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# **UNEMPLOYMENT INSURANCE DATA VALIDATION HANDBOOK**

*Benefits*

OFFICE OF UNEMPLOYMENT INSURANCE  
DEPARTMENT OF LABOR

OCTOBER 2022

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## A. Purpose

States report Unemployment Insurance (UI) data to the U.S. Department of Labor (DOL) on a monthly and quarterly basis under the Unemployment Insurance Required Reports (UIRR) system. The UIRR data are used for gathering economic statistics, allocating UI administrative funding, measuring state performance, and accounting for fund utilization. Therefore, it is important that states report UIRR data accurately and uniformly. The purpose of the Data Validation (DV) program is to verify the accuracy of the UIRR data. This handbook covers the part of the program that validates benefits data.

In the DV program, the states validate their data and report the results of the validation to the Employment Training Administration (ETA). This handbook provides general instructions on how to validate the data as well as individual instructions for each state (referred to as Module 3). States use the DV software provided by DOL to conduct the validation and submit results.

Table A shows the general types of UIRR data to be validated, the Federal ETA reports on which the data appear, and the areas where the data are used.

States are required to validate reported data every third year, except for data elements used to calculate Government Performance and Results Act (GPRA) measures, which must be validated annually. Items that do not pass validation must be revalidated the following year. The “validation year” coincides with the State Quality Service Plan (SQSP) performance year. It covers data of any reporting period during the twelve months beginning April 1 and ending March 31. Results must be submitted to the National Office by June 10, which allows sufficient time for data validation results to be included in the SQSP process. States that fail DV or do not submit their DV results by the established deadline must address these deficiencies through the SQSP. If states modernize their UI benefits data management system, partially, completely, or in any way that impacts reporting and therefore data validation, states must validate *every* benefits population the following year once the new system is deployed or goes live. This requirement includes populations with passing scores that were previously valid for three years and not yet due for validation. Similarly, if a state does not submit the underlying benchmark populations (Benefits Populations 5 and 8; Tax Populations 3 and 5) to complete Module 4 within the three year validation cycle, the scores will also not be considered valid until these are transmitted. If a state revises an ETA UI Required Report for the same time period it used for data validation, the data validation score will not be considered valid until the state resubmits the results using the revised report counts.

**Table A**  
General Types of Data to be Validated

Data Type	ETA Report(s)	Economic Statistics	Funding Allocation/ Workload	Performance	Claimant Eligibility	Monitor Trust Fund Activity
Weeks Claimed	5159	X	X			
Final Payments	5159 218	X				
Claims and Claims Status <sup>a</sup>	5159 218 586	X	X		X	X
Payments	5159 586 9050 9051			X		X
Nonmonetary Determinations/ Redeterminations	207 9052		X	X	X	
Appeals	5130 9054 9055		X	X	X	
Overpayments	227			X		X

<sup>a</sup>The ETA 539, Weekly Claims Activity Report, is not validated. However, states are strongly encouraged to compare the total claims reported on the 539 to the 5159 report for the same period to determine whether the counts reported are the same or within +2%. If the counts differ by more than +2%, then the state should investigate and advise its Federal regional office of its findings and what it is doing to reconcile the differences.

## **B. Data Errors Identified Through Validation**

Systematic and random errors are the two major types of data errors that can occur in Federal UIRR reports. Systematic errors involve faulty design or execution of reporting programs. Random errors involve judgment and input errors. Reporting system errors are always systematic, while errors stemming from human judgment can be either systematic or random. The DV program attempts to identify both types of errors.

Systematic errors are addressed through validation of the reporting programs that states use to create Federal reports. These errors tend to be constant and fall into one of three categories: *1) too many transactions (overcounts), 2) too few transactions (undercounts), or 3) transactions which are misclassified.* Systematic human errors occur when staff is using incorrect definitions or procedures. For example, a reporting unit may establish its own definition for a data element that deliberately or inadvertently conflicts with the Federal definition. Systematic errors are the most serious because they occur repeatedly, but they are the easiest to detect and correct. In most cases systematic errors do not need to be assessed very frequently.

Random errors are addressed through validation of a random sample of transactions by evaluating the accuracy of data elements stored in the database. Random errors tend to be sporadic, and are caused by human judgment. They fall into one of three categories: *1) input errors, 2) judgment errors (as in nonmonetary determinations, status determinations, and appeals), or 3) inconsistent application of state definitions or procedures.*

Consistent and accurate reporting requires both good systems and good data, hence the validation objective has not been achieved unless systems and data have both been validated.

## **C. Data Sources for Federal Reporting and Validation**

Some states produce the Federal reports directly from the state database. Computer programs scan the entire database to select, classify, and count transactions. Other states produce a database extract or flat file as transactions are processed, essentially keeping a running count of items to be tabulated for the Federal reports. Still other states use a combination of these methods. Although states use different methods to prepare Federal reports, the validation approach is the same in all cases: states support their reported figures by reconstructing the reported transactions.

The validation methodology is flexible in accommodating the different systems that states use. However, validation is most effective when validation data are extracted directly from the state benefits database. For cost reasons and to minimize changes in data over time, some states prefer to use daily, weekly, or monthly flat files instead. When flat files are used, system errors may occur: reportable transactions may be improperly excluded from the master file, or the flat file may contain corrupt data. The only way to identify these problems is to independently reconstruct or query the master database. States that prepare validation files from the same files used to produce the UIRR, rather than directly from the database, must ensure that these files contain all the appropriate transactions by recreating the logic used to produce the Federal reports.

Table B outlines variations in the validation methodology, based on typical state approaches to reporting and data validation. To determine the specific validation methodology to be implemented, the validator should identify the state's reporting and validation sources for each population.

**Table B**  
 Variations in Validation Methodologies  
 Based on State Approaches to Reporting and Reconstruction

Scenario	Transactions Overwritten on Database	Benefits UIRR Reports			Data Validation			Source Documentation Review Required	Comments
		Program Type	Source	Timing	Program Type	Source	Timing		
1	No	Count	Database	Snapshot <sup>a</sup>	Extract File <sup>b</sup>	Database	Snapshot	No	Best scenario because comparing snapshots eliminates timing discrepancies
2	No	Count	Flat file <sup>c</sup>	Daily	Extract File	Database	Snapshot	No	Database is only reconstruction source. There could be changes in transaction characteristics (but will find all transactions).
3	No	Extract File	Database	Snapshot	Extract File	Database	Snapshot	No	Reporting and validation are the same program.
4	No	Extract File	Flat file	Daily	Extract File	Flat file	Daily	Yes	Since transactions are not overwritten, states should be able to do Scenario 2 instead.
5	Yes	Extract File	Flat file	Daily	Extract File	Flat file	Daily	NA	No alternative validation source. Cannot reconstruct from the database. Not thorough validation.
6	Yes	Count	Flat file	Daily	Must create a daily extract	NA	NA	NA	Cannot reconstruct from database. Must change reporting process to Scenario 5.

<sup>a</sup> All records in the database on last day of reporting period

<sup>b</sup> File constructed directly from database

<sup>c</sup> File with accumulated records used for ETA reports



## **D. Basic Validation Approach**

The data validation methodology outlined in this handbook minimizes validation time and burden. The methodology is highly automated and complements existing quality components (such as the nonmonetary determinations quality review). The methodology involves reconstructing the count of transactions reported during a specific period for each Federal report item to be validated. The validation specifications for reconstructing reported transactions provide a blueprint of the criteria that states should use in their Federal reporting. This handbook therefore has two uses:

1. To provide technical assistance with Federal reporting requirements;
2. To guide states through the data validation process.

The reconstruction files provide an audit trail to support the counts and classifications of reported transactions. Validation of reported counts (referred to as report validation or RV) is accomplished when all the transactions reported for a Federal report item have been reconstructed. For example, if a state reports 5,000 first payments during a month, then the state must produce a file containing the 5,000 first payments, including relevant characteristics of the transaction such as the Social Security Number (SSN), the program type code, and the mail date. The DV software then sorts the payments into groups that are used to reconstruct the counts for the appropriate items of the ETA 5159 and 9050 reports. Report validation is discussed in detail in Module 1.

The DV software also draws samples of transactions from the reconstruction file and displays them on worksheets to facilitate their validation. Validators then subject the sampled transactions to a series of logic tests (state-specific “rules” described in Module 3), using the most definitive source documentation (such as database screens) to test the accuracy of the data. This validation of the characteristics of reported transactions is known as Data Element Validation (DEV) and is described in detail in Module 2.

Data that passes RV and DEV are considered accurate.

## **E. Reconstructing Federal Report Items**

Given that there are 11 UIRR benefits reports to validate, with over 1,000 report items, validation could be a laborious process to both design and implement. A single UI benefits transaction--for example, a payment, a nonmonetary determination, or an appeal--can be reported in numerous Federal report items. As an example, a first payment for a week of total unemployment, for an interstate claim with both UI and Unemployment Compensation for Federal Employees (UCFE) wages, is reported in eight items of the ETA 5159 report as well as in one item of the ETA 9050 report.

A general principle of the validation design is to streamline the validation process as much as possible. Transactions are analyzed only once, even if they appear in multiple items. The streamlining is accomplished by classifying the transactions into mutually exclusive groups

(referred to as populations), which match to one or more items on the Federal reports. Specifically, there are 16 benefits populations, which are composed of 410 mutually exclusive groups (referred to as subpopulations). Each subpopulation represents a unique set of data elements or characteristics.

The first column of Table C lists each population. The second column identifies the ETA reports on which the transactions in each population are reported.

The Reconstruction Period (third column) describes the time parameter that the programmer uses to select the transactions to be extracted. When the reports are monthly, the reconstruction can be for a single month, to match the reported counts. When the reports are quarterly, or both monthly and quarterly reports are produced for the same type of transaction (for example, claims are reported on both the ETA 5159, a monthly report, and the ETA 218, a quarterly report), *the reconstruction is for a quarter*.

The Number of Report Items (fourth column) indicates the total number of items on each ETA report that is validated by each transaction population. The Number of Subpopulations (fifth column) refers to the number of subpopulations into which the population is divided for validation purposes.

**Table C**  
Population Coverage

Population		ETA Report	Reconstruction Period	Number of Report Items	Number of Subpopulations
<b>1</b>	Weeks Claimed	5159	Month	9	9
<b>2</b>	Final Payments	5159 218	Quarter	3 12	4
<b>3/3a</b>	Claims and Claims Status, and Monetary Determinations	5159 218 586	Quarter	19 16 4	52
<b>4</b>	Payments	5159 9050 9051	Month	14 12 12	51
		586	Quarter	10	
<b>5</b>	Nonmonetary Determinations and Redeterminations	207 9052	Quarter	36 14	70
<b>6</b>	Appeals Filed, Lower Authority	5130	Month	2	2
<b>7</b>	Appeals Filed, Higher Authority	5130	Month	2	2
<b>8</b>	Appeals Decisions, Lower Authority	5130	Month	18	55
		9054		2	
<b>9</b>	Appeals Decisions, Higher Authority	5130	Month	10	23
		9054		2	
<b>10</b>	Appeals Case Aging, Lower Authority	9055	Month	3	7
<b>11</b>	Appeals Case Aging, Higher Authority	9055	Month	3	6
<b>12</b>	Overpayments Established by Cause	227	Quarter	63	27
<b>13</b>	Overpayment Reconciliation Activities	227	Quarter	57	57
<b>14</b>	Age of Overpayments	227	Quarter	24	24
<b>15</b>	Overpayments Established by Method	227	Quarter	36	21
<b>TOTAL</b>				<b>383</b>	<b>410</b>

Notes: When populations relate to both monthly and quarterly reports (populations 2, 3, 4), it is preferable to reconstruct all the counts for a quarter. It is easier and more accurate to add three monthly counts to create a quarterly total for monthly reports, than to rerun the quarterly reports to obtain a month of data.

The software is not designed to validate nor is it a Federal requirement to validate extended benefits and disaster unemployment.

## F. Validation Techniques and Sources

Validating the counts of specific types of transactions, rather than validating report items, eliminates duplication of effort when the identical transaction is reported in more than one report item. In addition, the DV software processes validation files and generates all validation worksheets and reports.

Table D summarizes the DEV techniques used for each population of transactions. The Review History Screens column indicates when the validator will refer to computer-generated history screens to make an assessment of error. The Review Source Documentation column indicates when the validator will refer to source documentation, such as adjudication notes, adjudication notices, appeals decisions, or overpayment records. This documentation may come from paper files, microfilm, computer records, or images. Source documentation is important for identifying human errors involving interpretational and input errors.

**Table D**  
Validation Techniques by Population

Population	Review History Screens	Review Source Documentation
<b>1</b> Weeks Claimed	X	
<b>2</b> Final Payments	X	
<b>3/3a</b> Claims, Claims Status, and Monetary Determinations	X	
<b>4</b> Payments	X	
<b>5</b> Nonmonetary Determinations and Redeterminations	X	X <sup>a</sup>
<b>6</b> Appeals Filed, Lower Authority	X	
<b>7</b> Appeals Filed, Higher Authority	X	
<b>8</b> Appeals Decisions, Lower Authority	X	X
<b>9</b> Appeals Decisions, Higher Authority	X	X
<b>10</b> Appeals Case Aging, Lower Authority	X	
<b>11</b> Appeals Case Aging, Higher Authority	X	
<b>12</b> Overpayments Established by Cause	X	X
<b>13</b> Overpayment Reconciliation Transactions	X	X
<b>14</b> Age of Overpayments	X	
<b>15</b> Overpayments Established by Method	X	X

<sup>a</sup> Examination of nonmonetary determination folders is accomplished through the quality review process.

## **G. Handbook Overview**

To achieve the data validation goal of determining the extent to which reported data are accurate and meet Federal reporting definitions, four separate validation processes or modules have been developed. These modules include various tools to validate the quantity and quality of Federally reported data. The modules and accompanying appendices are outlined below.

- **Module 1—Report Validation (RV)**

Module 1 describes the procedures for validating that the state reporting programs that create the Federal reports are functioning correctly, i.e., that transactions are being counted accurately. The DV software processes the validation files and generates the reconstructed counts for Federal report items from the subpopulations. It then compares the reconstructed counts with the corresponding counts reported by the state. If transactions in the validation file were rejected by the software as invalid, the validator needs to determine whether it is necessary to regenerate or reload the validation files. If the reconstructed and reported counts don't differ by more than the tolerance rates established, then it is assumed that the state's reporting system is accurate.

- **Module 2—Data Element Validation (DEV)**

Module 2 validates that the data elements (transactions) used in report validation, were classified correctly according the Federal definitions. While RV verifies that all transactions were counted, DEV verifies that the right transactions were counted. The validator examines samples of transactions to determine their accuracy. The software produces an automated worksheet containing the relevant data elements for each selected transaction. The validator reviews the sampled transactions using the state-specific data values and instructions in Module 3, which point the validator to the appropriate supporting documentation (benefits history screens and/or paper files). The validator uses this documentation to validate that the data elements are accurate and that the transactions are assigned to the appropriate subpopulations.

- **Module 3—State-Specific Data Element Validation Instructions**

Only an introduction of Module 3 is included in this handbook. Each state maintains its module and is responsible for updating and revising it. Module 3 provides the actual state-specific set of instructions that the validator uses in data element validation. It lists the state system screens or documents that contain the data to be validated as well as the rules to validate them. State definitions or procedures which impact validation are also documented to help state and Federal staffs interpret the validation results and improve procedures.

- **Module 4—Quality Sample Validation**

Module 4 has instructions for verifying that the samples selected for nonmonetary determinations and lower authority appeals quality have been randomly selected from the correctly defined universe. It is important to review and check the quality sampling

methodology used by the state. The quality reviews are a key indicator of the state's performance, and the results must be statistically valid.

- **Appendix A—RV Subpopulation Specification**

Appendix A includes specifications for each subpopulation by population. This appendix should be used when constructing the DV extract files. It indicates the data values that are valid for each type of transaction or subpopulation. It also maps each subpopulation to the corresponding Federal report line item(s) and vice versa.

- **Appendix B—DEV Sampling Specifications**

Appendix B includes the specifications used by the software to select samples of transactions for data element validation.

- **Appendix C—LADT**

Appendix C contains instructions on how to validate Interstate Filed from Agent records received through the Liable Agent Data Transfer (LADT) System for Populations 1 and 3.

- **Appendix D - CWC Technical Guidance**

Appendix D provides instructions on how to validate combined wage claims (CWC) in Populations 3 and 4.

## **H. Overview of the Data Validation Methodology**

This section gives an example, using Population 4, of the steps to follow in the data validation process. Each step references the handbook module in which that aspect of the data validation process is described. Readers should review the referenced modules for further information.

### **Step 1 Generate and submit ETA report**

The state generates and submits ETA 9050. The report item shown in the upper-left-hand corner represents the count of UI intrastate first payments that the state reported on the ETA 9050.

### **Step 2 Generate extract file**

The state extracts detailed records of transactions from their benefits database into a text formatted file, following the specifications on the record layout for Population 4 and the definitions in Module 3. (See Module 1, Module 3, and ETA Operations Guide 411)

### **Step 3 Load extract file into software**

The extract file generated in Step 2 is loaded into the DV software. The software rejects invalid transactions. The validator reviews the rejected records, and if necessary, fixes the errors in extract file and reloads it into the software. This process is repeated until the extract file has no errors. (See Module 1)

**Step 4 Validate counts (Report Validation)**

The DV software compares the reconstructed counts from the validation extract file with the reported counts. (See Module 1)

**Step 5 Generate samples**

The DV software selects a sample of transactions (following the sample specifications in Appendix B) and displays them on a sample validation screen. (See Module 2)

**Step 6 Refer to Module 3**

The validator looks at the first field of the first record displayed on the first row of the sample validation screen. The column header for that field refers to the step in Module 3 that the validator needs to validate the field, in this case, Step 10A.

**Step 7 Lookup screen in state database**

The validator calls up or prints out the Claims Inquiry screen from the state's benefits database. (See Modules 2 and 3.)

**Step 8 Validate samples (Data Element Validation)**

The validator follows the instructions in the rules for Step 10A (First Payments). The rules for Step 10A require the validator to: 1) check for a payment indicator (payment code is 07 or 08); 2) check that the week reported as the first compensable week was not a waiting week (payment code is not 02, 03, or 04); and 3) check that the week was the first week in the benefit year after the waiting week without excessive earnings (earnings for the week ending 2/10 are less than or equal to 120 percent of the WBA and thus not excessive, and there are no earlier weeks other than the waiting week present on the payments history file). The validator then places a check on the worksheet to show that the transaction was a valid first payment. (See Modules 2 and 3)

Steps 6 through 8 are repeated for each field in the first record, and the rest of the sampled records are validated in the same manner. All samples for the population should be validated following the same steps.

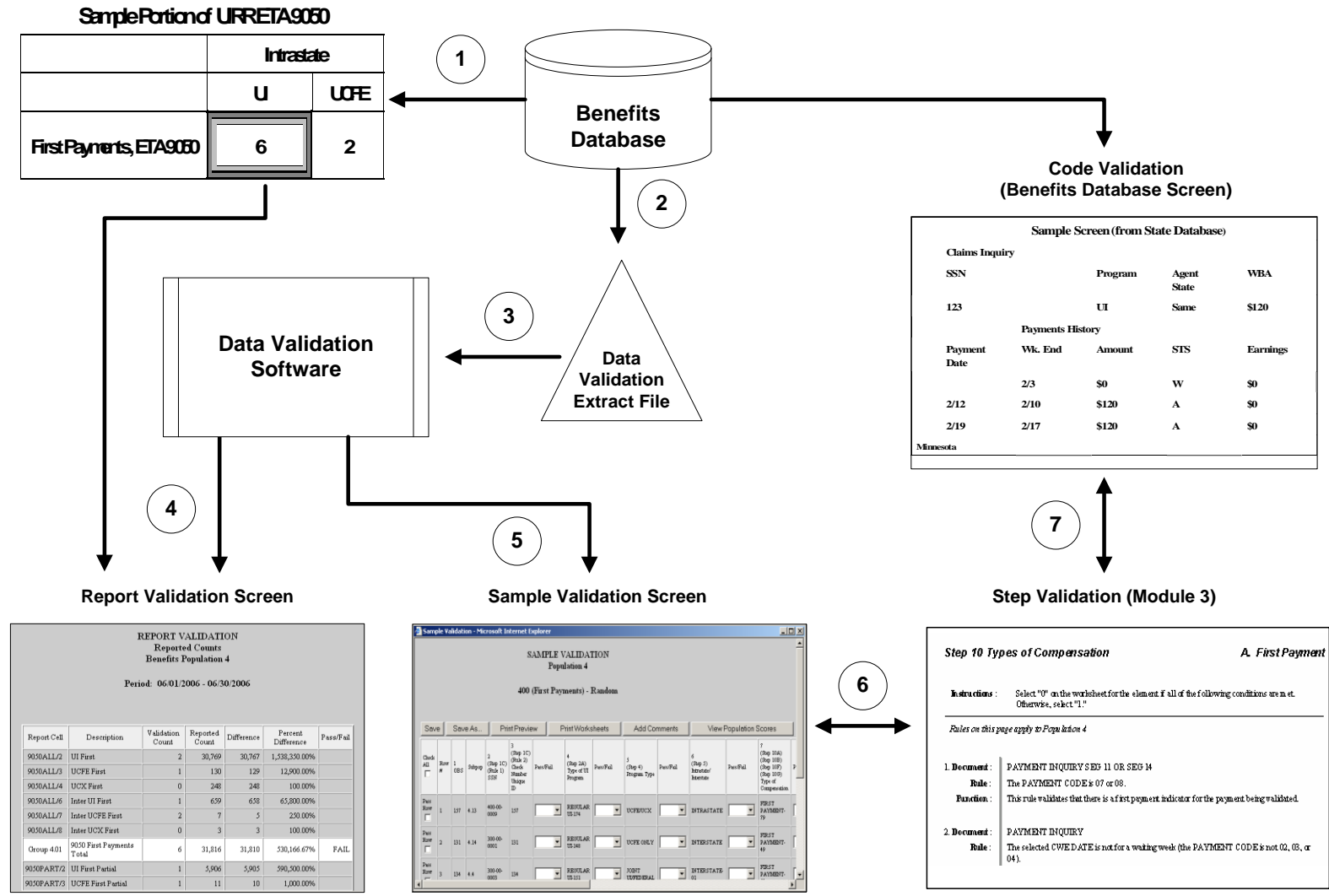
**Step 9 Submit results to the National Office**

After all samples are completed, the validator accesses the Population Scores screen and submits the validation results to the National Office.

**Step 10 Save validation documents**

After results are submitted to the National Office, states should save all documents supporting their validation results and retain them for three years. This includes all sample validation worksheets, any notes documenting errors, extract files, a reference to the version of Module 3 that was used, screen shots of the submitted RV results and any other supporting documentation (such as benefit system screen shots and/or paper files).

**Figure A**  
Overview of Data Validation Methodology







# **MODULE 1**

*Benefits*

REPORT VALIDATION



**A. Purpose**

The report validation process is used to determine the accuracy of counts reported on UIRR benefits reports. Sixteen validation extract files are constructed according to specifications in the DV ETA Operations Guide 411 and Appendix A. These files are used to reconstruct counts for 16 types of UI benefits transaction populations. The 16 report validation population files are listed in Table 1.1.

