGE MISS	00	000000
< \$51	01	000540
\$ 51-\$100	01	000904
\$101-\$150	01	001482
\$151-\$200	02	001983
\$201+	01	000473
AMOUNT MISS	00	000000
UI	06	005001
UCFE/UCX	00	000381
PROGRAM MISS	00	000000
=====		
SKIP INTERVAL		000897
RANDOM NUMBER		217658
FIRST SELECT		000195
=====		

```

JOB [JOB NO.] [STATE] EMPLOYMENT SECURITY COMMISSION
                        SFSUM REPORT

RUN DATE: 01/06/1997      TRANSACTION TYPE: 2 - MONETARY DENIALS

State: 99                      Batch: 199701

SIZE          02          000245
MALE          01          000132
FEMALE       01          000113
GENDER MISS  00          000000
WHITE        01          000177
NON-WHITE    01          000068
ETHNIC MISS  00          000000
AGE < 25     00          000021
AGE 25-34    01          000073
AGE 35-44    01          000065
AGE 45-64    00          000048
AGE 65+      00          000038
AGE MISS     00          000000
UI           02          000202
UCFE/UCX     00          000043
PROGRAM MISS 00          000000
=====
SKIP INTERVAL          000123
RANDOM NUMBER          725190
FIRST SELECT          000089
=====

```

#### H. COBOL Program Specifications

A description of the COBOL program modules, installation procedures, and the technical specifications of the input and output files are provided in Attachment A.

#### 5. COBOL Program Output Files

Each week, two files are downloaded from the SESA mainframe ADP system to the UI Sun ADP system: recl.dat, which consists of claimant data obtained from the SESA database for the cases selected for the four BAM samples; and sfsum.dat, which is created by COBOL program two. The Department will provide software to convert data in these files to the Informix database

on the UI Sun computer. This software requires the data passed from the SESA mainframe to the Sun computer to be in a specific format. 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 below.

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 recl.dat and sfsum.dat files to the Sun computer either electronically (for example Sunlink or ftp) or on tape. States must secure login permission and permission to download files from their State ADP system to the Sun computer. States using Sunlink should refer to the Sunlink documentation to set the parameters for their local ADP system and insure that these files reside in a location on the State's mainframe that can be accessed by Sunlink.

States that cannot or choose not to use Sunlink or another electronic transfer method can write the recl.dat and sfsum.dat files to tape or other media that can be used to transfer the files to the Sun system.

States may also choose to manually enter the population and sample comparison data and sample case information into the Sun computer by using the software provided by the Department. The procedures for UI benefits data are described in ET Handbook No. 400, Unemployment Insurance Benefit Quality Control ADP User Guide.

#### A. Output File of Sampled Cases

COBOL program two creates a file of records selected for the UI benefits and three denials samples (HITFILE). This file is used to query the SESA database to identify information on an individual claimant including demographic characteristics, employment history, benefit year data, and information specific to the initial or continued claim. Data reflect status at the time of sample selection for such items as number of base period employers, base period wages, weekly benefit amount, etc. All data available in the SESA UI databases must be extracted to create file "recl.dat" for downloading to the Sun computer.

The control keys for selecting data from the SESA database are social security number (SSN) and claim date, which is the effective date of the initial claim or the week ending date of a week claimed.

1. Timing and Frequency. SESAs will create the "recl.dat" file each week as soon as possible after the samples of UI benefit payments and denied UI claims have been selected by the COBOL program. The file must be available on Monday morning for assignment of cases to the BAM investigators. The file is downloaded to the Sun computer either electronically or by tape and stored in /opt/bqc/data/tmp/recl.dat.

2. Data Element Definition. The data elements and formats for recl.dat records are provided in Attachment B. Some of the fields may be missing, optional, or not applicable and are left blank, as indicated.

3. Data Corrections. Experience from the BAM program has shown that claimants are occasionally sampled in error, or that claimant identifiers change during the course of an investigation. The BAM 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. The Department will log on to the Sun computer in order to code a sample case that does not meet the definition for inclusion in the UI benefits or denials universe. The Sun computer cannot correct errors on the SESA mainframe. Therefore, the BAM supervisor is responsible for alerting the SESA ADP unit regarding changes or errors.

