

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-369-86-001

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Description:

Items 1-3 are superseded by N1-369-94-3, item a.

Item 4 is superseded by NARA GRS 3.1, item 050 (DAA-GRS-2013-0005-0002).

Date Reported: 9/22/2021

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

## REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

LEAVE BLANK

JOB NO.

N1-369-86-1

TO GENERAL SERVICES ADMINISTRATION  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408DATE RECEIVED  
11-27-85

1 FROM (Agency or establishment)

Department of Labor

NOTIFICATION TO AGENCY

2 MAJOR SUBDIVISION

Employment and Training/Unemployment Insurance

In accordance with the provisions of 44 USC 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

3 MINOR SUBDIVISION

Office of Quality Control

4 NAME OF PERSON WITH WHOM TO CONFER

Charles H. Atkinson

5 TELEPHONE EXT

376-6704

DATE

4-23-86

REMARKS OF THE ARCHIVIST:  
NOT REQUIRED FOR APPROVAL OF  
DISPOSITION OF RECORDS

6 CERTIFICATE OF AGENCY REPRESENTATIVE

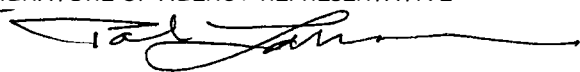
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of 3 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence ☐ is attached, or ☒ is unnecessary

B DATE

13 NOV 85

C SIGNATURE OF AGENCY REPRESENTATIVE



D TITLE

DEPARTMENTAL  
RECORDS OFFICER7  
ITEM  
NO8 DESCRIPTION OF ITEM  
(With Inclusive Dates or Retention Periods)9 GRS OR  
SUPERSEDED  
JOB  
CITATION10 ACTION  
TAKEN  
(NARS USE  
ONLY)UNEMPLOYMENT COMPENSATIONA FEDERAL-STATE COOPERATIVE SYSTEMINTRODUCTION

The Federal-State Unemployment insurance system, initiated in the Social Security Act in 1936, offers the first economic line of defense against the ripple effects of unemployment. By cash payments made directly to laid off workers it ensures that at least shelter and clothing can be met on a week-to-week basis while an active search for new work takes place. The mechanism, grounded upon Federal law but executed in its relationship to the employer and the unemployed worker through State law and by State employees.

Conceptually, unemployment compensation is designed to provide benefits to most workers out of work due to no fault of their own for periods between jobs. Except in a few States where there are small employee payments, the system is financed by a payroll tax on employers. About 97 percent of wage and salary workers are now covered by the Federal-State system. The Federal taxing provisions are in the Federal Unemployment Tax Act, chapter 23 of the Internal Revenue Code (FUTA). Railroad workers are covered by a separate Federal program. Veterans with recent service in the Armed Forces and civilian Federal employees are covered by a Federal program, chapter 85, title 5, United States Code, with the States paying benefits as agents of the Federal Government.

4 items

## REQUEST FOR RECORDS DISPOSITION AUTHORITY - CONTINUATION

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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 GRSOR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARS USE ONLY)
	<p>Under all State unemployment insurance laws, a worker's benefit rights depend on his experience in covered employment in a past period of time, called the base period. The period during which the weekly rate and the duration of benefits determined for a given worker apply to him is called his benefit year.</p> <p>The qualifying wage or employment provisions attempt to measure the worker's attachment to the labor force. To qualify for benefits as an insured worker, a claimant must have earned a specified amount of wages or must have worked a certain number of weeks or calendar quarters in covered employment within the base period, or must have met some combination of wage and employment requirements. He must also be free from disqualification for causes which vary among the States. All but a few States require a claimant to serve a waiting period before his unemployment may be compensable.</p> <p>All States determine an amount payable for a week for total unemployment as defined in the State law. Usually a week of total unemployment is a week in which the claimant performs no work and receives no pay. In most States a worker is partially unemployed in a week of less than full-time work when he earns less than his weekly benefit amount. The benefit amount such a week is the difference between the weekly benefit amount and the part-time earnings, usually with a small allowance as a financial inducement to take part-time work.</p> <p><u>QUALIFYING WAGES AND EMPLOYMENT</u></p> <p>All States require that an individual must have earned a specified amount of wages or must have worked for a certain period of time within his base period, or both, to qualify for benefits. The purpose of such qualifying requirements is to restrict benefits to covered workers who are genuinely attached to the labor force.</p> <p><u>BENEFIT ELIGIBILITY AND DISQUALIFICATION</u></p> <p>All State laws provide that, to receive benefits, a claimant must be able to work, must be seeking work and must be available for work. Also he must be free from disqualification for such acts as voluntary leaving without good cause, discharge for misconduct connected with the work, and refusal of suitable work. The purpose of these provisions is to limit payments to workers unemployed primarily as a result of economic causes.</p> <p>The Office of Quality Control has the mission to establish and maintain a quality control (QC) system and related initiatives which focus on the quality of administration by State Employment Security Agencies; to review and analyze the economy and effectiveness of the administration and operation of these activities including oversight of corrective actions:</p>		