**Table 1.1**  
Populations

<b>Population</b>	<b>Population Description</b>
1	Weeks Claimed
2	Final Payments
3	Claims and Claim Status (and Original Monetary Determinations)
3a	Additional Claims
4	Payments/Weeks Compensated
5	Nonmonetary Determinations and Redeterminations
6	Appeals Filed, Lower Authority
7	Appeals Filed, Higher Authority
8	Appeals Decisions, Lower Authority
9	Appeals Decisions, Higher Authority
10	Pending Appeals, Lower Authority
11	Pending Appeals, Higher Authority
12	Overpayments Established by Cause
13	Overpayment Reconciliation Transactions
14	Aged Overpayments
15	Overpayments Established by Method

## **B. Methodology**

### **Step 1 Produce Report Validation Extract Files**

State staff produces 16 report validation extract files based on the record layout specifications in the ETA Operations Guide 411. There is one extract file for each of the 16 populations of UI benefit transactions and statuses (such as payments, claims, age of overpayments, etc.). Claims are divided into two separate populations: Populations 3 and 3a. See Figure 1.1 for an example of a record layout.

The extract file type is ASCII, comma delimited. Data must be in the order listed in the record layouts. The Data Type/Format column on the layouts indicates the generic values for text fields.

The generic values must be followed by a dash and the state-specific value. See Figure 1.2 for an example of a sample extract file.

It is best to generate the validation files at the same time as the Federal reporting programs to eliminate differences in data caused by changes in the database over time. Because the UIRR reports provide a snapshot of transactions during a specific time period, the validation is intended to verify the transaction data at the time the report was run, even if data later changed. It is less efficient to compare a set of transactions captured at one point in time with a set of transactions captured at another point in time, because many discrepancies will represent legitimate changes in a dynamic database, rather than systems errors or faulty data. For example, claims can legitimately change from interstate to intrastate, and program type can change from Federal to combined UI-Federal if UI wages are added to a claim.

### **Step 2 Import Extract Files**

The extract files are imported into the DV software following the instructions in the ETA Operations Guide 411. The software processes each extract file and builds the subpopulations as specified in Appendix A. For example, Population 4, payments and weeks compensated, includes all payments made during the month. The software assigns each transaction record to a subpopulation based on unique combinations of payments and weeks compensated, including characteristics such as first payments, continued payments, partial payments, and program type. See Figure 1.3 for a sample of a validation file imported into the software.

### **Step 3 Examine Error Reports and Reload Extracts if Necessary**

When an extract file is loaded, the DV software reads each record to ensure that values in all fields are valid. Any records with invalid data, missing mandatory data, or records which appear to be duplicates are rejected and an error report is produced. The record layouts in the ETA Operations Guide 411 specify the valid data formats for each field, and the population tables in Appendix A specify the valid values. The software uses the

duplicate detection criteria in the ETA Operations Guide 411 to reject invalid duplicate records.

After reviewing any error reports that are generated, state staff should determine if the extracts are correct or whether they need to be regenerated or reformatted and reloaded into the DV software. This process should be repeated until the extract files have no errors.

See Figure 1.4 for an example of an error report.

#### **Step 4 Report Validation**

The DV software automatically retrieves and loads the reported counts from the national UI reports database. The software then calculates the difference between the validation and reported counts and calculates an error rate. The software counts all transactions within a subpopulation and combines subpopulations into corresponding report cells. The validation counts are compared with the reported counts, and the reported counts are considered valid if they fall within the established tolerance ( $\pm 1\%$  for groups that include data used in Government Performance and Results Act (GPRA) measures and  $+2\%$  for all other groups).

Data used for the GPRA measure for timely first payments are validated in Populations 4 and data used for Detection of Overpayments are validated in Population 12. The groups including these data are held to a  $+1\%$  tolerance and the populations must be validated annually. Benefits DV validates also data used in UI Performs Core Measures for first payment timeliness, nonmonetary determinations timeliness, average age of pending appeals, and detection of overpayments, as well as measures of payment and appeals timeliness used to implement UI Secretary's Standards. These data are held to the  $+2\%$  tolerance for report validation, except for the data used for the Secretary's Standard measure for 14/21-day timeliness of intrastate payments because it is also used as the GPRA measure.

The software then produces a summary that provides error rates for groups of report cells and a pass or fail score for the population.

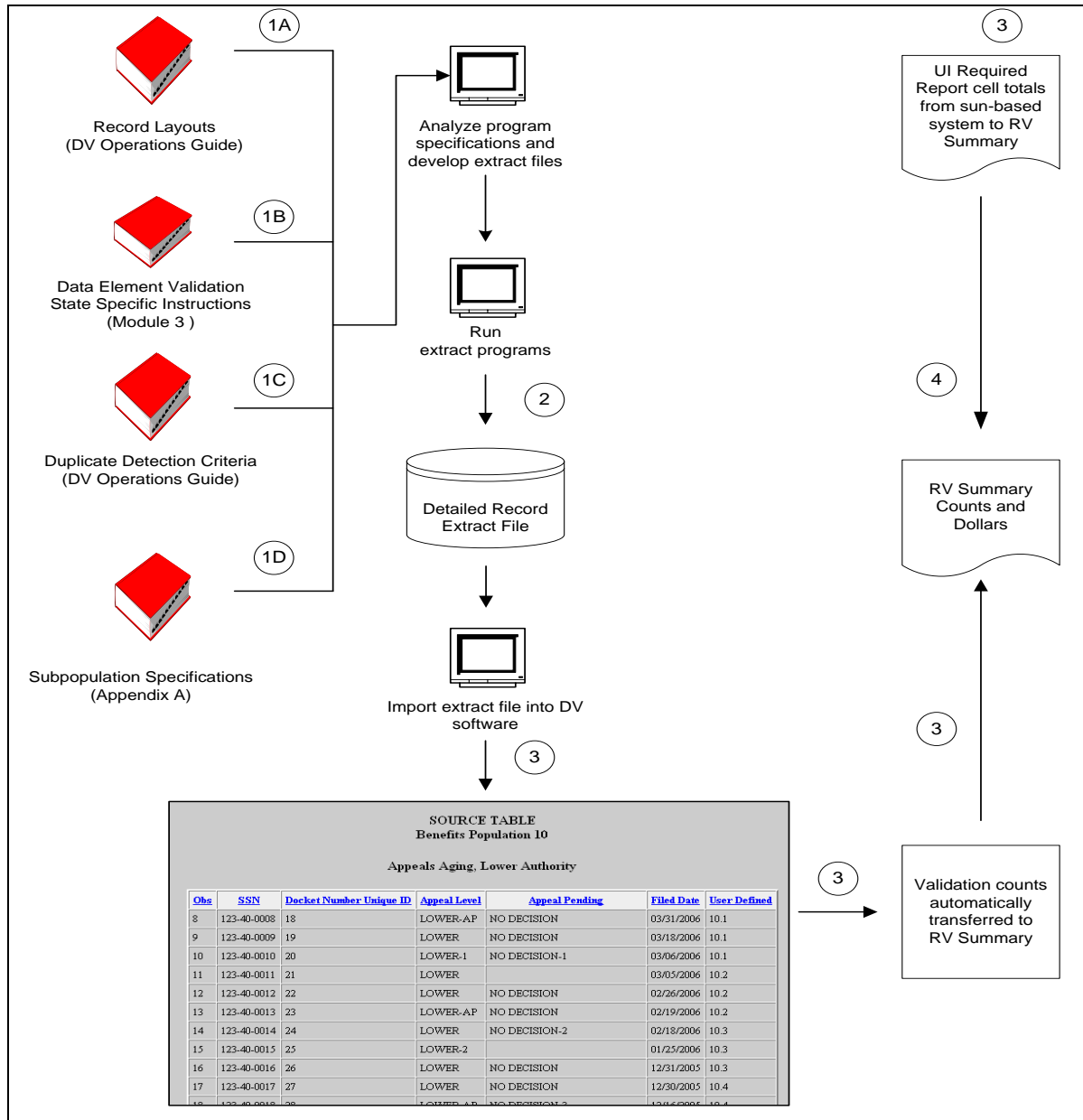
### C. Overview of Module 1

Table 1.2 and Figure 1.1 show an overview of Module 2 methodology.

**Table 1.2**  
Overview of Module 1

Step	Description of Step
1A – 1D	<p>Analyze the validation program specifications including:</p> <p><b>1A. Record Layouts (ETA Operations Guide 411):</b> contains specifications to build the validation extract files</p> <p><b>1B. Data Element Validation State Specific Instructions (Module 3):</b> Includes instructions and state's specific screen names, element names and value codes for validating each data element.</p> <p><b>1C. Duplicate Detection Criteria (ETA Operations Guide 411):</b> contains the criteria that the software uses to detect duplicates.</p> <p><b>1D. Subpopulation Specifications (Appendix A):</b> contains reporting and sampling specifications for each population.</p>
2	<p>Extract transaction records from the state database(s), including all of the data elements specified in the record layouts. The extract process should include a routine to ensure that invalid duplicates are excluded from the file, as specified in the duplicate detection criteria in the ETA Operations Guide 411.</p>
3	<p>Import the validation files into the DV software, which processes the files and assigns transactions to the subpopulations specified in Appendix A.</p>
4	<p>The RV screen compares the validation counts to the reported counts and displays the error rates and a pass/fail population score.</p>

**Figure 1.1**  
Overview of Module 1



The following figures are examples of:

1. Population 10 Record Layout (Figure 1.2)
2. Population 10 Sample Extract File (Figure 1.3)
3. Population 10 Validation File after Processed through DV Software (Figure 1.4)
4. Population 10 RV Summary (Figure 1.5)

**Figure 1.2**  
Population 10 Record Layout

This record layout provides the format for the validation extract file. The extract file type must be ASCII, comma delimited columns. Data must be in the order listed in the record layout. The Data Format column indicates the generic values for text fields. **These must be followed by a dash and the state-specific value.** The Module 3 reference indicates the step where the state-specific values are documented.

Example: If the state-specific code for Lower Authority Appeal is 100, then the data format would be LOWER-100.

<i>No.</i>	<i>Field Name</i>	<i>Module 3 Reference</i>	<i>Field Description</i>	<i>Data Format</i>	<i>Data Type</i>	<i>Constraint</i>
1	OBS		State assigned sequential unique identifier for each record in the extract file.	Number - 00000000 (Required)	INTEGER	NOT NULL
2	SSN	Step 1E - Rule1	Social Security Number	Number - 000000000 (Required)	CHAR (9)	NOT NULL
3	Docket Number Unique ID	Step 1E - Rule 2	The Docket Number or other unique number assigned to the appeal.	Number - 0000000000 (Required)	CHAR (30)	NOT NULL
4	Appeal Level	Step 24A - Rule 1	The appeal was a lower authority appeal.	Text - Lower (Required)	CHAR (20)	NOT NULL
5	Appeal Pending	Step 30B - Rule 1	No decision has been made on an appeal.	Text - No Decision (Optional)	CHAR (30)	
6	Filed Date	Step 32 - Rule 1	The date on which the appeal was filed.	Date - MM/DD/YYYY (Required)	DATE	NOT NULL
7	User		User defined field. Can be used for any additional data element. Not mandatory.	Text (Optional)	CHAR (100)	

**Figure 1.3**  
Population 10 Extract File

```

1,123456789,1,LOWER-AP,NO DECISION-NO MAIL DATE,03/22/2006,10.1
2,123456791,2,LOWER-AP,NO DECISION-NO MAIL DATE,03/01/2006,10.2
3,123456792,3,LOWER-AP,NO DECISION-NO MAIL DATE,01/03/2006,10.3
4,123456793,4,LOWER-AP,NO DECISION-NO MAIL DATE,12/29/2005,10.4
5,123456794,5,LOWER-AP,NO DECISION-NO MAIL DATE,10/11/2005,10.5
6,123456795,6,LOWER-AP,NO DECISION-NO MAIL DATE,05/16/2005,10.6
7,123456796,7,LOWER-AP,NO DECISION-NO MAIL DATE,02/08/2005,10.7
8,123400008,18,LOWER-AP,No Decision,03/31/2006,10.1
9,123400009,19,lower,NO DECISION,03/18/2006,10.1
10,123400010,20,lower-1,no decision-1,03/06/2006,10.1
11,123400011,21,Lower,,03/05/2006,10.2
12,123400012,22,LoWeR,No Decision,02/26/2006,10.2
13,123400013,23,LOWER-AP,NO DECISION,02/19/2006,10.2
14,123400014,24,lower,no decision-2,02/18/2006,10.3
15,123400015,25,lower-2,,01/25/2006,10.3
16,123400016,26,Lower,No Decision,12/31/2005,10.3
17,123400017,27,LoWeR,NO DECISION,12/30/2005,10.4
18,123400018,28,LOWER-AP,no decision-3,12/16/2005,10.4
19,123400019,29,lower,,12/01/2005,10.4
20,123400020,30,lower-3,No Decision,11/30/2005,10.5
21,123400021,31,Lower,NO DECISION,11/01/2005,10.5
22,123400022,32,LoWeR,no decision-4,10/02/2005,10.5
23,123400023,33,LOWER-AP,,10/01/2005,10.6
24,123400024,34,lower,No Decision,08/03/2005,10.6
25,123400025,35,lower-4,NO DECISION,06/04/2005,10.6
26,123400026,36,Lower,no decision-5,04/05/2005,10.6
27,123400027,37,LoWeR,,04/04/2005,10.7
28,123400028,38,LOWER-AP,No Decision,11/16/2004,10.7
29,123400029,39,Lower,NO DECISION,07/05/2003,10.7

```

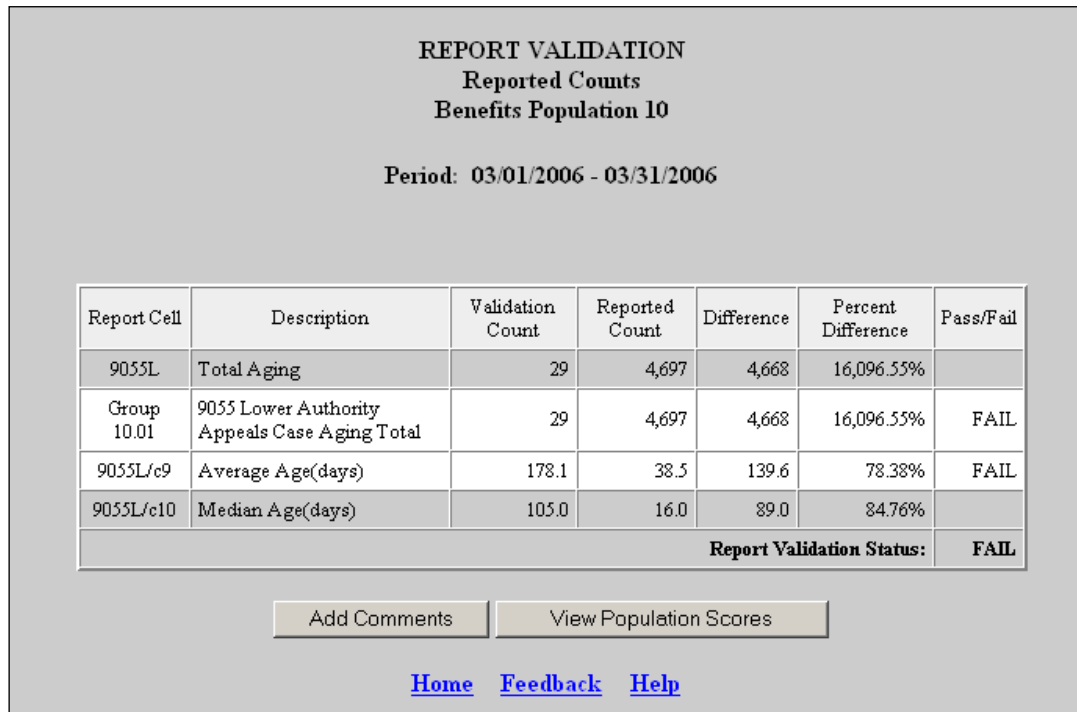


**Figure 1.4**  
Population 10 Validation File After Processed by DV Software

**SOURCE TABLE**  
**Benefits Population 10**  
**Appeals Aging, Lower Authority**

<u>Obs</u>	<u>SSN</u>	<u>Docket Number Unique ID</u>	<u>Appeal Level</u>	<u>Appeal Pending</u>	<u>Filed Date</u>	<u>User Defined</u>
8	123-40-0008	18	LOWER-AP	NO DECISION	03/31/2006	10.1
9	123-40-0009	19	LOWER	NO DECISION	03/18/2006	10.1
10	123-40-0010	20	LOWER-1	NO DECISION-1	03/06/2006	10.1
11	123-40-0011	21	LOWER		03/05/2006	10.2
12	123-40-0012	22	LOWER	NO DECISION	02/26/2006	10.2
13	123-40-0013	23	LOWER-AP	NO DECISION	02/19/2006	10.2
14	123-40-0014	24	LOWER	NO DECISION-2	02/18/2006	10.3
15	123-40-0015	25	LOWER-2		01/25/2006	10.3
16	123-40-0016	26	LOWER	NO DECISION	12/31/2005	10.3
17	123-40-0017	27	LOWER	NO DECISION	12/30/2005	10.4
18	123-40-0018	28	LOWER-AP	NO DECISION-3	12/16/2005	10.4
19	123-40-0019	29	LOWER		12/01/2005	10.4

**Figure 1.5**  
Population 10 RV Screen





## **MODULE 2**

*Benefits*

DATA ELEMENT VALIDATION



## A. Purpose

One of the goals of the validation process is to determine how accurately individual benefits transactions have been reported on the UIRR. After the report validation files have been built and each transaction has been assigned to a specific subpopulation, the key question is whether the data in each transaction record are correct. For example, if a claim is classified as UCFE, do the base period wages match the Federal criteria for a UCFE claim? This process is called data element validation (DEV). In DEV, each data element used in the report validation file is closely examined in a small sample of transactions.

Data element validation uses random and supplemental samples to address different types of Federal report errors and different requirements for accuracy. Samples were designed considering the importance of the type of transaction and the type of error prone to be found in certain data. The samples enable the validator to find systems logic and data quality errors. There are four types of samples used in the DV program:

1. Random samples

*Supplemental Samples:*

2. Missing subpopulations samples
3. Outliers Samples
4. Minimum samples

Each of these sample types is described in detail in Appendix B.

In particular, random samples are used for the most important performance and reporting data elements. Depending on the type of random sample, the DV software selects either 100 or 200 cases at random to be validated. Validators may need to review only the first 30 or 60 cases in a random sample if the findings show that the error rate is conclusively below five percent (zero errors) or above five percent.

## B. Methodology

### Step 1 Software generates samples

After extract files are loaded into the DV software, the software automatically selects samples and displays the sampled data on a screen.

### Step 2 Print sample worksheets

From the sample validation screen, the validator can print worksheets for each record which contain all data to be validated. These worksheets facilitate the validation process and provide an audit trail.

### Step 3 Data Element Validation

To validate the sample, the validator goes to the Sample Validation screen and validates each field in each record using the instructions on Module 3 for that particular field. A record passes validation if all its fields pass. A random sample passes validation if the sample results indicate that no more than five percent of the records from which the sample was drawn contain errors.

On the Sample Validation screen, records are displayed in rows. Columns headers display the step in Module 3 that the validator has to follow to validate each field. Fields have a drop-down menu next to them with the values “PASS” and “FAIL”, so that the validator can indicate whether the value in that field passes validation. In some instances, there will not be a value for a particular data element. This can happen whenever a data element is either optional or not applicable. The validator should select “PASS” when there is no value in a field because a data element is either not applicable or optional. At the bottom of the sample screen a row displays the total number of errors and the sample’s score. Refer to the ETA Operations Guide 411 for other functionality available from the Sample Validation screen.

To validate a field, the state validator compares it to the source documentation to verify that it agrees with state practices and Federal definitions. Module 3 provides state-specific instructions on how to validate each data element using information from the state’s database or paper files. This validation verifies that the state’s reporting programs are functioning correctly, and benefits data are being classified correctly.

Although the validation instructions in Module 3 are state-specific, all states use the same Federal reporting guidelines to validate data. This ensures uniform and consistent validation and reporting practices across all states. The instructions include sections for recording comments and definitional problems that enable states to track Federal report and data validation issues. This is important for documenting issues that may affect validation in the future, and for explaining inconsistencies.

Each random sample is scored separately and their results need to be submitted to the National Office as part of determining whether a population passes or fails. Supplemental samples, however, are only used as diagnostic tools and the results are not submitted. Nevertheless, if errors are found in the supplemental samples, validators need to investigate these and correct their systems accordingly.

### Step 4 DEV Reports

The software generates DEV reports that summarize the type and number of errors found for each sample. It also displays the error rate and the scores for random samples. This report is not submitted to the National Office. States are advised to print this report for their records.

### Step 5 Send validation results to National Office

After all random sample validations in a population are completed, the validator can submit results along with RV results to the National Office through the Population Scores screen in the software (refer to the ETA Operations Guide 411 for details). If a population fails RV or DEV, the population must be revalidated within a year. When a population passes validation, results are considered valid for three years, except for Populations 4 and 12, which contain GPRA elements and need to be validated every year. States that make changes to their reporting system need to conduct data validation of the affected populations as soon as possible after changes are implemented.

### Step 6 Correcting Validation Errors

If validation identifies reporting errors, the state should correct the errors as soon as possible. To document the steps required to correct errors and the timetable for completion, the state must address the problem to its ETA Regional Office in accordance with the annual State Quality Service Plan (SQSP). This will be in either the SQSP narrative or as part of a DV Corrective Action Plan (CAP). The narrative or CAP should contain the following information on every validated report element that failed validation:

- Report item(s) in error.
- Magnitude of error found.
- Status/Plan/Schedule for correcting. Note: If reporting errors were corrected in the course of the first validation, the report should simply note “corrected during validation.” (Validation of the affected transactions should occur immediately after these corrections have been made.)

**Timing of CAP or Narrative.** The plan for correcting the errors should be submitted within the established deadlines of the SQSP.

**Revalidation.** Populations that failed any validation item must be revalidated the following year. A revalidation should confirm the success of the corrective action or if the state has not completed corrective action, identify the current extent of the error.

**Errors Discovered Outside the Validation Process.** During the validation process, errors in reporting may be identified that are outside the scope of the validation program. Such errors should be included in the comments section of the state’s Data Validation Summary/Analytical Report and included in the CAP or narrative if warranted. A CAP is also required for any state that fails to conduct data validation.