4. File Format for Transfer to the Sun Computer. States must download the recl.dat file from their mainframe computer to the Sun ADP system. This data is stored in the UI database on the Sun. Successful case conversion depends on fixed formats and file-naming conventions, which are described in this section. SESAs are responsible for the programming which creates the recl.dat file in the required format.

Each record in the recl.dat file consists of ten 80-character lines. The total size of each record is 800 bytes. Position 80 on each line must be coded with a line feed (ASCII - 10, HEX 0A, EBCDIC 25, LF).

The first three lines are defined by the Department and cannot be changed. As indicated in the following table, some fields wrap from one line to the next line. Line four is reserved for future use and will remain blank. The remaining six lines are reserved for State use and can contain such information as the names and addresses of UI claimants. BAM supervisors are responsible for providing the record formats of optional fields to their ADP

staffs. All ten lines must be formatted and transferred whether or not the State optional lines are used for data. Positions not used for data must remain unfilled.

The following table summarizes the contents of each line of the recl.dat file record. The data elements and formats for recl.dat records are provided in Attachment B.

<u>Line #</u>	<u>recl.dat Data Element Numbers</u>	<u>Positions</u>
1	Items 1 thru 24 (first position)	1 - 79
2	Items 24 (last position) thru 50	80 - 158
3	Items 51 thru 58 (69 spaces reserved in remainder of line 3)	159 - 168 (169 - 237)
4	Leave blank: reserved for future use.	
5-10	Lines reserved for State use.	

Note: Positions refer to the format of the recl.dat file record in Attachment B.

#### B. Population and Sample Comparison File

COBOL program two will aggregate population and sample data for selected claimant characteristics to evaluate the statistical validity of the UI benefits and denials samples. This aggregated data is written to the file "sfsum.dat" and is downloaded to the UI Sun computer either electronically or by tape. The file will be stored in /opt/bqc/data/tmp/sfsum.dat on the Sun computer. Software provided by the Department will store the aggregated data in the UI database. The Department will pick this data up for storage on the National Office UI database.

This file will include the following information:

- 1) The total size of the UI benefits or denials population file from which the sample was selected.
- 2) The skip interval (K) calculated.



- 3) The random start number provided by the Department and specified in the input control record.
- 4) The sequence number of the first sampled case.
- 5) Aggregate sample and population data for gender, ethnic group, age, and program. For UI benefits, aggregate sample and population data for the amount paid to the claimant and the sample and population variances for the amount paid will also be produced.

File Format. The sfsum.dat file consists of four records of three 80-character lines, which are summarized in the following table. Position 80 of each line is coded with a line feed. The first record in the file is for UI benefits, followed in order by records for monetary, separation, and nonmonetary-nonseparation denials. The data elements and formats for sfsum.dat records are provided in Attachment C.

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<u>Line #</u>	<u>sfsum File Data Element Numbers</u>	<u>Positions</u>
1	Items 1 thru 19 (first 4 positions)	1 - 79
2	Items 19 (last 2 positions) thru 39 (first 3 positions)	80 - 158
3	Items 39 (last 3 positions) thru 53 (6 spaces reserved in remainder of line 3)	159 - 231 (232-237)

Note: Positions refer to the format of the sfsum.dat file record in Attachment C.

## Attachment A

**UI BAM Population Edit and Sample Selection  
COBOL Program Specifications and Installation**Installation of the COBOL Programs

The BAM denials COBOL software consists of two source code files: the edit program and the sampling program. The source program code is written in ASCII. Transfer the COBOL program source code files from the UI Sun computer to your State mainframe computer system or network.

The two programs must be compiled separately and given names consistent with the naming conventions at your State's ADP site. The programs have been compiled and tested under both IBM OS/VS COBOL and COBOL II. If the program code will be compiled using a different compiler, the source code may need to be modified to conform to your local ADP environment. After compiling the COBOL program source code, permanently store the executable (object code) files in a program library or partition on your State's ADP system where it can be run on a routine basis.

In the redesign of the COBOL program all internal COBOL sorts have been replaced with SORT utility steps that run before the edit program. Sample JCL for executing the programs on IBM compatible systems is provided at the end of this section.