# REQUEST FOR RECORDS DISPOSITION AUTHORITY – CONTINUATION

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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
	<p>to develop new or model procedures for SESA use based on analyses of QC results, and to develop and validate quality control sampling methodologies and data gathering techniques used for QC data analysis and sampling vadldation purposes.</p> <p><u>RECORDS MAINTAINED</u> -</p> <p><u>PROGRAM OVERVIEW</u> - Attachment # 1</p> <p>1. <u>Record Type One</u> - Attachment # <del>2</del></p> <p>2. <u>Record Type Two</u> - Attachment # 3</p> <p>3. <u>Record Type Three</u> - Attachment # <del>4</del></p> <p>The information in the Quality Control System described <u>does not</u> duplicate the information in DOL's Unemployment Insurance Information System (1984) and is unique to the Office of Quality Control. The potential exception would be the MA 5-159 addressed in Record Type Three narrative.</p>		

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

SESAs create Record "Type 1" on a weekly basis. A separate Record One is created each week as soon as possible after each case has been selected by the sampling process. These Record Ones are passed to the QC micro computer for completion through field investigators by the SESA QC staff. The Record One is created only once for each compensable week ending date for each case selected. Should the same person be selected in a subsequent sampling cycle, a new Record One is created since a new week is involved.

Disposition: Archival Retention, Transfer five year old data annually to the National Archives beginning in year six. (Example, in 1992 run a program abstracting 1986 activities and transfer to Archives. In 1993 run a program abstracting 1987 activities . . . .)

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Record Type Two. These are longitudinal data on wages paid to claimants whose cases, recorded by case identifier, were chosen for QC investigation. Once the sampled case enters the system, action is taken to acquire and cumulatively maintain all wage data as it becomes available quarterly or through exception for the entire retention period of 10 years. This record will be maintained by the majority of States with the exception of those not having or quarterly wage reporting system.

In the SESAs where wage data is routinely maintained, Record Two is created by downloading wage data from the mainframe computer to the UI QC microcomputer exclusive of manual gathering or coding by QC staff. While the data in Record Two is not an extraction or by-product of Records One and Three, the prior existence of the case identifier in the two ( 1 and 3) dictates the creation of Record Two for the sampled case. The data in Record Two is gathered and maintained for the purposes of analysis, research, UI legislative initiatives, and report preparation.

Disposition: Archival Retention, Transfer five year old data annually to the National Archives beginning in year six. (Example, in 1992 run a program abstracting 1986 activities and transfer to Archives. In 1993 run a program abstracting 1987 activities . . . .)

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Record Type Three: Although listed third, the data on this record must be extracted first. These data elements are first obtained from the State files for the entire universe of weekly UI transactions--the universe from which the QC samples will be selected. Record 3 contains more data elements than the initial QC "sampling frame" requires, for two reasons: (1) to permit expanding the QC universe beyond its initial configuration of paid claims and into the areas of determinations on denied initial and continued claims if later desired; and; 2 to provide the unemployment insurance with data to conduct a series of tests (approximately 6 months) to determine if the data elements in Record 3 are comprehensive enough for the by-product automation preparation of various ETA reports. Specifically the tests would determine the feasibility of permitting States to use the QC automated system as the vehicle for reporting the data now reported manually on ETA reports 5-39, 5-210, 5-159 and 203.

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

Historical Record 3 data (like Record 2 data) are: 1. also

compiled for each person who had a weekly claim chosen for QC investigation; and 2. the data in Record 3 is not an extraction or by-product of Records One and Two. This longitudinal payments history file will be used in tandem with the Record 2 earnings history. The data on both records will be available for State and Federal research and policy analysis.