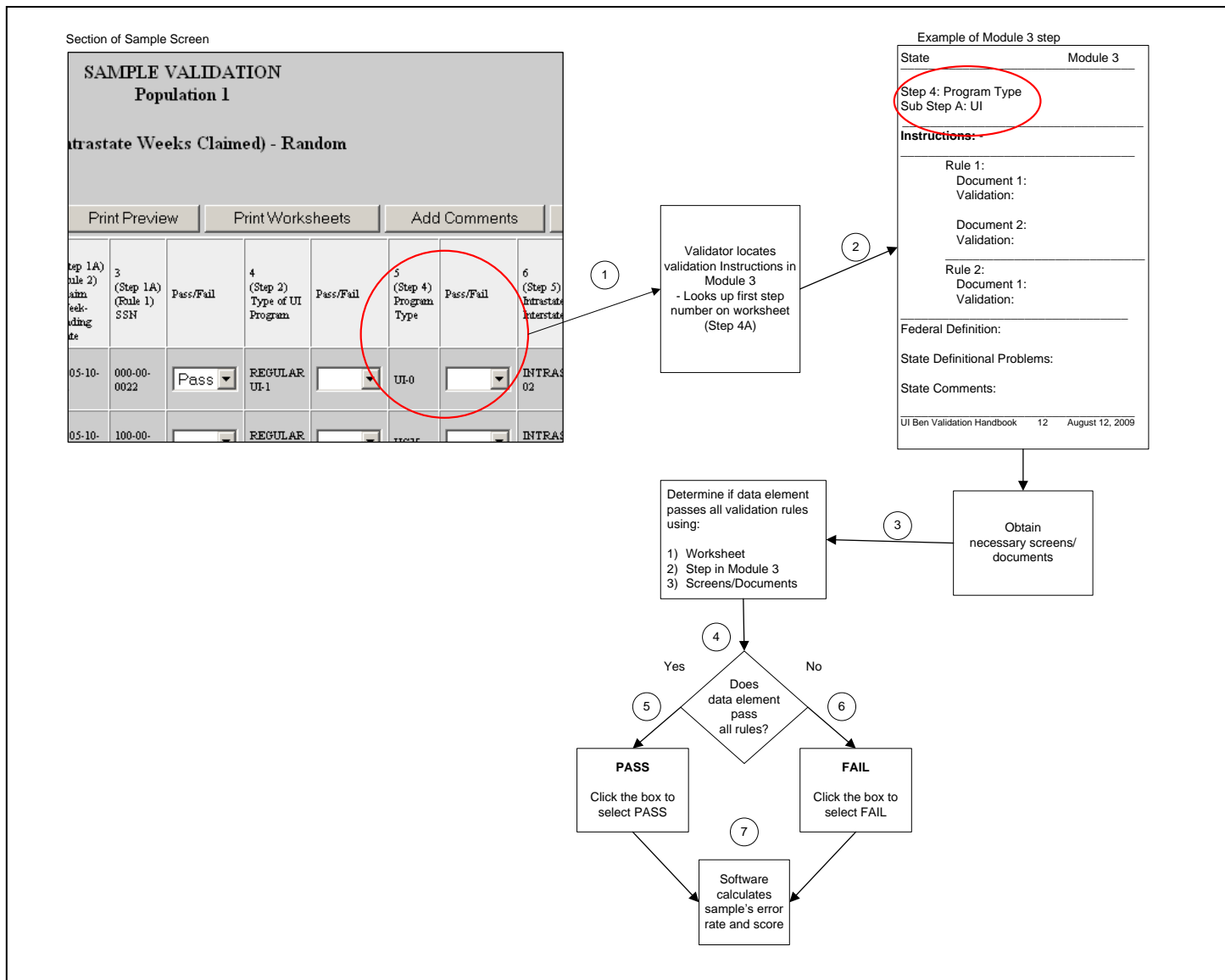
**C. Overview of Module 2**

Table 2.1 and Figure 2.1 show an overview of Module 2 methodology.

**Table 2.1**  
Overview of Module 2

Step	Step Description
1	The validator uses the column headers on the sample screen to locate steps in Module 3. Fields for data that are not relevant to a particular transaction will be blank, and the validator should click 'PASS'. In Figure 2.1, for the first sampled transaction the value of the fifth data element is UI-0. The column header directs the validator to go to Step 4 in Module 3.
2	The validator turns to the corresponding step in Module 3. Steps can have different sub steps and each sub step can have one or more rules listed. In addition, each step includes the "Federal Definition" from the ETA 401; a "Definitional Issues" section that is used to document instances where state regulations or practices conflict with the Federal definitions; and a "State Comments" section where validator can write comments that may be helpful for future validations. In Figure 2.1, the validator looks up Step 4 and then selects the sub step that corresponds to the field value. In this case, the value is "UI", so the corresponding sub step is A.
3	The validator locates each source "Document" listed under each rule. The document is the source used to compare the data on the sample screen with the data residing in the state database or state files. When all of the data elements have been included on the sample screen it will not be necessary to pull any additional documents. In other instances, it will be necessary for the validator to refer to screens and/or case files.
4	The validator determines if the data element being validated passes the "Validation" using the required "Documents".
5	If the validated element fails <b>any</b> of the rules for the step, then the validator clicks the 'FAIL' check box on the worksheet for that element.
6	If the data element passes <b>all</b> of the rules, then the validator clicks the 'PASS' check box on the worksheet for that step.
7	The validator proceeds through each of the steps for each sampled transaction in the same manner. After each of the steps has been validated for every sampled transaction required, the software calculates the error rate and score for the sample.

Figure 2.1  
Overview of Module 2





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**MODULE 3**  
*Benefits*

DATA ELEMENT VALIDATION  
STATE SPECIFIC INSTRUCTIONS

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## A. Purpose

Module 3 provides the actual state-specific set of instructions that the validator uses in data element validation. It lists the state system screens or documents that contain the data to be validated as well as the rules to validate them. State definitions or procedures which impact validation are also documented to help state and Federal staffs interpret the validation results and improve procedures.

Module 3 is not included in this handbook. It is maintained in a database that contains data for every state. Since these instructions are state-specific, each state is responsible for reviewing and updating its Module 3 regularly. Every year between April 10 and June 10 states need to certify that they have reviewed their Module 3 and that it's up to date.

## B. Methodology

Table 3.1 outlines each step and substep in the Module 3 that validators need to follow for validating samples. Table 3.2 indicates the combination of validation steps required to validate each population. The column headers on the sample screens in the DV software display the steps that are used to validate each data element, i.e., the values for the relevant field of each sampled record.

The validator begins the validation by looking at the first record (first row) on the Sample Validation screen for the given population and then locates the first step number (e.g., Step 1) listed in the first column header of the screen. The validator then turns to this step number in Module 3. If there are substeps, and the substep is not specified in the column heading, the first page for the step number in Module 3 will direct the validator to the appropriate substep (e.g., 4A – UI program type, 4B – UCFE program type, 4C – UCX Program type). After following all of the rules listed for this step, the validator should proceed to the second column on the worksheet and locate the next step to be validated in Module 3. The validator continues validating each step listed on the worksheet for each element in the record and then continues to the next sampled record. This process is repeated until all necessary records are validated.

*The inclusion of state-specific information in this module is not to be deemed a finding that such information is in compliance with Federal reporting data definitions.*

**Table 3.1**  
Data Element Validation Steps and Substeps

Step	Substep A	Substep B	Substep C	Substep D	Substep E	Substep F	Substep G	Substep H	Substep I	Substep J
1 Matching Sampled Transaction to Benefits History Screen(s)	Week Claimed	Claims	Payments	Nonmonetary Determinations and Redeterminations	Appeals - Lower	Appeals - Higher	Overpayments	Overpayment Reconciliation Activities		
2 Type of UI Program	Regular Unemployment Insurance	Workshare	Extended Benefits	Disaster Unemployment Assistance (DUA)						
3 / 3a Type of Claim	New Claim	Additional Claims/ Reopened Claims	Transitional Claims	Entering Self-Employment Program						
4 Program Type	UI	UCFE or UCFE/UCX	UCX	Joint UI/Federal	Self-Employment Program	Extended Benefits				
5 Intrastate or Interstate Claim	Intrastate	Interstate Received as Liable State	Interstate Taken as Agent State	Interstate Filed from Agent State	Intrastate CWC	Interstate CWC				
6 Claim Status	Monetary Determination Within Quarter	No Monetary Determination	Sufficient Wages to Qualify for Benefits	Insufficient Wages to Qualify for Benefits						
7 Maximum Weekly Benefit										
8 Potential Weeks of Duration	Potential Weeks of Duration	Maximum Potential Weeks of Duration								
9 Actual Weeks of Duration	Actual Weeks of Duration	Maximum Actual Weeks	Less than Maximum Actual Weeks							
10 Types of Compensation	First Payment	Continued (Weeks) Payment	Final Payment	Partial/Part-Total Payment	Total Payment	Adjusted Payments	Prior Weeks Compensated			
11 Weeks Claimed										
12 Amount Compensated	UI Amount Compensated	UCFE Amount Compensated	UCX Amount Compensated	CWC Amount Compensated	Self-Employment Amount Compensated					
13 Week Ending Date of Week Paid										
14 Payment Mail or Deposit Date										

Step	Substep A	Substep B	Substep C	Substep D	Substep E	Substep F	Substep G	Substep H	Substep I	Substep J
15*	<i>Payments Time Lapse</i> NOT APPLICABLE. THIS STEP IS NOT MANUALLY VALIDATED.									
16	Nonmonetary Determination	Nonmonetary Redetermination								
17	Type of Determination	Single Claimant	Multiclaimgant							
18	Determination Issues	Voluntary Quit	Misconduct	Other Separation Issues	Able and Available To Work	Deductible Income	Suitable Work Refusal	Reporting Requirements	Profiling	Other Nonseparation Issues (Substep K) Other Multiclaimgant Issues
19	First Week Affected by a Determination									
20	Issue Detection Date									
21	Notice Date									
22*	<i>Nonmonetary Determination Time Lapse</i> <i>Detection Date to Notice Date</i> <i>First Week Affected to Detection Date</i> NOT APPLICABLE. THIS STEP IS NOT MANUALLY VALIDATED.									
23	Outcome of Determination	Determination to Allow or Affirmed	Determination or Redetermination to Deny							
24	Appeal Level	Lower Authority Appeal	Higher Authority Appeal							
25	Type of Appeal	Single Claimant	Multiclaimgant							
26	Appellant	Claimant	Employer	Other than Claimant or Employer						
27	Outcome of Decision	In Favor of Appellant	Not in Favor of Appellant							
28	Appeal Decision Date									
29*	<i>Appeal Time Lapse</i> <i>Appeal Time Lapse</i> <i>Appeal Case Age Calculation</i> NOT APPLICABLE. THIS STEP IS NOT MANUALLY VALIDATED.									
30	Appeal Disposition	Disposed of by Decision	Not Disposed of							
31	Appeal Issues	Voluntary Quit	Misconduct	Suitable Work Refusals	Able and Available To Work	Other Issues	Labor Dispute			
32	Appeal Filed Date									
33	Type of Overpayments	Fraud Overpayment	Nonfraud	Penalty						
34	Cause of Overpayments	Multi-Claimant Schemes	Reversal (JAVA)	State Agency Error	Employer Error	Claimant Error	Other Cause	Penalty	Single Claimant	Agency Employee Benefits Fraud

Step	Substep A	Substep B	Substep C	Substep D	Substep E	Substep F	Substep G	Substep H	Substep I	Substep J
35 Overpayment Detection Activities	Wage/Benefit Crossmatch	IB Crossmatch	State Directory of New Hires	Multi-Claimant Scheme Systems	Special Project	Other Controllable Overpayment Detection Activities	Non-controllable Overpayment Detection Activities	National Directory of New Hires		
36 Established Date										
37 Amount of Overpayment	UI	Federal								
38 Overpayment Reconciliation Activities	Recovered Cash	Recovered Offset	State Income Tax Offset	By Other States	Other	Waived	Written-Off	Additions	Subtractions	
39 Overpayment Reconciliation Activity Date										
40 Amount of Overpayments Reconciliation Activity	UI	Federal	Extended Benefits							
41 Outstanding Overpayment	<b>NOT APPLICABLE. THIS STEP IS NO LONGER VALIDATED.</b>									
42 Balance of Overpayment	UI	Federal	Extended Benefits							
43 Overpayment Aging Calculation and Intervals	<b>NOT APPLICABLE. THIS STEP IS NOT MANUALLY VALIDATED</b>									
44 Active Collection	Yes or Blank	No - Not in Active Collection	Dropped							
45 Accumulated Overpayment Amount	UI	Federal	Extended Benefits							
46 Overpayment Established by Investigation										

\*\* Step numbers 15, 22, 29, 41, and 43 are no longer used but have been retained in Module 3 as placeholders. All steps but step 41 correspond to time lapse calculations that are now automatically validated by the software. Step 41 is no longer validated.

**Table 3.2**  
**Relevant Data Element Validation Steps**  
**By Population**

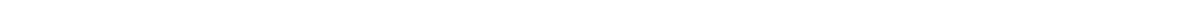
Population	Relevant Module 3 Data Element Validation Steps††
<b>1</b> - Weeks Claimed	1, 2, 4, 5, 11
<b>2</b> - Final Payments	1, 2, 4, 7, 9, 10
<b>3/3a</b> - Claims	1, 2, 3, 4, 5, 6, 7, 8
<b>4</b> - Payments	1, 2, 4, 5, 10, 12, 13, 14
<b>5</b> - Nonmonetary Determinations/ Redeterminations	1, 2, 4, 5, 16, 17, 18, 19, 20, 21, 23
<b>6</b> - Appeals Filed, Lower Authority	1, 24, 25, 32
<b>7</b> - Appeals Filed, Higher Authority	1, 24, 25, 32
<b>8</b> - Appeals Decisions, Lower Authority	1, 2, 4, 5, 24, 25, 26, 27, 28, 30, 31, 32
<b>9</b> - Appeals Decisions, Higher Authority	1, 2, 4, 5, 24, 25, 26, 27, 28, 30, 32
<b>10</b> - Appeals Pending, Lower Authority	1, 24, 30, 32
<b>11</b> - Appeals Pending, Higher Authority	1, 24, 30, 32
<b>12</b> - Overpayments Established by Cause	1, 4, 33, 34, 36, 37, 45
<b>13</b> - Overpayment Reconciliation	1, 4, 33, 38, 39, 40
<b>14</b> - Overpayment Case Aging	1, 4, 33, 36, 42, 44
<b>15</b> - Overpayments Established by Method	1, 33, 35, 36, 37, 46

†† The appropriate substeps for each population are specified on the population tables in Appendix A.



**MODULE 4**  
*Benefits*

**QUALITY SAMPLE VALIDATION**



**A. Purpose**

This module provides instructions for validating Benefits Timeliness and Quality (BTQ) nonmonetary determinations samples--which comprise separate samples for separations and non-separations--and lower authority appeals samples. These samples can be validated for any quarter that falls within the validation year. They must be validated every three years, unless the size of the universe from which the sample is drawn is not within  $\pm 2\%$  of the ETA 9052 or the ETA 9054L benchmark counts. In such case, the validation must be repeated the following year.

A properly selected sample is: (a) of the correct size, (b) randomly selected, and (c) drawn from the correct universe. The validator must check the size and randomness of the sample as soon as the sample is drawn because the quality review can only proceed for a randomly drawn sample of the correct size. If the sample is not of the correct size or is not random, a new sample must be selected, as many times as needed, until the draw is random and of the right size. The universe should be checked as soon as the report counts are available.

State staff needs to validate separations and non-separations samples separately for nonmonetary determinations, and the lower authority sample. Nonmonetary determinations counts are validated in Population 5 and lower authority appeals counts in Population 8, so it is desirable to validate these two populations before using the ETA 9052 and ETA 9054L counts as benchmark when validating the universes of the samples.

**B. Sample Size**

Sample sizes are set based on the volume of nonmonetary determinations and lower authority appeals decisions reported in the preceding calendar year.

Sample sizes for nonmonetary determinations are based on total counts reported on the ETA 9052 report, and are of size 100 (50 separations and 50 non-separations) for states that reported 100,000 or more nonmonetary determinations and 60 (30 separations and 30 non-separations) for states that reported less than 100,000. However, the sample size for nonmonetary determinations may be increased in any given quarter to make up for cases discarded in the previous quarter. For example, if the assigned sample size is 100, and in the previous quarter 2 non-separation cases could not be reviewed because the case material was not found, the sample size for the quarter must be equal to 102: 50 separations and 52 non-separations.

Sample sizes for lower authority appeals decisions are based on total counts reported on the ETA 9054L report, and are of size 40 for states that reported 40,000 or more appeals and 20 for states that reported less than 40,000.

If a sample is determined to have an incorrect sample size, it must be drawn again with the correct size before the quality review can proceed.



### C. Sample Selection

Different methods can be used to select the quality samples. For example, states can use balanced systematic selection (as described in Handbook 301, Appendix A, pp. A-4 to A-6), systematic random sampling, or use a utility that randomizes the file.

In *systematic random sampling*, a starting point is selected at random from the sampling universe, and thereafter observations are selected at regular intervals. The size of the population is divided by the desired size of the sample and rounded to the nearest integer to get the sample interval  $i$ , which is then used to select every  $i^{\text{th}}$  observation from a file containing all records in the universe. For example, if a sample of 30 cases is wanted from a universe of 300 records, then the sample interval is  $300 \div 30 = 10$ , and every 10<sup>th</sup> observation is selected. To determine the starting point--i.e., the first case to be selected--the validator multiplies a random number between 0 and 1 (supplied by the National Office or generated by a random number generator utility) by the sample interval, and rounds it to the closest integer. In the previous example, if the random number is 0.2354, then  $0.2354 \times 10 = 2.354 \approx 2$ , so the observations selected are 2, 12, 22, etc.

To validate that the sample selection was random when *systematic random sampling* is used, the validator needs to check that the sample interval and the starting point were calculated correctly, and that the observations were selected accordingly.

When a sampling utility is used, usually the sample frame is randomized and the first  $x$  observations are selected, where  $x$  is the desired size of the sample (in the previous example, the first 30 observations). This method is somewhat more difficult to validate because it could involve reviewing the sample against the source file, or reviewing the utility specifications.

If the sample selection procedure is random, the sample can proceed to the quality review. Otherwise, the sampling procedure must be fixed and the sample redrawn until it is randomly selected.

### D. Sample Universe

The number of observations in the sample universe for nonmonetary determinations must be equal to the sum of all total counts in the ETA 9052 for the reporting quarter being validated. Before these numbers are compared, Populations 5 should pass report validation to make sure that the reported counts are accurate. If the number of observations in the universe is within  $\pm 2\%$  of the reported counts, then the sample universe passes validation, and results are valid for three years. Otherwise, the state needs to revalidate the sample the following year.

The number of observations in the sample universe for lower authority appeals must be equal to the sum of all total counts in the ETA 9054L for the reporting quarter being validated. Before these numbers are compared, Populations 8 should pass report validation to make sure that the reported counts are accurate. If the number of observations in the universe is within  $\pm 2\%$  of the reported counts, then universe passes validation, and results are valid for three years. Otherwise, the state needs to revalidate the sample the following year.

If ETA 9052 or ETA 9054L reported counts are not available when the quality samples are drawn, comparing the sampling universe with the reported counts can be performed later to ensure that the validation process does not delay the quality review process.

### **E. Sample Validation**

To validate the quality samples, the validator must complete the following steps:

#### **Step 1 Select reporting period**

- Obtain a copy of the quality sample for the reporting period you want to validate and for the previous quarter. Verify that all transactions in the universe are for the indicated reporting period and that the reporting period to be validated falls within April 1<sup>st</sup> of the previous year and March 31<sup>st</sup> of the current year.

#### **Step 2 Validate the sample size**

- Check that the sample size is in accordance with the number of transactions reported in the previous year. For nonmonetary determinations the sample size should be 100 (50 separations and 50 non-separations, plus the make-up cases, if any) for states that reported 100,000 or more nonmonetary determinations and 60 (30 separations and 30 non-separations, plus make-up cases) for states that reported less than 100,000 nonmonetary determinations. For lower authority appeals, the sample size should be 40 for states that reported 40,000 or more appeals and 20 for less than 40,000.
- If the sample size is not correct, the sample fails validation. Do not proceed any further. The sample needs to be redrawn and validated again until it is of the correct size.

#### **Step 3 Validate that the sample selection was random**

- Determine which method was used to select the sample.

If balanced systematic selection was used, verify that all steps were followed as described in Handbook 301, Appendix A, pp. A-4 to A-6. (this instruction applies to both nonmonetary determinations and lower authority appeals). Handbook 301 also references the PICKNUMB sampling routine and refers the reader to Appendix A of Handbook 401. The current (2007) version of Handbook 401 no longer contains Appendix A. Readers needing guidance with the PICKNUMB program should contact the National Office or obtain versions of Handbook 401 dated 2000 or earlier.

If systematic random sampling was used, then:

- Obtain a copy of the sample universe.
- Check that the sample interval used to select the sample is equal to the number of cases in the universe divided by the sample size.

$$\text{interval} = \text{Round} \left( \frac{\text{universe size}}{\text{sample size}} \right)$$

Remember that for nonmonetary determinations, the sample size must include additional cases for any cases that were discarded in the previous quarter.

- Check that the starting point (first case selected) is equal to the random start number supplied by the National Office multiplied by the sample interval, rounded to the nearest integer.

$$\text{starting point} = \text{Round}(\text{random number} \times \text{sample interval})$$

- Check that the proper subsequent cases were selected. For example, if the random start was 10 and the interval was every 40<sup>th</sup> case, check that 50, 90, 130, and so on were selected.

If a sampling utility was used, then:

- If the sample was drawn from a randomized file, determine how the file was randomized and print out the file to check that it was not ordered by date, local office number, or other nonrandom means. Compare this order with the way the file was ordered prior to randomization to ensure that the file was randomly reordered.
- Check that the first  $n$  cases were selected where  $n$  equals the sample size.

If it is determined that the sample was not randomly selected, the sample fails the validation. Do not proceed any further. The sample needs to be redrawn and validated again until it is randomly selected.

#### Step 4 Validate the sample universe

This step should be performed when the ETA 9052 or the ETA 9054L counts are available.

- For nonmonetary determinations, check that the total number of determinations in the sample universe is equal to or within  $\pm 2\%$  of the sum of all the total counts reported on the ETA 9052 for the quarter being validated. This should be validated after Population 5 passes report validation.
- For lower authority appeals, check that the total number of appeals in the sample universe is equal to or within  $\pm 2\%$  of the sum of all the total counts reported on the ETA 9054L for the quarter being validated. This should be validated after Population 8 passes report validation.

Whereas the 9054 counts include both monetary and nonmonetary appeals, the 9057 sample universe may include only *nonmonetary* appeals. Further, this universe should not include appeals decided but for which no hearing materials were available to review--decisions representing withdrawals, dismissals, and no-shows. If the universe was built by excluding monetary and non-reviewable appeals, then it should be smaller than the count reported on the ETA 9054L reports. To compare this universe with the 9054L count, add in the number of excluded appeals as in the example below. If the sum of the two groups is within 2% of the count reported on the ETA 9054L report for the quarter, then the universe passes validation. Alternatively, the sample cases may be drawn from a

universe that includes all appeals, in which a flag distinguishes the reviewable nonmonetary appeals from others.. In such a case compare the size of the universe file directly with the 9054L count.

Example 4.1 shows an example of adjustments made to enable a proper comparison of the two universes.

**Example 4.1**  
 Lower Authority Appeals Quality Sample  
 Benefits Population 8

Step	Validation Item	Appeals	Pass/Fail
1	Reporting period (Year:Quarter)	2009:1	PASS
2	Sample size	20	PASS
	Universe:		
	(a) Number of records in universe	2,298*	
	(b) ETA 9054L Counts	2,268	
	(c) Difference:  (a) - (b)	30	
3	(d) % Difference: [(c) ÷ (b)] x 100	1.32%	PASS
4	Random sampling method	Interval	PASS
		<b>Score:</b>	<b>PASS</b>
<i>Problems/Comments:</i> The sample was drawn from the Appeals database. The totals are consistent with the reports that are run from the data warehouse.			