The main processing steps are as follows:

1. Using programs specific to your ADP site, create the weekly file of UI benefit payments in the new format, as described in section 2 of this documentation.
2. Using a sort control statement similar to the one in step 010 in the sample JCL, sort the UI payment transactions by total amount paid and by SSN.
3. Using programs specific to your site, create a transaction file for the three types of denials: monetary, separation and nonmonetary-nonseparation.
4. Using a sort control statement similar to the one in step 020 in the sample JCL, sort the denials transactions by TRANTYPE, TRANYYYY, TRANMMDD, and SSN.

5. Concatenate the UI payment and denial files (step 030).
6. Execute the edit program to create the sampling frame and error report (step 040).
7. Execute the sampling program to create the HITFILE (sample cases) and SFSUM files (step 050).
8. Using programs specific to your ADP site, create the recl.dat file in the new format, as described in section 4 and attachment B of this documentation.

### COBOL Program Files

#### 1. Input Files

##### a. UI Transactions File

This file contains all the weekly UI transactions records, which contain data extracted from the SESA mainframe database.

record order:           UI benefits (Transaction Type 1): amount paid, offset, intercepted, withheld or deducted (item 21 in UI transactions record) and social security number (item 3), in ascending order;

Monetary, separation, and nonmonetary-nonseparation denials (Transaction Types 2, 3, and 4): transaction date (item 5 in UI transactions record) and social security number (item 3), in ascending order.

access mode:           sequential  
record length:         80 bytes  
retention:             save on tape or disk for 120 days

##### b. Control Record

This file contains a single record which provides control information for each weekly run (for example, random number, number of records to be sampled each week, batch number, etc.). Certain data in the record must be changed each week (batch #, random #, and dates).

access mode: single record  
record length: 80 bytes  
retention: none

## 2. Output Files and Reports

### a. Error Listing

This report consists of records in the UI transactions file for which the COBOL program has identified data range, format, or relational errors. The report should be reviewed to correct data value or format problems.

### b. Sampling Frame of UI Transactions

This file contain all records meeting the edit criteria for inclusion in the UI benefits and the monetary, separation, and nonmonetary-nonseparation sampling frames.

record order: Same as UI Transactions File  
access mode: sequential  
record length: 80 bytes  
output media: disk or tape  
retention: none

### c. HITFILE

This file contains the records selected for the four BAM samples: UI benefits and monetary, separation, and nonmonetary-nonseparation denials. Record format is the same as the UI transactions file. The HITFILE is used to extract data from the State's UI database to create the recl.dat file, which is downloaded to BAM tables in the UI database on the Sun computer.

record order: Same as sampling frame and transactions file  
access mode: sequential  
record length: 80 bytes  
output media: disk or tape  
retention: optional