Disposition: Archival Retention, Transfer five year old data annually to the National Archives beginning in year six. (Example, in 1992 run a program abstracting 1986 activities and transfer to Archives. In 1993 run a program abstracting 1987 activities . . . .)

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Documentation for Record Types. Selected handbooks, submission, and internal documents describing the system such as statistical operations handbooks distributed to states, regional office monitoring handbook, and OMB submission for permission to undertake data collection.

Disposition: Archival retention, transfer to National Archives with initial data tape.

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## UI QC: A BRIEF SKETCH

Introduction

All Quality Control (QC) systems involve repeating cycles of sampling, investigation, and correction. They are based on the notion that small but representative samples of a product, investigated thoroughly, will reveal whether or not "machinery" is working up to specifications and, if not, what is causing the problem. Continuing samples and investigations will indicate whether adjustments to the process have corrected problems found in previous investigative cycles. Used extensively in the private sector, especially manufacturing, since the end of WW II, the QC concept has been employed in Federal social programs for about 20 years.

QC in the Unemployment Insurance System

The Department of Labor Benefit Payment Control Oversight Committee recommended establishment of a QC program to enhance UI integrity. QC's purpose would be to allow States to identify and correct errors in benefit payments and tax collections; to provide the Secretary with objective measures of State UI administration; and to generate information to guide State and Federal policymaking.

Briefly, the Core program can be described as follows:

- o Scope. State QC staff will investigate a sample of compensated weeks (paid claims) drawn from regular State intrastate, intrastate payments involving wages paid in more than one State ("combined wage claims"), and Unemployment Compensation for former Federal employees and ex-military personnel (UCFE/UCX) programs. Together, these accounted for about 78% of all benefit payments in 1984.

- o Samples and Sampling. Samples will be drawn weekly. Selection will be by a systematic random method closely approximating simple random sampling. Depending on State size, annual samples would range from 500 to 800 and average 600 paid claims per State. Sample sizes would grow by at least 50% within two years.

- o Investigative Method. Data pertaining to the accuracy of the payment for the week (this includes the claimant's base period wages, circumstances of separation from the job, as well as activities and status establishing eligibility during the week claimed) will be investigated thoroughly, mostly through in-person contact.

o Data. For each selected case, QC investigators will compile a record which includes demographic information (much of it downloaded from the State's central computer files), field-verified data, and their own conclusions about the nature, amount, causes, and agents responsible for any errors. This record will be entered into a QC micro computer and transmitted to Washington.

o Corrective Actions. States will be responsible for deciding on, and carrying out, any corrective actions. DOL would annually release summary QC data on State error rates and their causes to induce States to take such actions. DOL will assist them in analyzing data and formulating corrective action plans.

Data Processing Record Format for Record 1

Item #    Name

PART A

- A    1. Case Identifier
- A    2. State ID
- A    3. Batch Number
- A    4. Compensable Week  
Ending - Key Week
- A    5. Local Office #
- A    6a. Investigator ID
- A    6b. Assignment Date

PART B

- B    1. Method Information  
Obtained
- B    2. U.S. Citizen
- B    3. Education
- B    4. Vo/Tech Training
- B    5. In Training
- B    6. Occup. Code (Last)
- B    7. Occup. Code (Usual)
- B    8. Hourly Wage (Usual)
- B    9. Occup. Code (Seeking)
- B    10. Hourly Wage (Lowest)
- B    11. Date of Birth
- B    12. Sex

Item # Name

B 13. Ethnic Classification

—B— 14. # of Dependents . *dropped*

—B— 15. Public Assistance *dropped*

PART C

C 1. Program Code

C 2. Combined Wage

C 3. Benefit Yr. Beginning

C 4. I.C. Filing Method

C 5. Benefits Rights Given

C 6. # of ERP's Held

C 7. Last ERP Date

C 8. # prior Nonsep. Issues

C 9. # prior Nonsep. Issues  
(Disqualifying)

PART D

D 1. Reason for Separation  
"Before"

D 2. Date of Sep. "Before"

D 3. Recall Status "Before"

D 4. Tax Rate Last Employer

D 5. SIC Last Employer

D 6. Reason for Separation  
"After"