*Universe File	1,663
Withdrawn Cases	124
Dismissed Cases	477
Monetary Cases	2
Program type U8	32
Universe Total	2,298

If the universe fails the validation, the sample has to be validated again by the next validation year. Otherwise, it must be validated again in three years.

**F. Results**

The software does not include a screen for forwarding the results of the quality reviews to the National Office. These should be documented in a Microsoft Word® file using the format below and sent via email to the National Office to [dvrpts@uis.doleta.gov](mailto:dvrpts@uis.doleta.gov). The template can be downloaded from the DV Web site at <http://www.ows.doleta.gov/dv/>. You can document any validation problems in the Problems/Comments field.

**Template 4.1**  
Nonmonetary Determinations Quality Sample  
Benefits Population 5

<b>STATE:</b>		<b>VY:</b>			
<b><u>Nonmonetary Determinations Quality Sample (Benefits Population 5)</u></b>					
Step	Validation Item	Separations	Pass/ Fail	Non Separations	Pass/ Fail
1	Reporting period (Year: Quarter)				
2	Sample size				
3	Universe:				
	(a) Number of records in universe				
	(b) ETA 9052 Counts				
	(c) Difference:  (a) - (b)				
3	(d) % Difference: [(c) ÷ (b)] x 100				
4	Random sampling method				
		<b>Score:</b>		<b>Score:</b>	
<i>Problems/Comments:</i>					

**Template 4.1**  
Nonmonetary Determinations Quality Sample  
Benefits Population 5

<b>STATE:</b>		<b>VY:</b>	
<b><u>Lower Authority Appeals Quality Sample (Benefits Population 8)</u></b>			
Step	Validation Item	Appeals	Pass/ Fail
1	Reporting period (Year:Quarter)		
2	Sample size		
3	Universe:		
	(a) Number of records in universe		
	(b) ETA 9054L Counts		
	(c) Difference:  (a) - (b)		
3	(d) % Difference: [(c) ÷ (b)] x 100		
4	Random sampling method		
		<b>Score:</b>	
<i>Problems/Comments:</i>			

**Example 4.2**  
 Nonmonetary Determinations Quality Sample  
 Benefits Population 5

<b>STATE:</b> ST		<b>Validation Year:</b> 2009					
<b><u>Nonmonetary Determinations Quality Sample (Benefits Population 5)</u></b>							
Step	Validation Item	Separations	Pass/ Fail	Non Separations	Pass/ Fail		
1	Reporting period (Year:Quarter)	2009:2	PASS	2009:2	PASS		
2	Sample size	50	PASS	50	PASS		
3	Universe:						
	(a) Number of records in universe					5,629	1,236
	(b) ETA 9052 Counts					5,520	1,235
	(c) Difference:  (a) - (b)					109	1
	(d) % Difference: [(c) ÷ (b)] x 100	1.97%	PASS	0.08%	PASS		
4	Random sampling method	Utility	PASS	Utility	PASS		
		<b>Score:</b>	PASS	<b>Score:</b>	PASS		
<i>Problems/Comments:</i>							

Where:

Step	Passing Criteria
1	Is the reporting period within the validation year? Are all transactions included in the universe within the indicated reporting period?
2	Is the sample size proportional to the volume of transactions of the previous year? In the case of non-monetaries, does it include make-up cases to compensate for cases that couldn't be reviewed in the previous quarter?
3	Is the difference 2% or less?
4	Was the sample randomly selected?
<b>Score</b>	If all steps passed, then the score is "PASS"; otherwise, "FAIL".

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# **APPENDIX A**

*Benefits*

SUBPOPULATION SPECIFICATIONS

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## A. Purpose

This appendix includes specifications for each subpopulation by population. The software uses these specifications to parse records in the extract files into subpopulations that are then used to reconstruct counts for specific report cells. This appendix also maps each subpopulation to the corresponding Federal report line item(s) and vice versa.

The specifications in this appendix should be used in conjunction with the record layouts (in ETA Operations Guide 411) and the state's Module 3 when constructing the DV extract files. They indicate the data values that are valid for each type of transaction or subpopulation. Any transaction included in a population extract file must fit the description of one subpopulation in the population; otherwise, it will be rejected by the software as an invalid transaction.

## B. Subpopulation Specifications by Population

The following pages contain the subpopulation specifications tables, mapping tables of report cells to subpopulations, and notes for each of the 16 benefits populations. In the specification tables, for each subpopulation, the corresponding report cells are indicated, and the possible values for all fields in a transaction. The fields can have a specific text value or a format requirement. The following describes the different kinds of field formats.

1. **Text.** These fields must contain text values, such as “UI”, “Intrastate”, “VL”, etc. The allowable text values for each field are listed in the record layout. The text values must be followed by a dash and the corresponding state-specific value, for example, “UI-503”, where 503 is a state code used for UI claims.
2. **Required.** These fields cannot be blank. For example, they may be mandatory dates or dollar values.
3. **Optional** (these fields are shaded in gray). The software does not check these fields. Any values can be entered in these fields or they can be left blank.
4. **Must be blank.** These are text or date fields that must be left blank. The software will reject any records with values in any field that must be left blank (such as monetary date for a claim with no monetary determination or a UCFE amount for a UI only payment).
5. **Must be blank or 0.** These are numeric fields that should have the value “0” or be left blank. The software will reject any records where these fields have a value other than “0” or blank.

The column headers on the specifications tables, indicate the field and the related step and rule in Module 3. When constructing the extract file, Federal definitions for some fields can be found in Module 3 using these references, as well as valid state codes. For most steps, Rule 1 asks the state extract file programmer to build this element by accessing an indicator in the

state system, and instructs the validator to check for this indicator during data element validation. However, if a state does not maintain the indicator specified in Rule 1, then the programmer must review the other rules in that step in order to develop the required validation logic to build the element.

For each map of report cells to subpopulations, the subpopulations are referred only by the number and not the population to be concise. For example, subpopulation 5.12 is referred to only as 12 in the Population 5 map table.

Notes for each population contain relevant information that states should referred to when constructing their extract files.

**Table A.1.1**  
**Population 1 Subpopulations**  
 Weeks Claimed - Week was claimed during reporting/validation period

Sub pop #	Report, Line, and Column	2 (Step 1A) (Rule 2)  Claim Week-Ending Date	3 (Step 1A) (Rule 1)  SSN	4 (Step 2A) (Rule 1)  Type of UI Program	5 (Step 4)  Program Type	6 (Step 5)  Intrastate/ Interstate	7 (Step 11) (Rule 1)  Date Week Claimed	8 (Step 11) (Rule 2)  Monetarily Eligible or Pending	9 (Step 11) (Rule 3)  Earnings	10 (Step 11) (Rule 3)  WBA
INTRASTATE WEEKS CLAIMED (1.1 through 1.3) 1) Random sample: 60 or 200										
1.1	5159A-201-10	Required	Required	Regular UI	UI	Intrastate	Required		Required	Required
1.2	5159A-202-10	Required	Required	Regular UI	UCFE	Intrastate	Required		Required	Required
1.3	5159A-203-10	Required	Required	Regular UI	UCX	Intrastate	Required		Required	Required
INTERSTATE WEEKS CLAIMED RECEIVED AS LIABLE STATE (1.4 through 1.6) 1) Random sample: 30 or 100										
1.4	5159A-201-12	Required	Required	Regular UI	UI	Interstate Received as Liable State*	Required		Required	Required
1.5	5159A-202-12	Required	Required	Regular UI	UCFE	Interstate Received as Liable State*	Required		Required	Required
1.6	5159A-203-12	Required	Required	Regular UI	UCX	Interstate Received as Liable State*	Required		Required	Required
INTERSTATE WEEKS CLAIMED FILED FROM AGENT STATE (1.7 through 1.9) 1) Minimum Sample: First two cases										
1.7	5159A-201-11	Required	Required	Regular UI	UI	Interstate Filed from Agent State*	Required			Optional
1.8	5159A-202-11	Required	Required	Regular UI	UCFE	Interstate Filed from Agent State*	Required		Optional	
1.9	5159A-203-11	Required	Required	Regular UI	UCX	Interstate Filed from Agent State*	Required		Optional	

\*These values are abbreviated in the record layout data format specifications (see Appendix A of ETA Operations Guide 411) but are shown here in their entirety for informational purposes.

**Table A.1.2**  
Relationship between ETA 5159A Report Cells and Weeks Claimed Subpopulations in  
Population 1

		Continued Weeks Claimed		
		Intrastate (10)	Interstate Filed from Agent State (11)	Interstate Received as Liable State (12)
State UI	201	1	7	4
UCFE, No UI	202	2	8	5
UCX Only	203	3	9	6

### Population 1 Notes

1. Population 1 includes the date of the week being claimed and the date the week was claimed:
  - A) Column 2(Step 1A), Week Claimed, is the benefit week ending (BWE) date of the week being claimed.
  - B) Column 7 (Step 11), Date Week Claimed, is the date that the state processes the weekly certification.
  
2. Column 8 (Step 11, Rule 2) is an optional field for the extract file. It is included to ensure that the week claimed was valid based on monetary entitlement. Programmers may be able to populate this field with data to show that the week was countable by including data that shows that the claim was eligible (or pending), that an appeal of an ineligible monetary had been filed and not decided or that the appeal period for an ineligible monetary determination had not expired.  
Regardless of whether programmers provide data in Column 8, validators will check this information for sampled cases as part of the data element validation process.
  
3. Subpopulations 1.7 – 1.9: This information comes from the LADT claimant records. Instructions for including data from these records for populations 1 and 3 can be found in the LADT Information section of Appendix B, Technical Guidance.
  
4. Column 10 (Step 11, Rule 3), WBA: Use the Weekly Benefits Allowance (WBA) that is in effect during the week claimed for this population.

**Table A.2.1**  
Population 2 Subpopulations  
Final Payments

Subpop #	Report, Line, and Column	2 (Step 1C) (Rule 1) SSN	3 (Step 1C) (Rule 2) Check Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 9A) (Step 9B) (Rule 1) MBA	7 (Step 7) (Rules 1 & 2) WBA	8 (Step 9A) Actual Weeks of Duration	9 (Step 9B) (Step 9C) Maximum Weeks of Duration	10 (Step 10C) (Rule 3) Mail Date of Final Payment	11 (Step 10C) (Rule 2) Balance
FINAL PAYMENTS (2.1 through 2.4) 1) Random sample: 30 or 100											
2.1	5159B-303-26 218B-104 (14, 19)	Required	Required	Regular UI	UI	> 0	> 0	> 25	Y	Required	Must be 0
2.2	5159B-303-26 218B-102 (8-13)	Required	Required	Regular UI	UI	> 0	> 0	Required <sup>a</sup>	N	Required	Must be 0
2.3	5159B-303-27	Required	Required	Regular UI	UCFE	> 0	> 0			Required	Must be 0
2.4	5159B-303-28	Required	Required	Regular UI	UCX	> 0	> 0			Required	Must be 0

<sup>a</sup>There are states where the actual weeks of duration may be more than 25 weeks and less than the state’s maximum weeks of duration due to state unemployment regulations.

**Table A.2.2**

Relationship between ETA 218B Report and Final Payments Subpopulations in Population 2

SECTION B. ACTUAL DURATION FOR CLAIMANTS WHO RECEIVED FINAL PAYMENTS				
LINE NO.	ITEM	LESS THAN MAXIMUM WEEKS OF DURATION		
		Less than 26 Weeks (8-13)		
102	Actual	2		
		MAXIMUM WEEKS OF DURATION	Number at Maximum Duration (19)	Average Weeks Duration (20)
		26-27 Weeks (14)		
104	Actual	1	1	Average Calculation from Total Column for Subpopulations 1 and 2

**Table A.2.3**

Relationship between ETA 5159B Report and Final Payments Subpopulations in Population 2

Final Payments for All Unemployment				
		State UI Program	UCFE & UCX Programs	
		Total (26)	UCFE, No UI (27)	UCX Only (28)
Number	303	1 and 2	3	4

## Population 2 Notes

1. This population validates two reports for different time periods:

- A) The 5159 which is a monthly report, and
- B) The 218 which is a quarterly report

Validate a quarter by taking all records that should have been reported in ETA 218 for a given quarter and the corresponding records of three 5159 monthly reports for that same reporting period. There may be some dynamic data (values that change during the time period). Therefore, the reported counts and validation counts may not match exactly.

2. Columns 6 and 7 (Step 7), WBA and MBA: Use the final MBA and WBA on the claim for this population.
3. Column 8 (Step 9A), Actual Weeks of Duration: Divide the final MBA by the final WBA and round to the next highest whole number. The number of actual weeks of duration is unrelated to the number of weeks compensated. If the claim included partial payments, there will be more weeks compensated than actual weeks of duration. For example, if the final MBA is \$5,200.00 and the final WBA is \$200.00, the actual weeks of duration are 26. This claimant, however, may have been compensated for 30 weeks if partial payments were made on the claim.
4. The balance on the claim may not be zero if the state retains the balance for disqualified weeks on its database. For example, the final MBA is \$5,200.00; the final WBA is \$200.00; but 13 weeks were disqualified. The disqualified portion of \$2,600.00 should be removed from the final MBA before loading the file into the software. Therefore, the final MBA will be \$2,600.00, and the actual weeks of duration will be 13.
5. The range of duration breakouts is not validated. Only the totals are validated.

**Table A.3.1**  
**Population 3 Subpopulations**  
**Claims – Claimant Eligibility**  
**Claim Filed Date or Original Monetary Determination Date**  
**For Claim Falls within Reporting/Validation Period**

Sub pop #	Report, Line, and Column	2 (Step 1B)  SSN	3 (Step 3A) (Rules 1 & 6) (Step 3C) (Rule 1)  Date Claim Filed/IB-4 Sent	4 (Step 2A) (Rule 1))  Type of UI Program	5 (Step 3)  Type of Claim	6 (Step 4)  Program Type	7 (Step 5)  Intrastate/ Interstate	8 (Step 6A) (Step 6B)  Date of Original Monetary <sup>a</sup>	9 (Step 6C) (Step 6D)  Sufficient/ Insufficient/ Combined Wages	10 (Step 7)  WBA	11 (Step 8A) (Step 8B)  MBA	12 (Step 8A)  Potential Weeks of Duration <sup>b</sup>	13 (Step 8B)  Potential Weeks Maximum Duration
NEW UI CLAIMS (3.1 through 3.14) 1) Random sample: 60 or 200; 2) Supplemental sample--missing strata													
3.1	5159A-101-2 218A-100-2	Required	Within Quarter	Regular UI	New	UI	Intrastate	Within Quarter	Insufficient	Must be blank	Must be blank or 0	Must be blank or 0	Must be blank
3.2	5159A-101-2 218A-100 (3-6) 218B-103 (14, 19)	Required	Within Quarter	Regular UI	New	UI	Intrastate	Within Quarter	Sufficient New BY	Maximum	> 0	> 0	Y
3.3	5159A-101-2 218A-100 (3-5) 218B-101 (8-13)	Required	Within Quarter	Regular UI	New	UI	Intrastate	Within Quarter	Sufficient New BY	Maximum	> 0	> 0	N
3.4	5159A-101-2 218A-100 (3-4) 218B-103 (14, 19)	Required	Within Quarter	Regular UI	New	UI	Intrastate	Within Quarter	Sufficient New BY	Less than Maximum	> 0	> 0	Y
3.5	5159A-101-2 218A-100 (3-4) 218B-101 (8-13)	Required	Within Quarter	Regular UI	New	UI	Intrastate	Within Quarter	Sufficient New BY	Less than Maximum	> 0	> 0	N
3.6	5159A-101-2 218A-100-3	Required	Within Quarter	Regular UI	New	UI	Intrastate	Within Quarter	Sufficient No BY <sup>c</sup>	Must be blank	Must be blank or 0	Must be blank or 0	Must be blank
3.7	5159A-101-2	Required	Within Quarter	Regular UI	New	UI	Intrastate	Must be blank	Must be blank	Must be blank	Must be blank or 0	Must be blank or 0	Must be blank
3.8	5159A-101-7 218A-100-2	Required	Within Quarter	Regular UI	New	UI	Interstate Received as Liable State*	Within Quarter	Insufficient	Must be blank	Must be blank or 0	Must be blank or 0	Must be blank



Sub pop #	Report, Line, and Column	2 (Step 1B) SSN	3 (Step 3A) (Rules 1 & 6) (Step 3C) (Rule 1) Date Claim Filed/IB-4 Sent	4 (Step 2A) (Rule 1)) Type of UI Program	5 (Step 3) Type of Claim	6 (Step 4) Program Type	7 (Step 5) Intrastate/ Interstate	8 (Step 6A) (Step 6B) Date of Original Monetary <sup>a</sup>	9 (Step 6C) (Step 6D) Sufficient/ Insufficient/ Combined Wages	10 (Step 7) WBA	11 (Step 8A) (Step 8B) MBA	12 (Step 8A) Potential Weeks of Duration <sup>b</sup>	13 (Step 8B) Potential Weeks Maximum Duration
3.9	5159A-101-7 218A-100 (3-6) 218B-103 (14, 19)	Required	Within Quarter	Regular UI	New	UI	Interstate Received as Liable State*	Within Quarter	Sufficient New BY	Maximum	> 0	> 0	Y
3.10	5159A-101-7 218A-100 (3-5) 218B-101 (8-13)	Required	Within Quarter	Regular UI	New	UI	Interstate Received as Liable State*	Within Quarter	Sufficient New BY	Maximum	> 0	> 0	N
3.11	5159A-101-7 218A-100 (3-4) 218B-103 (14, 19)	Required	Within Quarter	Regular UI	New	UI	Interstate Received as Liable State*	Within Quarter	Sufficient New BY	Less than Maximum	> 0	> 0	Y
3.12	5159A-101-7 218A-100 (3-4) 218B-101 (8-13)	Required	Within Quarter	Regular UI	New	UI	Interstate Received as Liable State*	Within Quarter	Sufficient New BY	Less than Maximum	> 0	> 0	N
3.13	5159A-101-7 218A-100-3	Required	Within Quarter	Regular UI	New	UI	Interstate Received as Liable State*	Within Quarter	Sufficient No BY <sup>c</sup>	Must be blank	Must be blank or 0	Must be blank or 0	Must be blank
3.14	5159A-101-7	Required	Within Quarter	Regular UI	New	UI	Interstate Received as Liable State*	Must be blank	Must be blank	Must be blank	Must be blank or 0	Must be blank or 0	Must be blank
NEW UCFE/UCX CLAIMS (3.15 through 3.18) 1) Minimum sample: First two cases from each subpopulation													
3.15	5159A-102-2	Required	Within Quarter	Regular UI	New	UCFE	Intrastate						
3.16	5159A-103-2	Required	Within Quarter	Regular UI	New	UCX	Intrastate						
3.17	5159A-102-7	Required	Within Quarter	Regular UI	New	UCFE	Interstate Received as Liable State*						
3.18	5159A-103-7	Required	Within Quarter	Regular UI	New	UCX	Interstate Received as Liable State*						

Sub pop #	Report, Line, and Column	2 (Step 1B) SSN	3 (Step 3A) (Rules 1 & 6) (Step 3C) (Rule 1) Date Claim Filed/IB-4 Sent	4 (Step 2A) (Rule 1)) Type of UI Program	5 (Step 3) Type of Claim	6 (Step 4) Program Type	7 (Step 5) Intrastate/ Interstate	8 (Step 6A) (Step 6B) Date of Original Monetary <sup>a</sup>	9 (Step 6C) (Step 6D) Sufficient/ Insufficient/ Combined Wages	10 (Step 7) WBA	11 (Step 8A) (Step 8B) MBA	12 (Step 8A) Potential Weeks of Duration <sup>b</sup>	13 (Step 8B) Potential Weeks Maximum Duration
INTERSTATE FILED FROM AGENT STATE CLAIMS (3.19 through 3.21) 1) Minimum sample: First two cases from each subpopulation													
3.19	5159A-101-4	Required	Within Quarter	Regular UI	New Transitional Additional Reopened	UI	Interstate Filed from Agent State*						
3.20	5159A-102-4	Required	Within Quarter	Regular UI	New Transitional Additional Reopened	UCFE	Interstate Filed from Agent State*						
3.21	5159A-103-4	Required	Within Quarter	Regular UI	New Transitional Additional Reopened	UCX	Interstate Filed from Agent State*						
INTERSTATE CLAIMS TAKEN AS AGENT STATE (3.22 through 3.24) 1) Minimum sample: First two cases from each subpopulation													
3.22	5159A-101 (4, 5)	Required	Within Quarter	Regular UI	New Transitional Additional Reopened	UI	Interstate Taken as Agent State*						
3.23	5159A-102 (4, 5)	Required	Within Quarter	Regular UI	New Transitional Additional Reopened	UCFE	Interstate Taken as Agent State*						
3.24	5159A-103 (4, 5)	Required	Within Quarter	Regular UI	New Transitional Additional Reopened	UCX	Interstate Taken as Agent State*						
INTRASTATE AND INTERSTATE TRANSITIONAL CLAIMS (3.25 through 3.33) 1) Random sample: 30 or 100													
3.25	5159A-101-6 218A-100-2	Required	Within Quarter	Regular UI	Transitional	UI		Within Quarter	Insufficient	Must be blank	Must be blank or 0	Must be blank or 0	Must be blank

Sub pop #	Report, Line, and Column	2 (Step 1B) SSN	3 (Step 3A) (Rules 1 & 6) (Step 3C) (Rule 1) Date Claim Filed/IB-4 Sent	4 (Step 2A) (Rule 1)) Type of UI Program	5 (Step 3) Type of Claim	6 (Step 4) Program Type	7 (Step 5) Intrastate/ Interstate	8 (Step 6A) (Step 6B) Date of Original Monetary <sup>a</sup>	9 (Step 6C) (Step 6D) Sufficient/ Insufficient/ Combined Wages	10 (Step 7) WBA	11 (Step 8A) (Step 8B) MBA	12 (Step 8A) Potential Weeks of Duration <sup>b</sup>	13 (Step 8B) Potential Weeks Maximum Duration	
3.26	5159A-101-6 218A-100 (3-6) 218B-103 (14, 19)	Required	Within Quarter	Regular UI	Transitional	UI		Within Quarter	Sufficient New BY	Maximum	> 0	> 0	Y	
3.27	5159A-101-6 218A-100 (3-5) 218B-101 (8-13)	Required	Within Quarter	Regular UI	Transitional	UI		Within Quarter	Sufficient New BY	Maximum	> 0	> 0	N	
3.28	5159A-101-6 218A-100 (3-4) 218B-103 (14, 19)	Required	Within Quarter	Regular UI	Transitional	UI		Within Quarter	Sufficient New BY	Less than Maximum	> 0	> 0	Y	
3.29	5159A-101-6 218A-100 (3-4) 218B-101 (8-13)	Required	Within Quarter	Regular UI	Transitional	UI		Within Quarter	Sufficient New BY	Less than Maximum	> 0	> 0	N	
3.30	5159A-101-6 218A-100-3	Required	Within Quarter	Regular UI	Transitional	UI		Within Quarter	Sufficient No BY <sup>c</sup>	Must be blank	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank
3.31	5159A-101-6	Required	Within Quarter	Regular UI	Transitional	UI		Must be blank	Must be blank	Must be blank	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank
3.32	5159A-102-6	Required	Within Quarter	Regular UI	Transitional	UCFE								
3.33	5159A-103-6	Required	Within Quarter	Regular UI	Transitional	UCX								
CWC CLAIMS (3.34 through 3.39) 1) Random sample: 30 or 100; 2) Supplemental sample--missing strata														
3.34	586A-101-1	Required	Within Quarter	Regular UI	CWC New		CWC Intrastate	Must be blank	Insufficient (Wages Not Combined)*	Must be blank	Must be blank or 0	Must be blank or 0	Must be blank	
3.35	586A-101 (1-2)	Required	Within Quarter	Regular UI	CWC New		CWC Intrastate	Within Quarter	Sufficient New CWC BY					
3.36	586A-102-1	Required	Within Quarter	Regular UI	CWC New		CWC Interstate	Must be blank	Insufficient (Wages Not Combined)*	Must be blank	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank

Sub pop #	Report, Line, and Column	2 (Step 1B) SSN	3 (Step 3A) (Rules 1 & 6) (Step 3C) (Rule 1) Date Claim Filed/IB-4 Sent	4 (Step 2A) (Rule 1)) Type of UI Program	5 (Step 3) Type of Claim	6 (Step 4) Program Type	7 (Step 5) Intrastate/ Interstate	8 (Step 6A) (Step 6B) Date of Original Monetary <sup>a</sup>	9 (Step 6C) (Step 6D) Sufficient/ Insufficient/ Combined Wages	10 (Step 7) WBA	11 (Step 8A) (Step 8B) MBA	12 (Step 8A) Potential Weeks of Duration <sup>b</sup>	13 (Step 8B) Potential Weeks Maximum Duration
3.37	586A-102 (1-2)	Required	Within Quarter	Regular UI	CWC New		CWC Interstate	Within Quarter	Sufficient New CWC BY				
3.38	586A-101-2	Required	A Prior Quarter	Regular UI	New CWC BY for CWC Claim Filed in Prior Quarter*		CWC Intrastate	Within Quarter	Sufficient New CWC BY				
3.39	586A-102-2	Required	A Prior Quarter	Regular UI	New CWC BY for CWC Claim Filed in Prior Quarter*		CWC Interstate	Within Quarter	Sufficient New CWC BY				
NEW CLAIMS FILED IN THE PRIOR QUARTER (3.40 through 3.45) <sup>d</sup> 1) Random sample: 30 or 100; 2) Supplemental sample--missing strata													
3.40	218A-100-2	Required	A Prior Quarter	Regular UI	New Claim Filed in Prior Quarter*	UI		Within Quarter	Insufficient	Must be blank	Must be blank or 0	Must be blank or 0	Must be blank
3.41	218A-100 (3-6) 218B-103 (14, 19)	Required	A Prior Quarter	Regular UI	New Claim Filed in Prior Quarter*	UI		Within Quarter	Sufficient New BY	Maximum	> 0	> 0	Y
3.42	218A-100 (3-5) 218B-101 (8-13)	Required	A Prior Quarter	Regular UI	New Claim Filed in Prior Quarter*	UI		Within Quarter	Sufficient New BY	Maximum	> 0	> 0	N
3.43	218A-100 (3-4) 218B-103 (14, 19)	Required	A Prior Quarter	Regular UI	New Claim Filed in Prior Quarter*	UI		Within Quarter	Sufficient New BY	Less than Maximum	> 0	> 0	Y
3.44	218A-100 (3-4) 218B-101 (8-13)	Required	A Prior Quarter	Regular UI	New Claim Filed in Prior Quarter*	UI		Within Quarter	Sufficient New BY	Less than Maximum	> 0	> 0	N
3.45	218A-100-3	Required	A Prior Quarter	Regular UI	New Claim Filed in Prior Quarter*	UI		Within Quarter	Sufficient No BY <sup>c</sup>	Must be blank	Must be blank or 0	Must be blank or 0	Must be blank
ENTERING SELF-EMPLOYMENT PROGRAM (3.46) 1) Minimum sample: First two cases													

Sub pop #	Report, Line, and Column	2 (Step 1B)  SSN	3 (Step 3A) (Rules 1 & 6) (Step 3C) (Rule 1)  Date Claim Filed/IB-4 Sent	4 (Step 2A (Rule 1))  Type of UI Program	5 (Step 3)  Type of Claim	6 (Step 4)  Program Type	7 (Step 5)  Intrastate/ Interstate	8 (Step 6A) (Step 6B)  Date of Original Monetary <sup>a</sup>	9 (Step 6C) (Step 6D)  Sufficient/ Insufficient/ Combined Wages	10 (Step 7)  WBA	11 (Step 8A) (Step 8B)  MBA	12 (Step 8A)  Potential Weeks of Duration <sup>b</sup>	13 (Step 8B)  Potential Weeks Maximum Duration
3.46	5159A-201-13	Required	Within Quarter	Regular UI	Entering Self-Employment								

\*These values are abbreviated in the record layout data format specifications (see Appendix A of ETA Operations Guide 411) but are shown here in their entirety for informational purposes.

<sup>a</sup>For subpopulations 3.34 through 3.39, “original monetary” refers to the first monetary determination/redetermination using wages from more than one state.

<sup>b</sup>Observations reported in all populations which require the number of weeks of potential duration will be sorted by the number of weeks and subtotaled by the range of weeks.

<sup>c</sup>This situation will only occur when the State does not automatically establish a new benefit year for claimants who are monetarily eligible for benefits.

<sup>d</sup>These are new or transitional claims filed in a prior quarter. States should use the same Federal generic value of “Prior Qtr New Claim” for either type in the Population 3 extract file.

**Table A.3.2**  
 Population 3A Subpopulations  
 Claims – Claimant Eligibility  
 Claim Filed Date or Original Monetary Determination Date  
 For Claim Falls within Reporting/Validation Period

Subpop #	Report, Line, and Column	2 (Step 1B) SSN	3 (Step 3B) (Rule 1) Date Claim Filed	4 (Step 2A) Type of UI Program	5 (Step 3B) (Rule 2) Type of Claim	6 (Step 4) Program Type	7 (Step 5) Intrastate/ Interstate	8 (Step 3B) (Rule 3) Unclaimed Week	9 (Step 3B) (Rule 4) Separation Date	10 (Step 3B) (Rule 5) Last Employer	11 (Step 3B) (Rule 6) Separation Reason
ADDITIONAL CLAIMS (3a.1 through 3a.6) 1) Random sample: 60 or 200											
3a.1	5159A-101-3	Required	Required	Regular UI	Additional	UI	Intrastate		Required	Required	Required
3a.2	5159A-102-3	Required	Required	Regular UI	Additional	UCFE	Intrastate		Required	Required	Required
3a.3	5159A-103-3	Required	Required	Regular UI	Additional	UCX	Intrastate		Required	Required	Required
3a.4	5159A-101-7	Required	Required	Regular UI	Additional	UI	Interstate Received as Liable State*		Required	Required	Required
3a.5	5159A-102-7	Required	Required	Regular UI	Additional	UCFE	Interstate Received as Liable State*		Required	Required	Required
3a.6	5159A-103-7	Required	Required	Regular UI	Additional	UCX	Interstate Received as Liable State*		Required	Required	Required

\*These values are abbreviated in the record layout data format specifications (see Appendix A of ETA Operations Guide 411) but are shown here in their entirety for informational purposes.

**Table A.3.3**  
 Relationship between ETA 5159A and 586A Reports and Claims Subpopulations in Population 3

Program	Line No.	Initial Claims						Entering Self-employment, All Programs (13)
		New Intrastate Excluding Transitional (2)	Additional Intrastate (3)	Interstate Filed from Agent State (4)	Interstate Taken as Agent State (5)	Transitional (6)	Interstate Received as Liable State (7)	
State UI	101	1-7	3a.1	19 and 22	22	25-31	8-14 and 3a.4	
UCFE, No UI	102	15	3a.2	20 and 23	23	32	17 and 3a.5	
UCX Only	103	16	3a.3	21 and 24	24	33	18 and 3a.6	
State UI	201							46

State UI	Line No.	New Claims (1)	Persons Establishing Benefit Years (2)
Intrastate	101	34 and 35	35 and 38
Interstate Recvd. as Paying State	102	36 and 37	37 and 39

**Table A.3.4**  
 Relationship between ETA 218 Reports and New UI Claims Subpopulations in Population 3

SECTION A. MONETARY DETERMINATIONS

LINE NO.	DETERMINATIONS		NUMBER OF CLAIMANTS ESTABLISHING BENEFIT YEARS		
	Insufficient Wage Credits (2)	Sufficient Wage Credits (3)	Total (4)	Maximum Weekly Benefit (5)	Maximum Benefit & Duration (6)
100	1, 8, 25, 40	2-6 9-13 26-30 41-45	2-5 9-12 26-29 41-44	2-3 9-10 26-27 41-42	2, 9, 26, 41

SECTION B. POTENTIAL DURATION FOR DETERMINATIONS ESTABLISHING BENEFIT YEARS

LINE NO.	ITEM	LESS THAN MAXIMUM WEEKS OF DURATION		
		Less than 26 Weeks (8-13)		
101	Potential	3, 5, 10, 12, 27, 29, 42, 44		
		MAXIMUM WEEKS OF DURATION	Number at Maximum Duration (19)	Average Weeks Duration <sup>a</sup> (20)
		26-27 Weeks (14)		
103	Potential	2, 4, 9, 11, 26, 28, 41, 43	2, 4, 9, 11, 26, 28, 41, 43	Average Calculation from Total Column for Subpopulations 2-5, 9-12, 26-29, and 41-44



## Population 3/3a Notes

### 1. Overview

Population 3 includes new, transitional and CWC claims. Population 3a includes additional claims. The only additional and reopened claims reported in Population 3 are interstate filed from agent state claims from the LADT report or interstate taken as agent state claims. New and transitional UI claims are reported on the 5159 and the monetary determinations associated with these claims are reported on the ETA 218. For new and transitional UI claims, states are required to produce a single record showing the claim and monetary. This is the only way to ensure that each claim is reported once and only once on the ETA 218.

***ETA 5159: All claims filed (established) during the report/validation quarter.***

Validation of New and Transitional UI claims validates two Federal reports:

ETA 218: New and transitional UI claims where the original monetary determination was issued during the quarter. The claims will match three months of the ETA 5159 report, and their most recent monetary determinations will match the quarterly ETA 218 report (see the tables on the previous page for the relationship between claims populations and cells on the ETA 5159 and ETA 218 reports).

***UCFE and UCX claims are included only on the ETA 5159 report and not on the ETA 218 report. Therefore, columns 8 through 13 are optional for UCFE and UCX claims.***

CWC claims are extracted, processed and reported using completely separate logic from that used to extract, process and report non-CWC claims. In fact, each CWC claim is reported twice, once as a CWC claim and once as a regular claim. The CWC technical assistance guide, in Appendix C, provides instructions for extracting and labeling CWC claims.

### 2. Monetary Determinations

Many states generate a monetary determination automatically when a claim is filed, even when a wage request is pending. For these states, the counts of new and transitional UI claims on the 5159 will match the counts of original monetary determinations on the ETA 218.

Some states do not automatically generate a monetary determination when a claim is filed. For these states, the counts on the two reports may differ when a claim is filed in one quarter, but the original monetary determination for that claim is generated in the following quarter. The validation methodology handles these situations as follows:

- A) When no original monetary determination was sent during the quarter being validated in which the new claim was filed, the claim will be reported on the ETA 5159, but there will be no monetary status reported on the ETA 218 for the quarter being validated. These claims are assigned to subpopulations 3.7 (new intrastate), 3.14 (new interstate), and 3.31 (transitional).
- B) When the original monetary determination was sent during the quarter being validated but the claim was filed during the previous quarter, the monetary status will be reported on the ETA 218, but there will be no claim reported on the ETA 5159 for the quarter being validated. These monetary determinations are assigned to subpopulations 3.40 through 3.45, depending on their monetary status.

### 3. Reporting Criteria

The ETA 5159 report criteria and procedures for building claims extract files are as follows:

- The date the claim was filed or processed determines the reporting on the 5159.
- Assign a claim type category (new, transitional, or additional) and sort into the categories in Column 4.
- Assign an intrastate or interstate category based on the liable and agent state(s) and sort into the categories in Column 7.
- Assign a program type (UI, UCFE, or UCX) based on the wages present on the most recent monetary determination at the time the report program is run and sort into the categories in Column 6. If no wages were found, assign the program type based on the type of claim filed. Follow the current program type hierarchy (any UI wages are UI; any UCFE wages without UI are UCFE; and UCX wages are only UCX).

The following table shows how various types of claims are assigned to the reporting categories on the 5159 report based on the type of claim and the intra/interstate type.

**Table A.3.5**  
Mapping of Claim Types to ETA 5159 Report Items

Type of Claim	New Intrastate Excluding Transitional (2)	Additional Intrastate (3)	Interstate Filed from Agent State (4)	Interstate Taken as Agent State (5)	Transitional (6)	Interstate Received as Liable State (7)
New	X		X	X		X
Transitional			X	X	X	
Additional		X	X	X		X
Reopen			X	X		

The ETA 218 report criteria and procedures for extracting information from monetary determinations are as follows:

- The date of the original monetary determination determines the reporting on the ETA 218.
- Based on the most recent monetary determination/WBA at the time the report is run, assign a monetary determination status and sort into the categories in Column 9.

Column (7) Lines 101 — 103 (Interstate Additional Claims):

When both Populations 3 and 3a are loaded, the software transfers the count of any interstate additional claims from Population 3a to Population 3. Thus the validation counts for Lines 101 — 103 (7) in Population 3, may be higher after Population 3a is loaded.

The count of UI interstate additional claims on the RV Summary will be the sum of 3.8 — 3.14 plus 3a.4.

The count of UCFE interstate additional claims on the RV Summary will be the sum of 3.17 and 3a.5.

The count of UCX interstate additional claims on the RV Summary will be the sum of 3.18 and 3a.6.

#### **4. Summary of Subpopulations**

**3.1:** These records represent insufficient monetary determinations (ineligible claims).

**3.2 — 3.5:** These records represent sufficient monetary determinations (eligible claims) with a new benefit year established. These records include monetary information in columns 8— 13 (Date of the Original Monetary, Sufficient/Insufficient, WBA, MBA, Potential Weeks of Duration and Potential Weeks of Maximum Duration).

**3.6:** These records represent sufficient monetary determinations with no new benefit year established. This applies to states where a new benefit year is not established at the same time that the claim is filed.

**3.7:** These records represent new claims filed where no monetary determination was issued.

**3.8 — 3.14:** These records represent interstate received as liable claims and are assigned to subpopulations using the same logic as subpopulations 3.1 — 3.7.

- 3.15 — 3.18:** These records represent new UCFE/UCX claims. The monetary information columns 8 — 13 (Date of the Original Monetary, Sufficient/Insufficient, WBA, MBA, Potential Weeks of Duration, and Potential Weeks of Maximum Duration) are not required because these claims are not reported on the ETA 218. You may leave data in these fields in the extract file. The software will ignore them.
- 3.19 — 3.21:** These records represent interstate filed from agent state claims. This information comes from the LADT claimant records. Instructions for building the records to be added to the extract file from the LADT detail records can be found in Appendix C, Technical Guidance.
- 3.22 — 3.24:** These records represent interstate taken as agent state claims. These are claims against other states that are filed in your state agency.
- 3.25 — 3.33:** These records represent transitional claims (UI/UCFE/UCX). Transitional UI claims are reported on the ETA 5159 and the ETA 218.
- 3.34 — 3.37:** These records represent new CWC claims. Procedures for validating CWC claims and payments are found in Appendix C.

A new CWC claim occurs when the first IB4 request to transfer wages is sent to another state for a claim.

If the first IB4 for a claim is sent during a quarter and a monetary determination or redetermination is issued using wages from more than one state during that quarter, it constitutes a new CWC claim and a new CWC benefit year.

These records are assigned to subpopulations 3.35 (for intrastate) and 3.37 (for interstate).

If the first IB4 for a claim is sent during a quarter but no monetary determination or redetermination using wages from more than one state is issued during that quarter, then this constitutes an insufficient CWC claim (no new benefit year is established), and these transactions are assigned to subpopulations 3.34 (for intrastate) and 3.36 (for interstate).

There are several reasons why a monetary determination using wages from more than one state may not be issued in the quarter in which the initial IB-4 was sent for a claim:

- 1) Wages were not found in the other state
- 2) Wages were found in the other state but not used
- 3) Wages were found but used in a subsequent quarter

**3.38 — 3.39:** These transactions represent new CWC benefit years where the new CWC claim was filed in a prior quarter. This occurs when the first monetary determination or redetermination using wages from more than one state was issued during the quarter but the initial IB4 was sent during a previous quarter.

**3.40 — 3.45:** These transactions represent new UI claims filed in a quarter prior to the quarter being validated when the initial monetary determination or redetermination was issued during the quarter being validated.

**3.46:** These transactions represent claims filed under the entering self-employment program.

**3a.1 — 3a.6:** These transactions represent intrastate and interstate additional claims (UI/UCFE/UCX).

## **5. Commuter Claim**

If a claimant commuted from the claimant's residence in another state to a job in your (the liable) state and that person filed directly with your (the liable) state, the claim is reported as an intrastate claim.

**Table A.4.1**  
**Population 4 Subpopulations**  
**Payments/Weeks Compensated**  
**Payment Mail Date Falls within Reporting/Validation Period**

Sub pop #	Report, Line, and Column	2 (Step 1C) (Rule 1) SSN	3 (Step 1C) (Rule 2) Check Number Unique ID	4 (Step 2A) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/Interstate	7 (Step 10A) (Step 10B) (Step 10F) (Step 10G) Type of Compensation	8 (Step 10D) (Step 10E) Partial/Total Weeks of Unemployment	9 (Step 10D) (Rule 2) (Step 10E) (Rule 2) Earnings	10 (Step 10D) (Rule 3) (Step 10E) (Rule 3) WBA	11 (Step 12A) UI Amount	12 (Step 12B) UCFE Amount	13 (Step 12C) UCX Amount	14 (Step 12D) CWC Amount	15 (Step 12E) Self-Employment Amount	16 (Step 13) Week Ending Date	17 (Step 14) Mail Date
FIRST PAYMENTS (4.1 through 4.16) 1) Random sample: 60 or 200; 2) Supplemental sample--missing strata; 3) Supplemental sample--outliers																	
4.1	5159B-301 (14-15) 5159B-302 (14-15) 9050-All-C2	Required	Required	Regular UI	UI Only	Intrastate	First Payment	Total	≥ 0	> 0	> 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Required	Required
4.2	5159B-301 (14-16) 5159B-302 (14-16) 9050-All-C6	Required	Required	Regular UI	UI Only	Interstate	First Payment	Total	≥ 0	> 0	> 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Required	Required
4.3	5159B-301 (14, 15, 17) 5159B-302 (14, 15, 17) 9050-All-C2	Required	Required	Regular UI	Joint UI/Federal	Intrastate	First Payment	Total	≥ 0	> 0	> 0	> 0 if Col. 13 = 0 <sup>a</sup>	> 0 if Col. 12 = 0 <sup>a</sup>	Must be blank or 0	Must be blank or 0	Required	Required
4.4	5159B-301 (14-17) 5159B-302 (14-17) 9050-All-C6	Required	Required	Regular UI	Joint UI/Federal	Interstate	First Payment	Total	≥ 0	> 0	> 0	> 0 if Col. 13 = 0 <sup>a</sup>	> 0 if Col. 12 = 0 <sup>a</sup>	Must be blank or 0	Must be blank or 0	Required	Required
4.5	5159B-301 (17-18) 5159B-302 (17-18) 9050-All-C3	Required	Required	Regular UI	UCFE Only or UCFE/UCX	Intrastate	First Payment	Total	≥ 0	> 0	Must be blank or 0	> 0	0 for UCFE only, > 0 for UCFE/UCX	Must be blank or 0	Must be blank or 0	Required	Required
4.6	5159B-301 (17-18) 5159B-302 (17-18) 9050-All-C7	Required	Required	Regular UI	UCFE Only or UCFE/UCX	Interstate	First Payment	Total	≥ 0	> 0	Must be blank or 0	> 0	0 for UCFE only, > 0 for UCFE/UCX	Must be blank or 0	Must be blank or 0	Required	Required

Sub pop #	Report, Line, and Column	2 (Step 1C) (Rule 1) SSN	3 (Step 1C) (Rule 2) Check Number Unique ID	4 (Step 2A) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 10A) (Step 10B) (Step 10F) (Step 10G) Type of Compensation	8 (Step 10D) (Step 10E) Partial/ Total Weeks of Unemployment	9 (Step 10D) (Rule 2) (Step 10E) (Rule 2) Earnings	10 (Step 10D) (Rule 3) (Step 10E) (Rule 3) WBA	11 (Step 12A) UI Amount	12 (Step 12B) UCFE Amount	13 (Step 12C) UCX Amount	14 (Step 12D) CWC Amount	15 (Step 12E) Self-Employment Amount	16 (Step 13) Week Ending Date	17 (Step 14) Mail Date
4.7	5159B-301 (17, 19) 5159B-302 (17, 19) 9050-All-C4	Required	Required	Regular UI	UCX Only	Intrastate	First Payment	Total	≥ 0	> 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Must be blank or 0	Required	Required
4.8	5159B-301 (17, 19) 5159B-302 (17, 19) 9050-All-C8	Required	Required	Regular UI	UCX Only	Interstate	First Payment	Total	≥ 0	> 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Must be blank or 0	Required	Required
4.9	5159B-301-14 5159B-302-14 9050-All-C2 9050-Part-C2	Required	Required	Regular UI	UI Only	Intrastate	First Payment	Partial	≥ 0	> 0	> 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Required	Required
4.10	5159B-301 (14, 16) 5159B-302 (14, 16) 9050-Part-C6	Required	Required	Regular UI	UI Only	Interstate	First Payment	Partial	≥ 0	> 0	> 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Required	Required
4.11	5159B-301 (14, 17) 5159B-302 (14, 17) 9050-All-C2 9050-Part-C2	Required	Required	Regular UI	Joint UI/Federal	Intrastate	First Payment	Partial	≥ 0	> 0	> 0	> 0 if Col. 13 = 0 <sup>a</sup>	> 0 if Col. 12 = 0 <sup>a</sup>	Must be blank or 0	Must be blank or 0	Required	Required
4.12	5159B-301 (14, 16, 17) 5159B-302 (14, 16, 17) 9050-Part-C6	Required	Required	Regular UI	Joint UI/Federal	Interstate	First Payment	Partial	≥ 0	> 0	> 0	> 0 if Col. 13 = 0 <sup>a</sup>	> 0 if Col. 12 = 0 <sup>a</sup>	Must be blank or 0	Must be blank or 0	Required	Required
4.13	5159B-301 (17-18) 5159B-302 (17-18) 9050-Part-C3	Required	Required	Regular UI	UCFE Only or UCFE/UCX	Intrastate	First Payment	Partial	≥ 0	> 0	Must be blank or 0	> 0	0 for UCFE only, > 0 for UCFE/UCX	Must be blank or 0	Must be blank or 0	Required	Required
4.14	5159B-301 (17-18) 5159B-302 (17-18) 9050-Part-C7	Required	Required	Regular UI	UCFE Only or UCFE/UCX	Interstate	First Payment	Partial	≥ 0	> 0	Must be blank or 0	> 0	0 for UCFE only, > 0 for UCFE/UCX	Must be blank or 0	Must be blank or 0	Required	Required