### d. sfsun.dat

This file contains aggregate sample and population data for the four types of UI transactions included in BAM: UI



```
//          DISP=(NEW,CATLG,DELETE),AVGREC=K,
//          DCB=(LRECL=80,RECFM=FB),
//          SPACE=(80,(30,10),RLSE)
//SYSOUT   DD   SYSOUT=*
//SYSIN    DD   *
          SORT FIELDS=(35,1,CH,A,30,4,CH,A,26,4,CH,A,9,9,CH,A)
//*
//STEP030 EXEC PGM=IEBGENER
//SYSUT1   DD   DSN=YOUR.SORTED.TYPE1.TRANSACTIONS,
//          DISP=(OLD,DELETE,KEEP)
//          DD
DSN=YOUR.SORTED.DENIALS.TRANS,DISP=(OLD,DELETE,KEEP)
//SYSUT2   DD   DSN=YOUR.UNEDITED.TRANSACTION.FILE,
//          UNIT=STORAGE,MGMTCLAS=IMSTD,
//          DISP=(NEW,CATLG,DELETE),AVGREC=K,
//          DCB=(LRECL=80,RECFM=FB),
//          SPACE=(80,(30,10),RLSE)
//SYSPRINT DD   SYSOUT=*
//SYSIN    DD   DUMMY
//*
//STEP040 EXEC PGM=?????? /*YOUR NAME FOR THE EDIT PROGRAM*/
//INCNTRL  DD   DSN=YOUR.NAME.FOR.THE.CONTROL.FILE,DISP=SHR
//INTRAN   DD
DSN=YOUR.UNEDITED.TRANSACTION.FILE,DISP=(OLD,DELETE,KEEP)
//OTTRAN   DD   DSN=YOUR.NAME.FOR.THE.SAMPLE.FRAME,
//          MGMTCLAS=IMSHORT,STORCLAS=ISFAST,
//          DISP=(NEW,CATLG,DELETE),AVGREC=K,
//          DCB=(RECFM=FB,LRECL=80),
//          SPACE=(80,(100,100),RLSE)
//OTERROR  DD   SYSOUT=*,
//          DCB=(RECFM=FBA,LRECL=81)
//SYSOUT   DD   SYSOUT=*
//SYSABEND DD   SYSOUT=*
//SYSUDUMP DD   SYSOUT=*
//SYSABOUT DD   SYSOUT=*
//SYSDBOUT DD   SYSOUT=*
//*
//STEP050 EXEC PGM=?????? /*YOUR NAME FOR THE SAMPLING PGM*/
//INCNTRL  DD   DSN=YOUR.NAME.FOR.THE.CONTROL.FILE,
//          DISP=SHR
//INTRANS  DD   DSN=YOUR.NAME.FOR.THE.SAMPLE.FRAME,
//          DISP=(OLD,DELETE,KEEP)
//OTPRINT  DD   SYSOUT=*,
//          DCB=(RECFM=FBA,LRECL=133)
//OTSAMPL  DD   DSN=YOUR.NAME.FOR.THE.HITS.FILE,
//          DISP=(NEW,CATLG,DELETE),
```

```
//          SPACE=(80,(5,2),RLSE),AVGREC=K,
//          DCB=(RECFM=FB,LRECL=80)
//OTSFSUM  DD  DSN=YOUR.NAME.FOR.THE.SFSUM.FILE,
//          DISP=(NEW,CATLG,DELETE),
//          SPACE=(80,(5,2),RLSE),AVGREC=K,
//          DCB=(RECFM=FB,LRECL=80)
//SYSOUT   DD  SYSOUT=*
//SYSABEND DD  SYSOUT=*
//SYSUDUMP DD  SYSOUT=*
//SYSABOUT DD  SYSOUT=*
//SYSDBOUT DD  SYSOUT=*
//*
```



## Attachment B

## Record Format for recl.dat File

<u>Item #</u>	<u>Name</u>	<u>Field Size</u>	<u>Positions</u>	<u>Formats/Codes</u> <sup>1</sup>
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	6	12-17	YYYYWW
4	Claim Date (Week Ending or Effective Date)	8	18-25	MMDDYYYY
5	Local Office Number	4	26-29	SESA assigned #
6	U.S. Citizen	1	30	1 to 3 or Blank
7	Education	2	31-32	00 to 12, 14 to 16, 20 or Blank
8	Voc/Tech Training	1	33	1 to 3 or Blank
9	In Training	2	34-35	00, 11 to 14, 21 to 24, or Blank

---

<sup>1</sup> Unless otherwise noted, refer to ET Handbook No. 400, Appendix D, "Data Elements and Definitions", for data element codes.

<u>Item #</u>	<u>Name</u>	<u>Field Size</u>	<u>Positions</u>	<u>Formats/Codes<sup>1</sup></u>
10 <sup>2</sup>	Occup. Code (Last)	3	36-38	3 digit major group or Blank
11	Date of Birth	8	39-46	MMDDYYYY or Blank
12	Gender	1	47	1, 2 or Blank
13	Ethnic Classification	1	48	1 to 5 or Blank
14	Program Code	1	49	1 to 8 or Blank
15	Combined Wage	1	50	1 or 2 or Blank
16	Benefit Yr. Beginning	8	51-58	MMDDYYYY or Blank
17	Initial Claim Filing Method	1	59	1 to 5 or Blank
18 <sup>2</sup>	# Prior Nonsep Issues	2	60-61	2 digits or Blank
19 <sup>2</sup>	# Prior Nonsep Issues (Disqualifying)	2	62-63	2 digits or Blank
20	Reason for Separation (Before Investigation)	2	64-65	10 to 69 or Blank
21	Date of Separation (Before Investigation)	8	66-73	MMDDYYYY or Blank

<u>Item #</u>	<u>Name</u>	<u>Field Size</u>	<u>Positions</u>	<u>Formats/Codes<sup>1</sup></u>
---------------	-------------	-------------------	------------------	----------------------------------

<sup>1</sup> Unless otherwise noted, refer to ET Handbook No. 400, Appendix D, (Data Elements and Definitions) for data element codes.