D 7. Recall Status "After"

PART E

E 1. # Base Period  
Employers "Before"

- E 2. Base Period Wages  
"Before"
- E 3. SIC Primary Base  
Period Employer
- E 4. High Quarter Wages  
"Before"
- E 5. # Weeks Worked in BP  
"Before"
- E 6. WBA "Before"
- E 7. MBA "Before"
- E 8. Monetary Redeterm.  
"Before"
- E 9. Remaining Balance  
as of Key Week
- E 10. # Base Period  
Employers "After"
- E 11. Base Period Wages  
"After"
- E 12. High Quarter Wages  
"After"
- E 13. # Weeks Worked in BP  
"After"
- E 14. WBA "After"
- E 15. MBA "After"
- E. 16. # Dependents Claimed  
"Before"
- E. 17. # Dependents Allowance  
"Before"
- E. 18. # Dependents Claimed  
"After"
- E. 19. # Dependents Allowance  
"After"

PART F

- F 1. First CWE Date
- F 2. Date of First Pay't
- F 3. KW Filing Method
- F 4. KW Cert. Method
- F 5. Amount Paid and/or  
Offset for KW
- F 6. Totals Earnings for  
KW "Before"
- F 7. Earnings Deduction  
for KW "Before"
- F 8. Other Deduct. Income  
for KW "Before"
- F 9. Other Deductions for  
KW "Before"
- F 10. Total Earnings for  
KW "After"
- F 11. Earnings Deduction  
for KW "After"
- F 12. Other Deduct. Income  
for KW "After"
- F 13. Other Deductions for  
KW "After"

PART G

- G 1. Required to Seek Work
- G 2. JS Registration  
Required
- G 3. Actively/Currently  
Registered as of KW
- G 4. Reason JS Regist.  
Deferred
- G 5. # JS Referrals
- G 6. With Private Agency

- G 7. # Private Referrals
- G 8. Union Status
- G 9. # Union Referrals
- G 10. # Job Contacts KW
- G 11. # Job Contacts  
Prior Weeks
- G 12. # Job Contacts  
Investigated
- G 13. # Job Contacts  
Acceptable
- G 14. # Job Contacts  
Unacceptable
- G 15. # Job Contacts  
Not Verifiable

PART H

- H. 1. \$ Amount of Key Week Error
- H. 2. Key Week Action Code
- H. 3. Error Responsibility Code
- H. 4. Error Cause Code
- H. 5. QC Detection Point
- H. 6. Prior Agency Action
- H. 7. Employer Action Effecting  
Key Week Issue
- H. 8. QC Action Regarding  
Key Week Appealed
- H. 9. Whole \$ Am't of Overpayments (include KW)
- H. 10. Whole \$ Am't of Underpayments (include KW)
- H. 11. Investigation Completion Code
- H. 12. Supervisory Approval Completed
- H. 13. Federal Monitor Case Review Completed



Data Processing Record Format for Record 2

ITEM #   NAME

1) Case Identifier #

2) Year/Quarter  
of wages

3) Amount of Wages

4) # of Weeks Worked

5) Industry Code

6) Employer Federal ID

7) Tax Rate

8) Adjustment Indicator

Data Processing Record Format for Record Three

<u>Item #</u>	<u>Name</u>	<u>Item #</u>	<u>Name</u>
1)	STATE I.D.	17)	EARNINGS DEDUCTION
2)	BATCH #	18)	OTHER DEDUCTIONS
3)	CASE IDENTIFIER #	19)	INITIAL CLAIM TYPE
4)	CLAIM DATE	20)	WEEK CLAIMED TYPE
5)	TRANSACTION DATE	21)	FILING STATUS
6)	RUN DATE	22)	COMBINED WAGE
7)	SAMPLE CODE	23)	TOTAL UNEMPLOYMENT
8)	SEX	24)	OCCUPATION
9)	DATE OF BIRTH	25)	INDUSTRY CODE
10)	ETHNIC	26)	ADJUSTMENT INDICATOR
11)	LOCAL OFFICE #	27)	WORK SHARE PERCENT
12)	PROGRAM CODE	--	FILLER
13.	DURATION		
14)	AMOUNT PAID		
15)	AMOUNT OFFSET		
16)	AMOUNT INTERCEPTED		