Sub pop #	Report, Line, and Column	2 (Step 1C) (Rule 1) SSN	3 (Step 1C) (Rule 2) Check Number Unique ID	4 (Step 2A) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 10A) (Step 10B) (Step 10F) (Step 10G) Type of Compensation	8 (Step 10D) (Step 10E) Partial/ Total Weeks of Unemployment	9 (Step 10D) (Rule 2) (Step 10E) (Rule 2) Earnings	10 (Step 10D) (Rule 3) (Step 10E) (Rule 3) WBA	11 (Step 12A) UI Amount	12 (Step 12B) UCFE Amount	13 (Step 12C) UCX Amount	14 (Step 12D) CWC Amount	15 (Step 12E) Self-Employment Amount	16 (Step 13) Week Ending Date	17 (Step 14) Mail Date
4.15	5159B-301 (17, 19) 5159B-302 (17, 19) 9050-Part-C4	Required	Required	Regular UI	UCX Only	Intrastate	First Payment	Partial	≥ 0	> 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Must be blank or 0	Required	Required
4.16	5159B-301 (17, 19) 5159B-302 (17, 19) 9050-Part-C8	Required	Required	Regular UI	UCX Only	Interstate	First Payment	Partial	≥ 0	> 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Must be blank or 0	Required	Required
CONTINUED TOTAL PAYMENTS (4.17 through 4.24) 1) Supplemental sample--outliers																	
4.17	5159B-301 (14-15) 5159B-302 (14-15) 9051-All-C2	Required	Required	Regular UI	UI Only	Intrastate	Continued Payment	Total	≥ 0	> 0	> 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Required	Required
4.18	5159B-301 (14-16) 5159B-302 (14-16) 9051-All-C6	Required	Required	Regular UI	UI Only	Interstate	Continued Payment	Total	≥ 0	> 0	> 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Required	Required
4.19	5159B-301 (14, 15, 17) 5159B-302 (14, 15, 17) 9051-All-C2	Required	Required	Regular UI	Joint UI/Federal	Intrastate	Continued Payment	Total	≥ 0	> 0	> 0	> 0 if Col. 13 = 0 <sup>a</sup>	> 0 if Col. 12 = 0 <sup>a</sup>	Must be blank or 0	Must be blank or 0	Required	Required
4.20	5159B-301 (14-17) 5159B-302 (14-17) 9051-All-C6	Required	Required	Regular UI	Joint UI/Federal	Interstate	Continued Payment	Total	≥ 0	> 0	> 0	> 0 if Col. 13 = 0 <sup>a</sup>	> 0 if Col. 12 = 0 <sup>a</sup>	Must be blank or 0	Must be blank or 0	Required	Required
4.21	5159B-301 (17-18) 5159B-302 (17-18) 9051-All-C3	Required	Required	Regular UI	UCFE Only or UCFE/UCX	Intrastate	Continued Payment	Total	≥ 0	> 0	Must be blank or 0	> 0	0 for UCFE only, > 0 for UCFE/UCX	Must be blank or 0	Must be blank or 0	Required	Required
4.22	5159B-301 (17-18) 5159B-302 (17-18) 9051-All-C7	Required	Required	Regular UI	UCFE Only or UCFE/UCX	Interstate	Continued Payment	Total	≥ 0	> 0	Must be blank or 0	> 0	0 for UCFE only, > 0 for UCFE/UCX	Must be blank or 0	Must be blank or 0	Required	Required



Sub pop #	Report, Line, and Column	2 (Step 1C) (Rule 1) SSN	3 (Step 1C) (Rule 2) Check Number Unique ID	4 (Step 2A) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 10A) (Step 10B) (Step 10F) (Step 10G) Type of Compensation	8 (Step 10D) (Step 10E) Partial/ Total Weeks of Unemployment	9 (Step 10D) (Rule 2) (Step 10E) (Rule 2) Earnings	10 (Step 10D) (Rule 3) (Step 10E) (Rule 3) WBA	11 (Step 12A) UI Amount	12 (Step 12B) UCFE Amount	13 (Step 12C) UCX Amount	14 (Step 12D) CWC Amount	15 (Step 12E) Self-Employment Amount	16 (Step 13) Week Ending Date	17 (Step 14) Mail Date
4.23	5159B-301 (17, 19) 5159B-302 (17, 19) 9051-All-C4	Required	Required	Regular UI	UCX Only	Intrastate	Continued Payment	Total	≥ 0	> 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Must be blank or 0	Required	Required
4.24	5159B-301 (17, 19) 5159B-302 (17, 19) 9051-All-C8	Required	Required	Regular UI	UCX Only	Interstate	Continued Payment	Total	≥ 0	> 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Must be blank or 0	Required	Required
CONTINUED PARTIAL PAYMENTS (4.25 through 4.32)																	
1) Random sample: 30 or 100																	
4.25	5159B-301-14 5159B-302-14 9051-Part-C2	Required	Required	Regular UI	UI Only	Intrastate	Continued Payment	Partial	≥ 0	> 0	> 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Required	Required
4.26	5159B-301 (14, 16) 5159B-302 (14, 16) 9051-Part-C6	Required	Required	Regular UI	UI Only	Interstate	Continued Payment	Partial	≥ 0	> 0	> 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Required	Required
4.27	5159B-301 (14, 17) 5159B-302 (14, 17) 9051-Part-C2	Required	Required	Regular UI	Joint UI/Federal	Intrastate	Continued Payment	Partial	≥ 0	> 0	> 0	> 0 if Col. 13 = 0 <sup>a</sup>	> 0 if Col. 12 = 0 <sup>a</sup>	Must be blank or 0	Must be blank or 0	Required	Required
4.28	5159B-301 (14, 16, 17) 5159B-302 (14, 16, 17) 9051-Part-C6	Required	Required	Regular UI	Joint UI/Federal	Interstate	Continued Payment	Partial	≥ 0	> 0	> 0	> 0 if Col. 13 = 0 <sup>a</sup>	> 0 if Col. 12 = 0 <sup>a</sup>	Must be blank or 0	Must be blank or 0	Required	Required
4.29	5159B-301 (17-18) 5159B-302 (17-18) 9051-Part-C3	Required	Required	Regular UI	UCFE Only or UCFE/UCX	Intrastate	Continued Payment	Partial	≥ 0	> 0	Must be blank or 0	> 0	0 for UCFE only, > 0 for UCFE/UCX	Must be blank or 0	Must be blank or 0	Required	Required
4.30	5159B-301 (17-18) 5159B-302 (17-18) 9051-Part-C7	Required	Required	Regular UI	UCFE Only or UCFE/UCX	Interstate	Continued Payment	Partial	≥ 0	> 0	Must be blank or 0	> 0	0 for UCFE only, > 0 for UCFE/UCX	Must be blank or 0	Must be blank or 0	Required	Required

Sub pop #	Report, Line, and Column	2 (Step 1C) (Rule 1) SSN	3 (Step 1C) (Rule 2) Check Number Unique ID	4 (Step 2A) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 10A) (Step 10B) (Step 10F) (Step 10G) Type of Compensation	8 (Step 10D) (Step 10E) Partial/ Total Weeks of Unemployment	9 (Step 10D) (Rule 2) (Step 10E) (Rule 2) Earnings	10 (Step 10D) (Rule 3) (Step 10E) (Rule 3) WBA	11 (Step 12A) UI Amount	12 (Step 12B) UCFE Amount	13 (Step 12C) UCX Amount	14 (Step 12D) CWC Amount	15 (Step 12E) Self-Employment Amount	16 (Step 13) Week Ending Date	17 (Step 14) Mail Date	
4.31	5159B-301 (17, 19) 5159B-302 (17, 19) 9051-Part-C4	Required	Required	Regular UI	UCX Only	Intrastate	Continued Payment	Partial	≥ 0	> 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Must be blank or 0	Required	Required	
4.32	5159B-301 (17, 19) 5159B-302 (17, 19) 9051-Part-C8	Required	Required	Regular UI	UCX Only	Interstate	Continued Payment	Partial	≥ 0	> 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Must be blank or 0	Required	Required	
ADJUSTED PAYMENTS (4.33 through 4.42) 1) Supplemental sample--outliers by dollars																		
4.33	5159B-302 (14-15)	Required	Required	Regular UI	UI Only	Intrastate	Adjustment	Total	≥ 0	> 0	> 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0		Required	
4.34	5159B-302 (14-16)	Required	Required	Regular UI	UI Only	Interstate	Adjustment	Total	≥ 0	> 0	> 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0		Required	
4.35	5159B-302 (14, 15, 17)	Required	Required	Regular UI	Joint UI/Federal	Intrastate	Adjustment	Total	≥ 0	> 0	> 0	> 0 if Col. 13 = 0 <sup>a</sup>	> 0 if Col. 12 = 0 <sup>a</sup>	Must be blank or 0	Must be blank or 0		Required	
4.36	5159B-302 (14-17)	Required	Required	Regular UI	Joint UI/Federal	Interstate	Adjustment	Total	≥ 0	> 0	> 0	> 0 if Col. 13 = 0 <sup>a</sup>	> 0 if Col. 12 = 0 <sup>a</sup>	Must be blank or 0	Must be blank or 0		Required	
4.37	5159B-302 (17-18)	Required	Required	Regular UI	UCFE Only or UCFE/ UCX		Adjustment				Must be blank or 0	> 0	0 for UCFE only, > 0 for UCFE/ UCX	Must be blank or 0	Must be blank or 0			Required
4.38	5159B-302 (17, 19)	Required	Required	Regular UI	UCX Only		Adjustment				Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Must be blank or 0			Required

Sub pop #	Report, Line, and Column	2 (Step 1C) (Rule 1) SSN	3 (Step 1C) (Rule 2) Check Number Unique ID	4 (Step 2A) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/Interstate	7 (Step 10A) (Step 10B) (Step 10F) (Step 10G) Type of Compensation	8 (Step 10D) (Step 10E) Partial/Total Weeks of Unemployment	9 (Step 10D) (Rule 2) (Step 10E) (Rule 2) Earnings	10 (Step 10D) (Rule 3) (Step 10E) (Rule 3) WBA	11 (Step 12A) UI Amount	12 (Step 12B) UCFE Amount	13 (Step 12C) UCX Amount	14 (Step 12D) CWC Amount	15 (Step 12E) Self-Employment Amount	16 (Step 13) Week Ending Date	17 (Step 14) Mail Date
4.39	5159B-302-14	Required	Required	Regular UI	UI Only	Intrastate	Adjustment	Partial	≥ 0	> 0	> 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0		Required
4.40	5159B-302 (14, 16)	Required	Required	Regular UI	UI Only	Interstate	Adjustment	Partial	≥ 0	> 0	> 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0		Required
4.41	5159B-302 (14, 17)	Required	Required	Regular UI	Joint UI/Federal	Intrastate	Adjustment	Partial	≥ 0	> 0	> 0	> 0 if Col. 13 = 0 <sup>a</sup>	> 0 if Col. 12 = 0 <sup>a</sup>	Must be blank or 0	Must be blank or 0		Required
4.42	5159B-302 (14, 16, 17)	Required	Required	Regular UI	Joint UI/Federal	Interstate	Adjustment	Partial	≥ 0	> 0	> 0	> 0 if Col. 13 = 0 <sup>a</sup>	> 0 if Col. 12 = 0 <sup>a</sup>	Must be blank or 0	Must be blank or 0		Required
SELF-EMPLOYMENT PAYMENTS (4.43) 1) Minimum sample: First two cases																	
4.43	5159B-301-20 5159B-302-20	Required	Required	Regular UI	Self-employment	Intrastate or Interstate	Self-Employment				Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	> 0		Required
CWC FIRST PAYMENTS (4.44 through 4.45) 1) Random sample: 30 or 100																	
4.44	586A-101 (4-5) 586B Column 8 (Total)	Required	Required	Regular UI		Intrastate CWC	First Payment				Must be blank or 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Required	Required
4.45	586A-102 (4-5) 586B Column 9 (Total)	Required	Required	Regular UI		Interstate CWC	First Payment				Must be blank or 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Required	Required

Sub pop #	Report, Line, and Column	2 (Step 1C) (Rule 1) SSN	3 (Step 1C) (Rule 2) Check Number Unique ID	4 (Step 2A) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 10A) (Step 10B) (Step 10F) (Step 10G) Type of Compensation	8 (Step 10D) (Step 10E) Partial/ Total Weeks of Unemployment	9 (Step 10D) (Rule 2) (Step 10E) (Rule 2) Earnings	10 (Step 10D) (Rule 3) (Step 10E) (Rule 3) WBA	11 (Step 12A) UI Amount	12 (Step 12B) UCFE Amount	13 (Step 12C) UCX Amount	14 (Step 12D) CWC Amount	15 (Step 12E) Self-Employment Amount	16 (Step 13) Week Ending Date	17 (Step 14) Mail Date
CWC WEEKS COMPENSATED/NOT FIRST PAYMENTS (4.46 through 4.47) 1) Minimum sample: First two cases from each subpopulation																	
4.46	586A-101 (4-5)	Required	Required	Regular UI		Intrastate CWC	Weeks Compensated Not First Payments*				Must be blank or 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0		Required
4.47	586A-102 (4-5)	Required	Required	Regular UI		Interstate CWC	Weeks Compensated Not First Payments*				Must be blank or 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0		Required
CWC ADJUSTED PAYMENTS (4.48 through 4.49) 1) Minimum sample: First two cases from each subpopulation																	
4.48	586A-101-5	Required	Required	Regular UI		Intrastate CWC	Adjustment				Must be blank or 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0		Required
4.49	586A-102-5	Required	Required	Regular UI		Interstate CWC	Adjustment				Must be blank or 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0		Required
CWC PRIOR QUARTER (4.50 through 4.51) 1) Minimum sample: First two cases from each subpopulation																	
4.50	586A-101 (6-7)	Required	Required	Regular UI		Intrastate CWC	Prior Weeks Compensated				Must be blank or 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0		Required
4.51	586A-102 (6-7)	Required	Required	Regular UI		Interstate CWC	Prior Weeks Compensated				Must be blank or 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0		Required

\*These values are abbreviated in the record layout data format specifications (see Appendix A of ETA Operations Guide 411) but are shown here in their entirety for informational purposes. They are referred to as “Continued Payment” in the record layout.

<sup>a</sup>Either the UCFE or UCX amount (or both) must be entered.

NOTE: For Joint Claims, Column 11 represents the UI portion of the payment, and Columns 12 and 13 represent the Federal portion of the payment.

The term supplement includes supplemental payments, partial offset payments, and negative adjustments. Observations reported in all populations of first and continued payments (Column 3) will be sorted by time lapse days in ascending order and subtotaled by time lapse categories. Observations reported in all populations of supplemental payments will be sorted by SSN.

**Table A.4.2**

Relationship between ETA 9050, ETA 9051, and ETA 586B Payments Time Lapse and Subpopulations in Population 4

		Intrastate				Interstate			
		UI C2	UCFE C3	UCX C4	(586B- TOTAL) CWC (8)	UI C6	UCFE C7	UCX C8	(586B- TOTAL) CWC (9)
All First Payments	9050 (All)	1, 3, 9, and 11	5 and 13	7 and 15	44	2, 4, 10, and 12	6 and 14	8 and 16	45
Partial First Payments	9050 (Part)	9 and 11	13	15		10 and 12	14	16	
All Continued Payments	9051(All)	17, 19, 25, and 27	21 and 29	23 and 31		18, 20, 26, and 28	22 and 30	24 and 32	
Partial Continued Payments	9051(Part)	25 and 27	29	31		26 and 28	30	32	

**Table A.4.3**

Relationship between ETA 5159B Weeks Compensated and Subpopulations in Population 4

		State UI Program <sup>a</sup>			UCFE and UCX Programs			Self-employment All Programs (20)
5159 Section B	All Weeks Compensated (14)	Total Unemployment (15)	Interstate (16)	Total (17)	UCFE - No UI (18)	UCX Only (19)		
Number 301	1 - 4 9 - 12 17 - 20 25 - 28	1 - 4 17 - 20	2, 4, 10, 12 18, 20, 26, 28	5 - 8 13 - 16 21 - 24 29 - 32	5 - 6 13 - 14 21 - 22 29 - 30	7 - 8 15 - 16 23 - 24 31 - 32	43	
Amount 302	Column 10 1 - 4 9 - 12 17 - 20 25 - 28 33 - 36 39 - 42	Column 10 1 - 4 17 - 20 33 - 36	Column 10 2, 4, 10, 12 18, 20, 26, 28 34, 36, 40, 42	Columns 12 & 13 3 - 8 11 - 16 19 - 24 27 - 32 35 - 38 41 - 42	Columns 12 & 13 <sup>b</sup> 5 - 6 13 - 14 21 - 22 29 - 30 37	Column 13 <sup>c</sup> 7 - 8 15 - 16 23 - 24 31 - 32 38	43	

<sup>a</sup>If joint claim, then only includes the UI share of the payment. <sup>b</sup>Includes all payments from UCFE and the UCX portion of UCFE/UCX funds.

<sup>c</sup>Includes all payments from UCX funds.

**Table A.4.4**  
Relationship between ETA 586A Payment Activity and Subpopulations in Population 4

State UI	Line No.	Weeks Compensated (4)	Benefits Paid (5)	Prior Weeks Compensated (6)	Prior Benefits Paid (7)
Intrastate	101	44, 46	44, 46, 48	50	50
Interstate Received as Paying State	102	45, 47	45, 47, 49	51	51

## Population 4 Notes

1. The First Payment time lapse performance measure (as reported on the ETA 9050 report) uses a different definition of first payment than the definition of first payment used on the ETA 5159 report. The measure in the ETA 9050 uses the first compensable week rather than the first week compensated.

First payments are payments for the first compensable week in the benefit year after the waiting week where there were no excessive earnings. Because it is determined by the week paid, it is possible that the first payment date could fall after other payments have been made on the claim.

The ETA 5159 counts, which are not currently validated, use the first week compensated, i.e. the earliest payment date on the claim.

2. **Adjusted Payments (Subpopulations 4.33 – 4.42):** These are payments for weeks that have previously been compensated. The initial payment for the week is counted as a week compensated, and only additional payments for the same week are considered adjustments. These are reported on row 302 (section B) of the ETA 5159 only. Only dollar amounts are included. These payments are not counted as weeks compensated in row 301 (section B) of the ETA 5159 nor are they included on the ETA 9050 or ETA 9051 reports.
3. **Self-employment:** These payments are reported twice. They are reported as self-employment and also as part of the regular program; therefore, they must be extracted twice.
4. **CWC prior weeks compensated (Subpopulations 4.50 – 4.51):** The software allows the state to check the integrity of the files by using date ranges. For example, the ETA 5159 is a monthly report, and the dates must be within the month being validated. CWC prior weeks compensated payment dates will not fall during the same month being validated, but the software will accept and count these in subpopulations 4.50 and 4.51.
5. **Joint Payments:** In situations where a payment for a joint claim is made that does not use funds from more than one program, *that* payment is not considered joint and should be reported as UI, UCFE, or UCX.
6. **Timing:** The extract file must be built with a quarter's worth of CWC data (Subpopulations 4.44 to 4.51) to validate the quarterly CWC ETA 586 report. The other payments data (subpopulations 4.1 – 4.43), to validate counts and dollars on the monthly 5159, 9050, and 9051 reports, must be for the last month of the quarter. When loading the file, use the period Start and End dates for the quarter to allow the validation counts to match the ETA 586 report. The software will retrieve the monthly counts for the last month of the quarter. Records labeled "CWC Prior Weeks Compensated" (subpopulations 4.50 and 4.51) will have payment dates prior to the quarter, but the software will allow those to import.