<sup>2</sup> Required for UI benefits cases only; leave blank for denials cases.

<sup>1</sup> Unless otherwise noted, refer to ET Handbook No. 400, Appendix D, (Data Elements and Definitions) for data element codes.

22	Recall Status (Before Investigation)	1	74	0, 1, 2 or Blank
23	SIC Last Employer	4	75-78	4 digit SIC code or Blank
24	# Base Period Employers (Before Investigation)	2	79-80	2 digits or Blank
25	Base Period Wages (Before Investigation)	6	81-86	6 digits (whole dollars) or Blank
26	SIC Primary Base Period Employer	4	87-90	4-digit SIC code or Blank
27	High Quarter Wages (Before Investigation)	5	91-95	5 digits (whole dollars) or Blank
28	# Weeks Worked in BP (Before Investigation)	3	96-98	3 digits or Blank
29	WBA (Before Invest.)	3	99-101	3 digits (whole dollars) or Blank
30	MBA (Before Invest.)	5	102-106	5 digits (whole dollars) or Blank
31	Monetary Redeterm. (Before Investigation)	1	107	1, 2, or Blank
<u>Item #</u>	<u>Name</u>	<u>Field Size</u>	<u>Positions</u>	<u>Formats/Codes<sup>1</sup></u>
32	Remaining Balance (after week paid or denial determination)	5	108-112	5 digits (whole dollars) or Blank
33	# Dependents Claimed	2	113-114	2 digits, 00,

<sup>1</sup> Unless otherwise noted, refer to ET Handbook No. 400, Appendix D, (Data Elements and Definitions) for data element codes.

	(Before Investigation)			or Blank
34	Dependents Allowance (Before Investigation)	3	115-117	3 digits (whole dollars) or Blank
35 <sup>2</sup>	First CWE Date	8	118-125	MMDDYYYY or Blank
36 <sup>2</sup>	Date of First Pay't.	8	126-133	MMDDYYYY or Blank
37 <sup>2</sup>	KW Cert. Method	1	134	1 to 3 or Blank
38 <sup>3</sup>	Week Claimed/Paid Filing Method	1	135	1 to 5 or Blank

---

<sup>2</sup> Required for UI benefits cases only; leave blank for denials cases.

<sup>3</sup> Required for UI benefits cases and any denial decision when a week was claimed; leave blank for denial decisions if no week was claimed.

<u>Item #</u>	<u>Name</u>	<u>Field</u>		
		<u>Size</u>	<u>Positions</u>	<u>Formats/Codes</u> <sup>1</sup>
39 <sup>4</sup>	Amount Paid and/or Offset for KW	3	136-138	3 digits (whole dollars) or Blank
40	Total Earnings for KW (Before Investigation)	3	139-141	3 digits (whole dollars), 000, or Blank
41	Earnings Deduct. for KW (Before Investigation)	3	142-144	3 digits (whole dollars), 000, or Blank
42	Other Deduct. Income for KW (Before Investigation)	3	145-147	3 digits (whole dollars), 000, or Blank
43	Other Deduction for KW (Before Investigation)	3	148-150	3 digits (whole dollars), 000, or Blank
44	Required to Seek Work	1	151	1 to 5 or Blank
45	JS Registration Req.	1	152	1, 2 or Blank
46	Actively/Currently Registered w/ JS	1	153	1, 2 or Blank
47	Reason JS Reg. Deferred	1	154	1 to 6 or Blank

<u>Item #</u>	<u>Name</u>	<u>Field</u>		
		<u>Size</u>	<u>Positions</u>	<u>Formats/Codes</u> <sup>1</sup>

<sup>1</sup> Unless otherwise noted, refer to ET Handbook No. 400, Appendix D, (Data Elements and Definitions) for data element codes.