**Table A.5.1**  
**Population 5 Subpopulations**  
 Nonmonetary Determinations and Redeterminations  
 Notice Date Falls within Reporting /Validation Period

Sub pop #	Report, Line, and Column	2 (Step 1D) (Rule 1) SSN	3 (Step 1D) (Rule 2) Issue Number (Unique ID)	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 16) Determination/ Redetermination	8 (Step 17) Type of Determination	9 (Step 18) Issue Types	10 (Step 19) First Week Affected	11 (Step 20) Detection Date	12 (Step 21) Notice Date	13 (Step 23) Allow <sup>a</sup> or Deny
SINGLE CLAIMANT NON-MONETARY DETERMINATIONS (5.1 through 5.60) 1) Random sample: 30 or 100; 2) Supplemental sample--missing strata; 3) Supplemental sample--outliers													
5.1	207: A 101-2; B 201-8 9052A-C2;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	VL		Required	Required	Allow
5.2	207: A 101-2; B 201-9 9052A-C2;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	MC		Required	Required	Allow
5.3	207: A 101-2; B 201-10 9052A-C2;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Sep/Other		Required	Required	Allow
5.4	207: A 101-2; C 301-12 9052B-C98;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	A & A		Required	Required	Allow
5.5	207: A 101-2; C 301-13 9052B-C98;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Ded. Income		Required	Required	Allow
5.6	207: A 101-2; C 301-14 9052B-C98;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Suitable Work		Required	Required	Allow
5.7	207: A 101-2; C 301-15 9052B-C98;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Reporting		Required	Required	Allow

Sub pop #	Report, Line, and Column	2 (Step 1D) (Rule 1) SSN	3 (Step 1D) (Rule 2) Issue Number (Unique ID)	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 16) Determination/ Redetermination	8 (Step 17) Type of Determination	9 (Step 18) Issue Types	10 (Step 19) First Week Affected	11 (Step 20) Detection Date	12 (Step 21) Notice Date	13 (Step 23) Allow <sup>a</sup> or Deny
5.8	207: A 101-2; C 301-16 9052B-C98;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Profiling		Required	Required	Allow
5.9	207: A 101-2; C 301-17 9052B-C98;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Other Nonsep		Required	Required	Allow
5.10	207: A 101-2; B 201-8 9052A-C6;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	VL		Required	Required	Allow
5.11	207: A 101-2; B 201-9 9052A-C6;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	MC		Required	Required	Allow
5.12	207: A 101-2; B 201-10 9052A-C6;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Sep/Other		Required	Required	Allow
5.13	207: A 101-2; C 301-12 9052B-C102;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	A & A		Required	Required	Allow
5.14	207: A 101-2; C 301-13 9052B-C102;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Ded. Income		Required	Required	Allow
5.15	207: A 101-2; C 301-14 9052B-C102;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Suitable Work		Required	Required	Allow
5.16	207: A 101-2; C 301-15 9052B-C102;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Reporting		Required	Required	Allow
5.17	207: A 101-2; C 301-16 9052B-C102;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Profiling		Required	Required	Allow

Sub pop #	Report, Line, and Column	2 (Step 1D) (Rule 1) SSN	3 (Step 1D) (Rule 2) Issue Number (Unique ID)	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 16) Determination/ Redetermination	8 (Step 17) Type of Determination	9 (Step 18) Issue Types	10 (Step 19) First Week Affected	11 (Step 20) Detection Date	12 (Step 21) Notice Date	13 (Step 23) Allow <sup>a</sup> or Deny
5.18	207: A 101-2; C 301-17 9052B-C102;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Other Nonsep		Required	Required	Allow
5.19	207A: 101-2; 102-2 207B: 201-8; 202-8 9052A-C2;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	VL		Required	Required	Deny
5.20	207A: 101-2; 102-2 207B: 201-9; 202-9 9052A-C2;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	MC		Required	Required	Deny
5.21	207A: 101-2; 102-2 207B: 201-10; 202-10 9052A-C2;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Sep/Other		Required	Required	Deny
5.22	207A: 101-2; 102-2 207C: 301-12; 302-12 9052B-C98;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	A & A		Required	Required	Deny
5.23	207A: 101-2; 102-2 207C: 301-13; 302-13 9052B-C98;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Ded. Income		Required	Required	Deny
5.24	207A: 101-2; 102-2 207C: 301-14; 302-14 9052B-C98;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Suitable Work		Required	Required	Deny

Sub pop #	Report, Line, and Column	2 (Step 1D) (Rule 1) SSN	3 (Step 1D) (Rule 2) Issue Number (Unique ID)	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 16) Determination/ Redetermination	8 (Step 17) Type of Determination	9 (Step 18) Issue Types	10 (Step 19) First Week Affected	11 (Step 20) Detection Date	12 (Step 21) Notice Date	13 (Step 23) Allow <sup>a</sup> or Deny
5.25	207A: 101-2; 102-2 207C: 301-15; 302-15 9052B-C98;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Reporting		Required	Required	Deny
5.26	207A: 101-2; 102-2 207C: 301-16; 302-16 9052B-C98;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Profiling		Required	Required	Deny
5.27	207A: 101-2; 102-2 207C: 301-17; 302-17 9052B-C98;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Other Nonsep		Required	Required	Deny
5.28	207A: 101-2; 102-2 207B: 201-8; 202-8 9052A-C6;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	VL		Required	Required	Deny
5.29	207A: 101-2; 102-2 207B: 201-9; 202-9 9052A-C6;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	MC		Required	Required	Deny
5.30	207A: 101-2; 102-2 207B: 201-10; 202-10 9052A-C6;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Sep/Other		Required	Required	Deny

Sub pop #	Report, Line, and Column	2 (Step 1D) (Rule 1) SSN	3 (Step 1D) (Rule 2) Issue Number (Unique ID)	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 16) Determination/ Redetermination	8 (Step 17) Type of Determination	9 (Step 18) Issue Types	10 (Step 19) First Week Affected	11 (Step 20) Detection Date	12 (Step 21) Notice Date	13 (Step 23) Allow <sup>a</sup> or Deny
5.31	207A: 101-2; 102-2 207C: 301-12; 302-12 9052B-C102;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	A & A		Required	Required	Deny
5.32	207A: 101-2; 102-2 207C: 301-13; 302-13 9052B-C102;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Ded. Income		Required	Required	Deny
5.33	207A: 101-2; 102-2 207C: 301-14; 302-14 9052B-C102;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Suitable Work		Required	Required	Deny
5.34	207A: 101-2; 102-2 207C: 301-15; 302-15 9052B-C102;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Reporting		Required	Required	Deny
5.35	207A: 101-2; 102-2 207C: 301-16; 302-16 9052B-C102;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Profiling		Required	Required	Deny
5.36	207A: 101-2; 102-2 207C: 301-17; 302-17 9052B-C102;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Other Nonsep		Required	Required	Deny
5.37	207: A 103-1; B 203-8 9052A-C3;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	VL		Required	Required	Allow

Sub pop #	Report, Line, and Column	2 (Step 1D) (Rule 1) SSN	3 (Step 1D) (Rule 2) Issue Number (Unique ID)	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 16) Determination/ Redetermination	8 (Step 17) Type of Determination	9 (Step 18) Issue Types	10 (Step 19) First Week Affected	11 (Step 20) Detection Date	12 (Step 21) Notice Date	13 (Step 23) Allow <sup>a</sup> or Deny
5.38	207: A 103-1; B 203-9 9052A-C3;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	MC		Required	Required	Allow
5.39	207: A 103-1; B 203-10 9052A-C3;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	Sep/Other		Required	Required	Allow
5.40	207A-103-1 9052B-C99;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	Nonsep		Required	Required	Allow
5.41	207: A 103-1; B 203-8 9052A-C7;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	VL		Required	Required	Allow
5.42	207: A 103-1; B 203-9 9052A-C7;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	MC		Required	Required	Allow
5.43	207: A 103-1; B 203-10 9052A-C7;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	Sep/Other		Required	Required	Allow
5.44	207A-103-1 9052B-C103;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	Nonsep		Required	Required	Allow
5.45	207A: 103-1; 104-1 207B: 203-8; 204-8 9052A-C3;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	VL		Required	Required	Deny
5.46	207A: 103-1; 104-1 207B: 203-9; 204-9 9052A-C3;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	MC		Required	Required	Deny

Sub pop #	Report, Line, and Column	2 (Step 1D) (Rule 1) SSN	3 (Step 1D) (Rule 2) Issue Number (Unique ID)	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 16) Determination/ Redetermination	8 (Step 17) Type of Determination	9 (Step 18) Issue Types	10 (Step 19) First Week Affected	11 (Step 20) Detection Date	12 (Step 21) Notice Date	13 (Step 23) Allow <sup>a</sup> or Deny
5.47	207A: 103-1; 104-1 207B: 203-10; 204-10 9052A-C3;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	Sep/Other		Required	Required	Deny
5.48	207A: 103-1; 104-1 9052B-C99;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	Nonsep		Required	Required	Deny
5.49	207A: 103-1; 104-1 207B: 203-8; 204-8 9052A-C7;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	VL		Required	Required	Deny
5.50	207A: 103-1; 104-1 207B: 203-9; 204-9 9052A-C7;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	MC		Required	Required	Deny
5.51	207A: 103-1; 104-1 207B: 203-10; 204-10 9052A-C7;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	Sep/Other		Required	Required	Deny
5.52	207A: 103-1; 104-1 9052B-C103;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	Nonsep		Required	Required	Deny
5.53	207A-105-1 9052A-C4;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Intrastate	Determination	Single	Sep		Required	Required	Allow
5.54	207A-105-1 9052B-C100;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Intrastate	Determination	Single	Nonsep		Required	Required	Allow

Sub pop #	Report, Line, and Column	2 (Step 1D) (Rule 1) SSN	3 (Step 1D) (Rule 2) Issue Number (Unique ID)	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 16) Determination/ Redetermination	8 (Step 17) Type of Determination	9 (Step 18) Issue Types	10 (Step 19) First Week Affected	11 (Step 20) Detection Date	12 (Step 21) Notice Date	13 (Step 23) Allow <sup>a</sup> or Deny
5.55	207A-105-1 9052A-C8;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Interstate	Determination	Single	Sep		Required	Required	Allow
5.56	207A-105-1 9052B-C104;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Interstate	Determination	Single	Nonsep		Required	Required	Allow
5.57	207A: 105-1; 106-1 9052A-C4;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Intrastate	Determination	Single	Sep		Required	Required	Deny
5.58	207A: 105-1; 106-1 9052B-C100;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Intrastate	Determination	Single	Nonsep		Required	Required	Deny
5.59	207A: 105-1; 106-1 9052A-C8;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Interstate	Determination	Single	Sep		Required	Required	Deny
5.60	207A: 105-1; 106-1 9052B-C104;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Interstate	Determination	Single	Nonsep		Required	Required	Deny
MULTI-CLAIMANT NON-MONETARY DETERMINATIONS (5.61 through 5.64) 1) Minimum Sample: First two cases from each subpopulation													
5.61	207A-101-5 9052C-C194;	Required	Required if State maintains a unique ID	Regular UI or Workshare			Determination	Multi	Labor Dispute		Required	Required	Allow
5.62	207A: 101-5; 102-5 9052C-C194;	Required	Required if State maintains a unique ID	Regular UI or Workshare			Determination	Multi	Labor Dispute		Required	Required	Deny
5.63	207A-101-6 9052C-C195;	Required	Required if State maintains a unique ID	Regular UI or Workshare			Determination	Multi	Other Multicla imant		Required	Required	Allow



Sub pop #	Report, Line, and Column	2 (Step 1D) (Rule 1) SSN	3 (Step 1D) (Rule 2) Issue Number (Unique ID)	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 16) Determination/ Redetermination	8 (Step 17) Type of Determination	9 (Step 18) Issue Types	10 (Step 19) First Week Affected	11 (Step 20) Detection Date	12 (Step 21) Notice Date	13 (Step 23) Allow <sup>a</sup> or Deny
5.64	207A: 101-6; 102-6 9052C-C195;	Required	Required if State maintains a unique ID	Regular UI or Workshare			Determination	Multi	Other Multiclaimitant		Required	Required	Deny
REDETERMINATIONS (5.65 through 5.70) 1) Random Sample: 30 or 100													
5.65	207A-101-3	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate or Interstate	Redetermination	Single	Required			Required	Allow
5.66	207A: 101-3; 102-3	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate or Interstate	Redetermination	Single	Required			Required	Deny
5.67	207A-103-1	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate or Interstate	Redetermination	Single	Required			Required	Allow
5.68	207A: 103-1; 104-1	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate or Interstate	Redetermination	Single	Required			Required	Deny
5.69	207A-105-1	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Intrastate or Interstate	Redetermination	Single	Required			Required	Allow
5.70	207A: 105-1; 106-1	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Intrastate or Interstate	Redetermination	Single	Required			Required	Deny

<sup>a</sup>Allow or affirmed

**Table A.5.2**  
Relationship between ETA 207 Reporting Cells and Subpopulations in Population 5

207 SECTION A			Total Determinations and Redeterminations (1)	Determinations (2)	Redeterminations (3)	Multi-labor (5)	Multi-other (6)
UI	Dets	101		1-36	65-66	61-62	63-64
UI	Denials	102		19-36	66	62	64
UCFE	Dets	103	37-52 67-68				
UCFE	Denials	104	45-52 68				
UCX	Dets	105	53-60 69-70				
UCX	Denials	106	57-60 70				

207 SECTION B		Total Seps (7)	VL (8)	MC (9)	Other Separations (10)
UI	Dets	201	1, 10 19, 28	2, 11 20, 29	3, 12 21, 30
UI	Denials	202	19, 28	20, 29	21, 30
UCFE	Dets	203	37, 41 45, 49	38, 42 46, 50	39, 43 47, 51
UCFE	Denials	204	45, 49	46, 50	47, 51

207 SECTION C		Total Nonseps (11)	A & A (12)	Ded. Income (13)	Suit. Work (14)	Reporting (15)	Profiling (16)	Other (17)
UI	Dets	301	4, 13, 22, 31	5, 14, 23, 32	6, 15, 24, 33	7, 16, 25, 34	8, 17, 26, 35	9, 18, 27, 36
UI	Denials	302	22, 31	23, 32	24, 33	25, 34	26, 35	27, 36

<sup>a</sup>Add the number of multiclaimants involved.

**Table A.5.3**  
 Relationship between ETA 9052 Adjudications Time Lapse and Subpopulations in Population 5

		Separation 9052A						Non-Separation 9052B						Labor Dispute  C194	Other  C195
		Intrastate			Interstate			Intrastate			Interstate				
		UI C2	UCFE C3	UCX C4	UI C6	UCFE C7	UCX C8	UI C98	UCFE C99	UCX C100	UI C102	UCFE C103	UCX C104		
Single Claimant	9052	1-3 19-21	37-39 45-47	53 57	10-12 28-30	41-43 49-51	55 59	4-9 22-27	40 48	54 58	13-18 31-36	44 52	56 60		
Multi- claimant	9052C												61 62	63 64	

NOTE: There are 11 time lapse categories in each of these table cells.

## Population 5 Notes

1. For states that require a week to be claimed in order to count non-monetary determinations, use the transaction date of the non-monetary determination when the mail date precedes the week claimed date. For example, if a determination is mailed in December and the week is claimed in January, the state enters the transaction (or countable) date in January to signify that this non-monetary determination is countable for Federal reporting purposes.
2. This population includes non-monetary determinations for Short Time Compensation (STC) Program (workshare) claims. These records should be labeled as “Workshare” for “Type of UI Program.” See the software record layouts for more details.
3. Multiclient Nonmonetary Determinations are counted in two ways on the ETA 207 report. Section A 101(6) counts the number of multiclient determinations (affirmed plus denied). Section A 102(6) counts the number of claimants affected by denial determinations. Currently the software cannot distinguish between the number of *claimants affected* and the number of *denial determinations* because the Population 5 record lacks a key field. If a single record for each denial determination is created, the count of *determinations* will be correct; however, the count of *claimants involved in denials* will be understated. Alternatively, if a record for each denied claimant is created, the count of claimants involved in denials will be correct; however, but the count of determinations will be overstated.

The extract file and software will be revised in the future so that both the number of multiclient determinations and the number of claimants denied will be captured in the same way that is currently done for all multiclient appeal decisions reported on the ETA 5130 (Populations 8 and 9).

In the meantime, when building the Population 5 extract file create a record for *each multiclient determination to deny benefits as well as to affirm benefits*. This can be done by creating a record for one claimant out of each multiclient denial determination as representative of that determination. The validation count for the number of multiclient determinations thus will be correct, and the reported counts of the UI multiclient determinations on the ETA 207 (Group 5.04) and on the ETA 9052 reports (Group 5.10) will be properly validated. These are Pass/Fail groups because they are part of important workload items. However, the number of claimants denied on line 102 of the ETA 207 will be incorrect. (These are not Pass/Fail items.) Indicate in the comments field of the RV screen that the discrepancy is due to a software limitation and is not a state error.

**Table A.6.1**  
Population 6 Subpopulations  
Claimants involved in State UI Appeals Filed - Lower

Subpop #	ETA ar5130B Line and Column	2 (Step 1E) (Rule 1)  SSN	3 (Step 1E) (Rule 2)  Docket Number Unique ID	4 (Step 24A)  Appeal Level	5 (Step 25A) (Rule 1) (Step 25B) (Rule 1)  Type of Appeal (Single or Multiclient)	6 (Step 25B) (Rules 3 – 6)  Number of Claimants	7 (Step 32)  Filed Date
LOWER AUTHORITY APPEALS FILED (6.1 through 6.2) 1) Minimum sample: First two cases from each subpopulation							
6.1	200-8	Required	Required	Lower	S		Required
6.2 <sup>a</sup>	200-10	Required	Required	Lower	M	≥ 1	Required

<sup>a</sup>States can list each claimant involved in multiclient appeals or just provide the number of claimants based on how the files are stored in the system.

**Table A.6.2**  
Relationship between ETA AR5130B Report Cells and Subpopulations in Population 6

SECTION B: Claimants Involved in State UI Appeals Cases by Status of Appeals

Line No.	Status of Appeals	Single-Claimant Appeals	Multi-Claimant Appeals
		Lower Authority (8)	Lower Authority (10)
200	Filed During Month	1	2

**Table A.7.1**  
Population 7 Subpopulations  
Claimants involved in State UI Appeals Filed – Higher

Subpop #	ETA ar5130B Line and Column	2 (Step 1F) (Rule 1)  SSN	3 (Step 1F) (Rule 2)  Docket Number Unique ID	4 (Step 24B)  Appeal Level	5 (Step 25A) (Rule 1) (Step 25B) (Rule 1)  Type of Appeal (Single or Multiclient)	6 (Step 25B) (Rules 3 – 6)  Number of Claimants	7 (Step 32)  Filed Date
HIGHER AUTHORITY APPEALS FILED (7.1 through 7.2) 1) Minimum sample: First two cases from each subpopulation							
7.1	200-9	Required	Required	Higher	S		Required
7.2 <sup>a</sup>	200-11	Required	Required	Higher	M	≥ 1	Required

<sup>a</sup>States can list each claimant involved in multiclient appeals or just provide the number of claimants based on how the files are stored in the system.

**Table A.7.2**  
Relationship between ETA AR5130B Report Cells and Subpopulations in Population 7

SECTION B: Claimants Involved in State UI Appeals Cases by Status of Appeals

Line No.	Status of Appeals	Single-Claimant Appeals	Multi-Claimant Appeals
		Higher Authority (9)	Higher Authority (11)
200	Filed During Month	1	2

**Population 6 and 7 Notes**

1. **Appeal Filed Date:** If a state experiences delays in mailed appeals, it can use the received date rather than the postmark date to ensure that all appeals are counted. The received date can be used because there is no time lapse for these populations. This would help in those situations where appeals are received after the ETA 5130 report has been run for the previous month. For example, an appeal with a postmark of 3/31/02 that is received on 4/10/02, in a state where the ETA 5130 was run on 4/7/02, would be reported as having been filed in April rather than in March.
2. **Subpopulations 6.2 and 7.2, Number of Claimants Involved in Multi-Claimant Appeal:** States will either store an individual record for each claimant involved in the appeal or one record with the number of claimants. The software will count the number of records or add the number of claimants in Column 6 to derive the number of claimants involved in multi-claimant appeals filed.

**Table A.8.1**  
**Population 8 Subpopulations**  
 Lower Authority Appeals Decisions  
 Decision Date Falls within Reporting/Validation Period  
 Sort in Ascending Order by Time Lapsed Days

Subpop	Report, Line, and Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24A) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimgant)	9 (Step 25B) Number of Claimants in Multiclaimgant Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision	15 (Step 31) Issue Code
SINGLE CLAIMANT LOWER AUTHORITY APPEALS DECISIONS (8.1 through 8.44) 1) Random sample: 60 or 200 (includes review of folders); 2) Supplemental sample--missing strata (8.33 through 8.40 only); 3) Supplemental sample--outliers															
8.1	ar5130: A 100-1; B 210-8 ar5130C: 300-14; 310-14 ar5130D-400-21 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Claimant	Y	Required	Required		VL
8.2	ar5130: A 100-1; B 210-8 ar5130C: 300-16; 310-16 ar5130D-400-21 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Employer	Y	Required	Required		VL
8.3	ar5130: A 100-1; B 210-8 ar5130: C 300-14; D 400-21 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Claimant	N	Required	Required		VL
8.4	ar5130: A 100-1; B 210-8 ar5130: C 300-16; D 400-21 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Employer	N	Required	Required		VL
8.5	ar5130: A 100-1; B 210-8 ar5130C: 300-14; 310-14 ar5130D-400-21 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Claimant	Y	Required	Required		VL



Subpop	Report, Line, and Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24A) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimgant)	9 (Step 25B) Number of Claimants in Multiclaimgant Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision	15 (Step 31) Issue Code
8.6	ar5130: A 100-1; B 210-8 ar5130C: 300-16; 310-16 ar5130D-400-21 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Employer	Y	Required	Required		VL
8.7	ar5130: A 100-1; B 210-8 ar5130: C 300-14; D 400-21 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Claimant	N	Required	Required		VL
8.8	ar5130: A 100-1; B 210-8 ar5130: C 300-16; D 400-21 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Employer	N	Required	Required		VL
8.9	ar5130: A 100-1; B 210-8 ar5130C: 300-14; 310-14 ar5130D-400-22 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Claimant	Y	Required	Required		MC
8.10	ar5130: A 100-1; B 210-8 ar5130C: 300-16; 310-16 ar5130D-400-22 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Employer	Y	Required	Required		MC
8.11	ar5130: A 100-1; B 210-8 ar5130: C 300-14; D 400-22 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Claimant	N	Required	Required		MC
8.12	ar5130: A 100-1; B 210-8 ar5130: C 300-16; D 400-22 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Employer	N	Required	Required		MC

Subpop	Report, Line, and Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24A) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimgant)	9 (Step 25B) Number of Claimants in Multiclaimgant Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision	15 (Step 31) Issue Code
8.13	ar5130: A 100-1; B 210-8 ar5130C: 300-14; 310-14 ar5130D-400-22 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Claimant	Y	Required	Required		MC
8.14	ar5130: A 100-1; B 210-8 ar5130C: 300-16; 310-16 ar5130D-400-22 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Employer	Y	Required	Required		MC
8.15	ar5130: A 100-1; B 210-8 ar5130: C 300-14; D 400-22 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Claimant	N	Required	Required		MC
8.16	ar5130: A 100-1; B 210-8 ar5130: C 300-16; D 400-22 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Employer	N	Required	Required		MC
8.17	ar5130: A 100-1; B 210-8 ar5130C: 300-14; 310-14 ar5130D-400-23 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Claimant	Y	Required	Required		Suit
8.18	ar5130: A 100-1; B 210-8 ar5130C: 300-16; 310-16 ar5130D-400-23 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Employer	Y	Required	Required		Suit
8.19	ar5130: A 100-1; B 210-8 ar5130: C 300-14; D 400-23 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Claimant	N	Required	Required		Suit

Subpop	Report, Line, and Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24A) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimgant)	9 (Step 25B) Number of Claimants in Multiclaimgant Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision	15 (Step 31) Issue Code
8.20	ar5130: A 100-1; B 210-8 ar5130: C 300-16; D 400-23 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Employer	N	Required	Required		Suit
8.21	ar5130: A 100-1; B 210-8 ar5130C: 300-14; 310-14 ar5130D-400-23 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Claimant	Y	Required	Required		Suit
8.22	ar5130: A 100-1; B 210-8 ar5130C: 300-16; 310-16 ar5130D-400-23 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Employer	Y	Required	Required		Suit
8.23	ar5130: A 100-1; B 210-8 ar5130: C 300-14; D 400-23 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Claimant	N	Required	Required		Suit
8.24	ar5130: A 100-1; B 210-8 ar5130: C 300-16; D 400-23 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Employer	N	Required	Required		Suit
8.25	ar5130: A 100-1; B 210-8 ar5130C: 300-14; 310-14 ar5130D-400-24 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Claimant	Y	Required	Required		A & A
8.26	ar5130: A 100-1; B 210-8 ar5130C: 300-16; 310-16 ar5130D-400-24 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Employer	Y	Required	Required		A & A

Subpop	Report, Line, and Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24A) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimgant)	9 (Step 25B) Number of Claimants in Multiclaimgant Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision	15 (Step 31) Issue Code
8.27	ar5130: A 100-1; B 210-8 ar5130: C 300-14; D 400-24 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Claimant	N	Required	Required		A & A
8.28	ar5130: A 100-1; B 210-8 ar5130: C 300-16; D 400-24 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Employer	N	Required	Required		A & A
8.29	ar5130: A 100-1; B 210-8 ar5130C: 300-14; 310-14 ar5130D-400-24 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Claimant	Y	Required	Required		A & A
8.30	ar5130: A 100-1; B 210-8 ar5130C: 300-16; 310-16 ar5130D-400-24 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Employer	Y	Required	Required		A & A
8.31	ar5130: A 100-1; B 210-8 ar5130: C 300-14; D 400-24 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Claimant	N	Required	Required		A & A
8.32	ar5130: A 100-1; B 210-8 ar5130: C 300-16; D 400-24 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Employer	N	Required	Required		A & A
8.33	ar5130: A 100-1; B 210-8 ar5130C: 300-14; 310-14 ar5130D-400-26 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Claimant	Y	Required	Required		Other