<sup>4</sup> Required for UI benefits cases. For denials cases, leave blank if there is no payment associated with the denial determination week of issue. Otherwise, enter the amount paid, offset, intercepted, withheld or deducted for the denial determination week of issue.

<sup>1</sup> Unless otherwise noted, refer to ET Handbook No. 400, Appendix D, (Data Elements and Definitions) for data element codes.

48	# of JS Referrals	2	155-156	2 digits or Blank
49	Union Referral Status	1	157	0 to 3 or Blank
50 <sup>5</sup>	Union Service	1	158	0 to 3 or Blank
	0 - Not a union member			
	1 - Union routinely assists claimant in UI process			
	2 - Union assists claimant in UI process if requested			
	3 - Union does not become involved in UI process			
51 <sup>5</sup>	Union Assistance Requested	1	159	1 - Yes, 2 - No or Blank
52 <sup>5</sup>	Claimant Union Assisted	1	160	1 - Yes, 2 - No or Blank
53 <sup>5</sup>	Monetary Denial Reason	2	161-162	00 thru 59 or blank
	00 - Sufficient wages/hrs/wks/days			
	10 - Insufficient wages			
	20 - Insufficient hrs/wks/days			
	30 - Failure of high qtr. wage test			
	40 - Transitional wage requirement			
	50 - Other monetary issue			

Note: Second digit reserved for State use.

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<sup>5</sup> New data element added for denials; codes are not available in ET Handbook No. 400; use indicated codes.

Item #	Name	Field		
		Size	Positions	Formats/Codes <sup>1</sup>
54 <sup>5,6</sup>	Nonmonetary- Nonseparation Denial Reason	2	163-164	00 thru 79 or blank
	00 - No issue			
	10 - Able issue			
	20 - Available issue			
	30 - Work search issue			
	40 - Disqualifying/unreported income			
	50 - Refusal of work			
	60 - Reporting, registration or referral issue			
	70 - Other (alien, athlete, school, seasonality)			

Note: Second digit reserved for State use.

55 <sup>5</sup>	Claim Type	1	165	0 to 5
	0 - No week claimed			
	1 = New initial claim			
	2 = Additional claim			
	3 = Transitional claim			
	4 = Reopened claim			
	5 - Continued week claimed*			

(\* Includes weeks claimed whether compensated in full, partially compensated, or denied; includes first and final payments.)

Field

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<sup>1</sup> Unless otherwise noted, refer to ET Handbook No. 400, Appendix D, (Data Elements and Definitions) for data element codes.

<sup>5</sup> New data element added for denials; codes are not available in ET Handbook No. 400; valid codes are provided.

<sup>6</sup> The codes in item 20, Reason for Separation (before investigation), are used for separation denial reason. There is no separate data element for separation denial reason.

<u>Item #</u>	<u>Name</u>	<u>Size</u>	<u>Positions</u>	<u>Formats/Codes</u> <sup>1</sup>
56 <sup>5</sup>	Initial Determination Appealed <sup>7</sup>	1	166	0 to 3 or Blank
	0 - Not appealed			
	1 - Claimant appealed			
	2 - Employer appealed			
	3 - Other interested party appealed			
57 <sup>5</sup>	Result of Initial Determination Appeal <sup>7</sup>	1	167	0 to 6 or Blank
	0 - No appeal filed			
	1 - Affirmed, eligible			
	2 - Affirmed, ineligible			
	3 - Reversed, eligible			
	4 - Reversed, ineligible			
	5 - Appeal decision pending			
	6 - SESA redetermined original determination			
58 <sup>5</sup>	Sample Indicator	1	168	1 to 4
	1 - UI benefits payment			
	2 - Monetary denial			
	3 - Separation denial			
	4 - Nonmonetary-nonseparation denial			

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<sup>1</sup> Unless otherwise noted, refer to ET Handbook No. 400, Appendix D, (Data Elements and Definitions) for data element codes.

<sup>5</sup> New data element added for denials; codes are not available in ET Handbook No. 400; valid codes are provided.

<sup>7</sup> Appeal status at time case was selected for sample; data element can be updated if status changes before case is closed.



## Attachment C

**Record Format for sfsun.dat File**  
(All Fields are Numeric)

<u>Item #</u>	<u>Name</u>	<u>Field Size</u>	<u>Positions</u>
1	Batch	6	1-6
2 <sup>1</sup>	Sample Type	1	7
3	Sample Size	2	8-9
4	Population Size	6	10-15
5 <sup>2</sup>	Random Start #	6	16-21
6 <sup>3</sup>	Skip Interval	6	22-27
7	Initial Case Selected	6	28-33
8	Sample - Male	2	34-35
9	Population - Male	6	36-41
10	Sample - Female	2	42-43
11	Population - Female	6	44-49
12	Sample - Gender Missing	2	50-51
<u>Item #</u>	<u>Name</u>	<u>Field Size</u>	<u>Positions</u>
13	Population - Gender Missing	6	52-57

<sup>1</sup> The first record will be for UI benefits (sample type = 1), followed by monetary denials (sample type = 2), separation denials (sample type = 3), and nonmonetary-nonseparation denials (sample type = 4).

<sup>2</sup> Reported with six digits, implied decimal (.xxxxxx).

<sup>3</sup> Reported with one implied decimal (xxxxx.x).

14	Sample - White	2	58-59
15	Population - White	6	60-65
16	Sample - Non-white	2	66-67
17	Population - Non-white	6	68-73
18	Sample - Ethnic Missing	2	74-75
19	Population - Ethnic Missing	6	76-81
20	Sample - Age < 25	2	82-83
21	Population - Age < 25	6	84-89
22	Sample - Age 25-34	2	90-91
23	Population - Age 25-34	6	92-97
24	Sample - Age 35-44	2	98-99
25	Population - Age 35-44	6	100-105
26	Sample - Age 45-64	2	106-107
27	Population - Age 45-64	6	108-113
28	Sample - Age 65+	2	114-115
29	Population - Age 65+	6	116-121
30	Sample - Age Missing	2	122-123
31	Population - Age Missing	6	124-129

<u>Item #</u>	<u>Name</u>	<u>Field Size</u>	<u>Positions</u>
32 <sup>4</sup>	Sample - UI Program	2	130-131

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<sup>4</sup> UI program codes include regular UI or UI and UCFE or UCX (program type codes 1, 2, 3, and 4 on the UI transactions file).

33 <sup>4</sup>	Population - UI Program	6	132-137
34 <sup>5</sup>	Sample - UCFE/UCX	2	138-139
35 <sup>5</sup>	Population - UCFE/UCX	6	140-145
36	Sample - Program Missing	2	146-147
37	Population - Program Missing	6	148-153
38 <sup>6</sup>	Sample - <= \$50 Paid	2	154-155
39 <sup>6</sup>	Population - <= \$50 Paid	6	156-161
40 <sup>6</sup>	Sample - \$51-100 Paid	2	162-163
41 <sup>6</sup>	Population - \$51-100 Paid	6	164-169
42 <sup>6</sup>	Sample - \$101-150 Paid	2	170-171
43 <sup>6</sup>	Population - \$101-150 Paid	6	172-177
44 <sup>6</sup>	Sample - \$151-200 Paid	2	178-179
45 <sup>6</sup>	Population - \$151-200 Paid	6	180-185

<u>Item #</u>	<u>Name</u>	<u>Field Size</u>	<u>Positions</u>
46 <sup>6</sup>	Sample - > \$200 Paid	2	186-187
47 <sup>6</sup>	Population - > \$200 Paid	6	188-193
48 <sup>6</sup>	Sample - Amt. Paid Missing	2	194-195
49 <sup>6</sup>	Population - Amt. Paid Missing	6	196-201
50 <sup>6</sup>	Sample - Amount Paid	5	202-206

<sup>5</sup> Program codes include UCFE and/or UCX only (program type codes 5, 6, and 7 on the UI transactions file).

<sup>6</sup> For the monetary, separation, and nonmonetary-nonseparation denials, this item will equal zero.

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51 <sup>6</sup>	Population - Amount Paid	9	207-215
52 <sup>6,7</sup>	Sample - Amt. Paid Variance	8	216-223
53 <sup>6,7</sup>	Population - Amt. Paid Variance	8	224-231

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<sup>6</sup> For the monetary, separation, and nonmonetary-nonseparation denials, this item will equal zero.

<sup>7</sup> Reported with three implied decimal places (xxxxx.xxx).