Subpop	Report, Line, and Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24A) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimgant)	9 (Step 25B) Number of Claimants in Multiclaimgant Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision	15 (Step 31) Issue Code
8.34	ar5130: A 100-1; B 210-8 ar5130C: 300-16; 310-16 ar5130D-400-26 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Employer	Y	Required	Required		Other
8.35	ar5130: A 100-1; B 210-8 ar5130: C 300-14; D 400-26 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Claimant	N	Required	Required		Other
8.36	ar5130: A 100-1; B 210-8 ar5130: C 300-16; D 400-26 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Employer	N	Required	Required		Other
8.37	ar5130: A 100-1; B 210-8 ar5130C: 300-14; 310-14 ar5130D-400-26 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Claimant	Y	Required	Required		Other
8.38	ar5130: A 100-1; B 210-8 ar5130C: 300-16; 310-16 ar5130D-400-26 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Employer	Y	Required	Required		Other
8.39	ar5130: A 100-1; B 210-8 ar5130: C 300-14; D 400-26 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Claimant	N	Required	Required		Other
8.40	ar5130: A 100-1; B 210-8 ar5130: C 300-16; D 400-26 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Employer	N	Required	Required		Other
8.41 <sup>a</sup>	ar5130A-100-3 9054A-C2	Required	Required	Regular UI or Workshare	UCFE	Intrastate	Lower	S	Must be blank or 0			Required	Required		

Subpop	Report, Line, and Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24A) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimgant)	9 (Step 25B) Number of Claimants in Multiclaimgant Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision	15 (Step 31) Issue Code
8.42 <sup>a</sup>	ar5130A-100-3 9054A-C3	Required	Required	Regular UI or Workshare	UCFE	Interstate	Lower	S	Must be blank or 0			Required	Required		
8.43 <sup>a</sup>	ar5130A-100-5 9054A-C2	Required	Required	Regular UI or Workshare	UCX	Intrastate	Lower	S	Must be blank or 0			Required	Required		
8.44 <sup>a</sup>	ar5130A-100-5 9054A-C3	Required	Required	Regular UI or Workshare	UCX	Interstate	Lower	S	Must be blank or 0			Required	Required		
MULTI-CLAIMANT LOWER AUTHORITY APPEALS DECISIONS (8.45 through 8.55) 1) Minimum sample: First two cases from each subpopulation (includes review of folders)															
8.45	ar5130: A 100-1; B 210-10 ar5130C: 300-14; 310-14 ar5130D-400-25 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	M-1 or M-Lead	≥ 1	Claimant	Y	Required	Required		Labor Disp
8.46	ar5130: A 100-1; B 210-10 ar5130C: 300-16; 310-16 ar5130D-400-25 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	M-1 or M-Lead	≥ 1	Employer	Y	Required	Required		Labor Disp
8.47	ar5130: A 100-1; B 210-10 ar5130: C 300-14; D 400-25 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	M-1 or M-Lead	≥ 1	Claimant	N	Required	Required		Labor Disp
8.48	ar5130: A 100-1; B 210-10 ar5130: C 300-16; D 400-25 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	M-1 or M-Lead	≥ 1	Employer	N	Required	Required		Labor Disp

Subpop	Report, Line, and Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24A) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimgant)	9 (Step 25B) Number of Claimants in Multiclaimgant Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision	15 (Step 31) Issue Code
8.49	ar5130: A 100-1; B 210-10 ar5130C: 300-14; 310-14 ar5130D-400-26 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	M-1 or M-Lead	≥ 1	Claimant	Y	Required	Required		Other
8.50	ar5130: A 100-1; B 210-10 ar5130C: 300-16; 310-16 ar5130D-400-26 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	M-1 or M-Lead	≥ 1	Employer	Y	Required	Required		Other
8.51	ar5130: A 100-1; B 210-10 ar5130: C 300-14; D 400-26 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	M-1 or M-Lead	≥ 1	Claimant	N	Required	Required		Other
8.52	ar5130: A 100-1; B 210-10 ar5130: C 300-16; D 400-26 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	M-1 or M-Lead	≥ 1	Employer	N	Required	Required		Other
8.53	ar5130B-210-10	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	M-Nonlead	1			Required	Required		VL or MC or Suit or A & A or Other or Labor Disp
8.54	ar5130A: 100-1 ar5130B: 210-8; 210-10 ar5130C: 300-18; 310-18 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S or M-1 or M-Lead	≥ 1 or blank or 0	Other	Y	Required	Required	VL or MC or Suit or A & A or Other or Labor Disp	

Subpop	Report, Line, and Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24A) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimgant)	9 (Step 25B) Number of Claimants in Multiclaimgant Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision	15 (Step 31) Issue Code
8.55	ar5130A: 100-1 ar5130B: 210-8; 210-10 ar5130C: 300-18 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S or M-1 or M-Lead	≥ 1 or blank or 0	Other	N	Required	Required		VL or MC or Suit or A & A or Other or Labor Disp

<sup>a</sup>If a UCFE or UCX multiclaimgant appeal is decided, report as a separate population and manually validate the 5130 report.



**Table A.8.2**  
Relationship between ETA AR5130 Report Cells and Subpopulations in Population 8

SECTION A. Single Claimant and Multiclaimgant Appeals Case Decisions and Other Dispositions

	UI Decisions	UCFE-No UI Decisions	UCX Only Decisions
Line No.	Lower Authority (1)	Lower Authority (3)	Lower Authority (5)
100	1-40 45-52 54-55	41-42 <sup>a</sup>	43-44 <sup>a</sup>

SECTION B. Claimants Involved in State UI Appeals Cases by Status of Appeals

Line No.	Status of Appeals	Single Claimant Appeals	Multi-Claimant Appeals
		Lower Authority (8)	Lower Authority (10)
210	Disposed of During Month by Decision	1-40 54-55 <sup>b</sup>	45-53

SECTION C. State UI Appeals Decisions by Type of Appellant

Line No.	UI Appeals Decisions	Claimant	Employer	Other
		Lower Authority (14)	Lower Authority (16)	Lower Authority (18)
300	Total	1, 3, 5, 7 9, 11, 13, 15 17, 19, 21, 23 25, 27, 29, 31 33, 35, 37, 39 45, 47, 49, 51	2, 4, 6, 8 10, 12, 14, 16 18, 20, 22, 24 26, 28, 30, 32 34, 36, 38, 40 46, 48, 50, 52	54-55
310	In favor of Appellant	1, 5, 9, 13 17, 21, 25, 29 33, 37, 45, 49	2, 6, 10, 14 18, 22, 26, 30 34, 38, 46, 50	54

SECTION D. Number of Lower Authority State UI Appeals Decisions by Issue

Line No.	Voluntary Quit (21)	Misconduct (22)	Refusal of Suitable Work (23)	Not Able or Available (24)	Labor Dispute (25)	Other (26)
400	1-8	9-16	17-24	25-32	45-48	33-40 49-52

<sup>a</sup>Also includes multiclaimgant UCFE and UCX decision subpopulations that are not listed.

<sup>b</sup>Single claimant only

<sup>c</sup>Multiclaimgant only

**Table A.8.3**

Relationship between ETA 9054A Report Cells and Subpopulations in Population 8

Section A. Lower Authority Appeals Time Lapse from Date Filed to Decision Date

Days	Intrastate	Interstate
Total	C2	C3
	1-4	5-8
	9-12	13-16
	17-20	21-24
	25-28	29-32
	33-36	37-40
	41, 43	42, 44
	45-52	
	54-55	

**Table A.9.1**  
 Population 9 Subpopulations  
 Higher Authority Appeals Decisions,  
 Decision Date Falls within Reporting/Validation Period

Subpop #	Report, Line, and Column	2 (Step 1F) (Rule 1) SSN	3 (Step 1F) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24B) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclient)	9 (Step 25B) (Rules 3 and 5) Number of Claimants in Multiclient Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision
SINGLE CLAIMANT HIGHER AUTHORITY APPEALS DECISIONS (9.1 through 9.12) 1) Random sample: 30 or 100 (includes review of folders); 2) Supplemental sample--outliers														
9.1	ar5130: A 100-2 B 210-9 ar5130C: 300-15 310-15 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	S	Must be blank or 0	Claimant	Y	Required	Required	
9.2	ar5130: A 100-2 B 210-9 ar5130C: 300-17 310-17 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	S	Must be blank or 0	Employer	Y	Required	Required	
9.3	ar5130: A 100-2 B 210-9 ar5130C-300-15 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	S	Must be blank or 0	Claimant	N	Required	Required	
9.4	ar5130: A 100-2 B 210-9 ar5130C-300-17 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	S	Must be blank or 0	Employer	N	Required	Required	
9.5	ar5130: A 100-2 B 210-9 ar5130C: 300-15 310-15 9054B-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Higher	S	Must be blank or 0	Claimant	Y	Required	Required	

Subpop #	Report, Line, and Column	2 (Step 1F) (Rule 1) SSN	3 (Step 1F) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24B) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimgant)	9 (Step 25B) (Rules 3 and 5) Number of Claimants in Multiclaimgant Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision
9.6	ar5130: A 100-2 B 210-9 ar5130C: 300-17 310-17 9054B-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Higher	S	Must be blank or 0	Employer	Y	Required	Required	
9.7	ar5130: A 100-2 B 210-9 ar5130C-300-15 9054B-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Higher	S	Must be blank or 0	Claimant	N	Required	Required	
9.8	ar5130: A 100-2 B 210-9 ar5130C-300-17 9054B-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Higher	S	Must be blank or 0	Employer	N	Required	Required	
9.9 <sup>a</sup>	ar5130A-100-4 9054B-C2	Required	Required	Regular UI or Workshare	UCFE	Intrastate	Higher	S	Must be blank or 0			Required	Required	
9.10 <sup>a</sup>	ar5130A-100-4 9054B-C3	Required	Required	Regular UI or Workshare	UCFE	Interstate	Higher	S	Must be blank or 0			Required	Required	
9.11 <sup>a</sup>	ar5130A-100-6 9054B-C2	Required	Required	Regular UI or Workshare	UCX	Intrastate	Higher	S	Must be blank or 0			Required	Required	
9.12 <sup>a</sup>	ar5130A-100-6 9054B-C3	Required	Required	Regular UI or Workshare	UCX	Interstate	Higher	S	Must be blank or 0			Required	Required	

Subpop #	Report, Line, and Column	2 (Step 1F) (Rule 1) SSN	3 (Step 1F) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24B) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimgant)	9 (Step 25B) (Rules 3 and 5) Number of Claimants in Multiclaimgant Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision
MULTI-CLAIMANT HIGHER AUTHORITY APPEALS DECISIONS (9.13 through 9.23) 1) Minimum sample: First two cases from each subpopulation (includes review of folders)														
9.13	ar5130: A 100-2 B 210-11 ar5130C: 300-15 310-15 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	M-1 or M-Lead	≥ 1	Claimant	Y	Required	Required	
9.14	ar5130: A 100-2 B 210-11 ar5130C: 300-17 310-17 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	M-1 or M-Lead	≥ 1	Employer	Y	Required	Required	
9.15	ar5130: A 100-2 B 210-11 ar5130C-300-15 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	M-1 or M-Lead	≥ 1	Claimant	N	Required	Required	
9.16	ar5130: A 100-2 B 210-11 ar5130C-300-17 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	M-1 or M-Lead	≥ 1	Employer	N	Required	Required	
9.17	ar5130: A 100-2 B 210-11 ar5130C: 300-15 310-15 9054B-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Higher	M-1 or M-Lead	≥ 1	Claimant	Y	Required	Required	
9.18	ar5130: A 100-2 B 210-11 ar5130C: 300-17 310-17 9054B-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Higher	M-1 or M-Lead	≥ 1	Employer	Y	Required	Required	

Subpop #	Report, Line, and Column	2 (Step 1F) (Rule 1) SSN	3 (Step 1F) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24B) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimgant)	9 (Step 25B) (Rules 3 and 5) Number of Claimants in Multiclaimgant Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision
9.19	ar5130: A 100-2 B 210-11 ar5130C-300-15 9054B-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Higher	M-1 or M-Lead	≥ 1	Claimant	N	Required	Required	
9.20	ar5130: A 100-2 B 210-11 ar5130C-300-17 9054B-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Higher	M-1 or M-Lead	≥ 1	Employer	N	Required	Required	
9.21	ar5130B-210-11	Required	Required	Regular UI or Workshare	UI		Higher	M-Nonlead	1			Required	Required	
9.22	ar5130A: 100-2 ar5130B: 210-9 210-11 ar5130C: 300-19 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	S	Must be blank or 0	Other	Y or N	Required	Required	
9.23	ar5130A: 100-2 ar5130B: 210-9 210-11 ar5130C: 300-19 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	M-1 or M-Lead	≥ 1	Other	Y or N	Required	Required	

<sup>a</sup>If a UCFE or UCX multiclaimgant appeal is decided, report as a separate population.

**Table A.9.2**  
Relationship between ETA AR5130 Report Cells and Subpopulations in Population 9

SECTION A. Single Claimant and Multiclaimgant Appeals Case Decisions and Other Dispositions

	UI Decisions	UCFE-No UI Decisions	UCX Only Decisions
Line No.	Higher Authority (2)	Higher Authority (4)	Higher Authority (6)
100	1-8 13-20 22-23	9-10 <sup>a</sup>	11-12 <sup>a</sup>

SECTION B. Claimants Involved in State UI Appeals Cases by Status of Appeals

Line No.	Status of Appeals	Single Claimant Appeals	Multi-Claimant Appeals
		Higher Authority (9)	Higher Authority (11)
210	Disposed of During Month	1-8 22 <sup>b</sup>	13-21 23 <sup>c</sup>

SECTION C. State UI Appeals Decisions by Type of Appellant

Line No.	UI Appeals Decisions	Claimant	Employer	Other
		Higher Authority (15)	Higher Authority (17)	Higher Authority (19)
300	Total	1, 3 5, 7 13, 15 17, 19	2, 4 6, 8 14, 16 18, 20	22-23
310	In favor of Appellant	1, 5 13, 17	2, 6 14, 18	

<sup>a</sup>Also includes multiclaimgant UCFE and UCX decisions subpopulations that are not listed.

<sup>b</sup>Single claimant only

<sup>c</sup>Multiclaimgant only

**Table A.9.3**  
Relationship between ETA 9054B Report Cells and Subpopulations in Population 9

SECTION B. Higher Authority Appeals Time Lapse from Date Filed to Decision Date

Days	Intrastate	Interstate
Total	C2	C3
	1-4	5-8
	9, 11	10, 12
	13-16	17-20
	22-23	

## Populations 8 and 9 Notes

1. Column 8 (Step 23B), Multiclient appeals:

States will either store an individual record for each appeal or one record with the number of appellants. States that maintain a single record for multiclient appeals with a field for the number of claimants involved should insert a text prefix of “M-1” (for multi-one record) in the multi-client field.

States which maintain multiple records (one for each claimant) for a multi-client appeal should insert a text prefix of “M-Lead” for one of the records. Both of these types of records will be assigned to subpopulations 8.45 through 8.52 (lower authority) and 9.13 through 9.20 (higher authority). States which maintain multiple records should insert a text prefix of “M-Nonlead” in the multiclient field for the non-lead claimants. These records will be assigned to subpopulations 8.53 (lower authority) and 9.21 (higher authority).

2. Column 14 (Disposed of by Decision) is optional. States which have an indicator to distinguish countable from uncountable decisions should insert the value of the countable appeal indicator in this field to show that it is countable based on information in the appeals file

3. These populations include appeals for Short Time Compensation (STC) Program (workshare) claims. These records should be labeled as “Workshare” for “Type of UI Program.” See the software record layouts for more details.

4. Remanded cases by the higher authority are to be handled as follows. A case remanded to lower authority for the taking of additional evidence is not a decision. It thus does not belong in the Population 9 extract file until it is actually returned by the lower authority and then disposed of by the higher authority. A case that is remanded for a rehearing does involve a decision by the higher authority but it is neither in favor of the appellant nor not in favor of the appellant. Within the existing DV framework, the Population 9 record should be built as Not in Favor of the Appellant. If a large number of remanded cases causes the Population 9 validation to fail, note the number in the Comments field.



**Table A.10.1**  
 Population 10 Subpopulations  
 Lower Authority Appeals Case Aging  
 Appeals Pending at the End of the Month Being Validated  
 Sort by Days Pending Within Each Category

Subpopulation #	ETA 9055 Column	2 (Step 1E) (Rule 1)  SSN	3 (Step 1E) (Rule 2)  Docket Number Unique ID	4 (Step 24A)  Appeal Level	5 (Step 30B) (Rule 1)  Appeal Pending	6 (Step 32)  Filed Date
LOWER AUTHORITY APPEALS CASE AGING (10.1 through 10.7) 1) Supplemental sample--outliers						
10.1	Section 9055L – Age ≤ 25 days	Required	Required	Lower		Required*
10.2	Section 9055L – Age 26-40 days	Required	Required	LOWER		Required*
10.3	Section 9055L – Age 41-90 days	Required	Required	LOWER		Required*
10.4	Section 9055L – Age 91-120 days	Required	Required	Lower		Required*
10.5	Section 9055L – Age 121-180 days	Required	Required	Lower		Required*
10.6	Section 9055L – Age 181-360 days	Required	Required	Lower		Required*
10.7	Section 9055L – Age > 360 days	Required	Required	Lower		Required*

\* Ages are calculated from this date to the last day of the report period being validated. The software groups the transactions into each subpopulation on the basis of the date ranges given in “ETA 9055 Column.”

**Table A.10.2**

Relationship between ETA 9055 Report Cells and Subpopulations in Population 10

**Age of Pending Lower Authority Single Claimant Appeals Cases**

<b>DAYS</b>	Total
Total	<b>10.1-10.7</b>
≤ 25	10.1
26-40	10.2
41-90	10.3
91-120	10.4
121-180	10.5
181-360	10.6
> 360	10.7

**Table A.11.1**  
 Population 11 Subpopulations  
 Higher Authority Appeals Case Aging  
 Appeals Pending at the End of the Month Being Validated  
 Sort by Days Pending Within Each Category

Subpopulation #	ETA 9055 Column	2 (Step 1F) (Rule 1)  SSN	3 (Step 1F) (Rule 2)  Docket Number Unique ID	4 (Step 24B)  Appeal Level	5 (Step 30B)  Appeal Pending	6 (Step 32)  Filed Date
HIGHER AUTHORITY APPEALS CASE AGING (11.1 through 11.6) 1) Supplemental sample--outliers						
11.1	Section 9055H – Age ≤ 40 days	Required	Required	Higher		Required*
11.2	Section 9055H – Age 41-70 days	Required	Required	Higher		Required*
11.3	Section 9055H – Age 71-120 days	Required	Required	Higher		Required*
11.4	Section 9055H – Age 121-180 days	Required	Required	Higher		Required*
11.5	Section 9055H – Age 181-360 days	Required	Required	Higher		Required*
11.6	Section 9055H – Age > 360 days	Required	Required	Higher		Required*

\* Ages are calculated from this date to the last day of the report period being validated. The software groups the transactions into each subpopulation on the basis of the date ranges given in “ETA 9055 Column.”

**Table A.11.2**

Relationship between ETA 9055 Report Cells and Subpopulations in Population 11

Age of Pending Higher Authority Single Claimant Appeals Cases

Days	Total
<b>Total</b>	11.1-11.6
≤ 40	11.1
41-70	11.2
71-120	11.3
121-180	11.4
181-360	11.5
> 360	11.6

**Populations 10 and 11 Notes**

1. Capture the lower authority and higher authority appeals data at the end of the month.
2. Column 5 (Step 30B), Appeal Pending, is an optional field for both Populations 10 and 11.

**Table A.12.1**  
Population 12 Subpopulations  
Overpayments Established by Cause

Subpop #	ETA 227A Line and Column	2 (Step 1G) (Rule 1) SSN	3 (Step 1G) (Rule 2) Unique ID	4 (Step 4) Program Type	5 (Step 33) Type of Overpayment	6 (Step 34) Cause of Overpayment	7 (Step 36) Date Established	8 (Step 37A) UI Amount	9 (Step 37B) Federal Amount	10 (Step 37C) EB Amount	11 (Step 45A) Accumulated UI Amount	12 (Step 45B) Accumulated Federal Amount	13 (Step 45C) Accumulated EB Amount	14 (Step 6A) (Step 6B) Date of Original Monetary
OVERPAYMENTS (12.1 through 12.27)														
1) Random Sample: 60 or 200 (includes review of folders); 2) Supplemental sample--missing strata; 3) Supplemental sample--outliers by dollars														
12.1 <sup>b</sup>	101 (2, 4, 5) 112 (2, 4, 5)	Required	Required if State maintains a unique ID	UI	Fraud	Single Claimant	Within the Quarter	> 0	> 0 if joint claim; otherwise blank or 0	Blank or 0			Blank or 0	Required
12.2 <sup>b</sup>	101 (2, 4, 5) 102 (2, 4, 5) 112 (2, 4, 5)	Required	Required if State maintains a unique ID	UI	Fraud	Multi Claimant Schemes <sup>c</sup>	Within the Quarter	> 0	> 0 if joint claim; otherwise blank or 0	Blank or 0			Blank or 0	Required
12.3 <sup>b</sup>	104 (2, 4, 5) 113 (2, 4, 5)	Required	Required if State maintains a unique ID	UI	Nonfraud	Reversals	Within the Quarter	> 0	> 0 if joint claim; otherwise blank or 0	Blank or 0			Blank or 0	Required
12.4 <sup>b</sup>	105 (2, 4, 5) 113 (2, 4, 5)	Required	Required if State maintains a unique ID	UI	Nonfraud	State Agency Errors <sup>c</sup>	Within the Quarter	> 0	> 0 if joint claim; otherwise blank or 0	Blank or 0			Blank or 0	Required
12.5 <sup>b</sup>	106 (2, 4, 5) 113 (2, 4, 5)	Required	Required if State maintains a unique ID	UI	Nonfraud	Employer Errors <sup>c</sup>	Within the Quarter	> 0	> 0 if joint claim; otherwise blank or 0	Blank or 0			Blank or 0	Required
12.6 <sup>b</sup>	107 (2, 4, 5) 113 (2, 4, 5)	Required	Required if State maintains a unique ID	UI	Nonfraud	Employer Errors <sup>c</sup>	Within the Quarter	> 0	> 0 if joint claim; otherwise blank or 0	Blank or 0			Blank or 0	Required

Subpop #	ETA 227A Line and Column	2 (Step 1G) (Rule 1) SSN	3 (Step 1G) (Rule 2) Unique ID	4 (Step 4) Program Type	5 (Step 33) Type of Overpayment	6 (Step 34) Cause of Overpayment	7 (Step 36) Date Established	8 (Step 37A) UI Amount <sup>a</sup>	9 (Step 37B) Federal Amount <sup>a</sup>	10 (Step 37C) EB Amount <sup>a</sup>	11 (Step 45A) Accumulated UI Amount	12 (Step 45B) Accumulated Federal Amount	13 (Step 45C) Accumulated EB Amount	14 (Step 6A) (Step 6B) Date of Original Monetary
12.7 <sup>b</sup>	108 (2, 4, 5) 113 (2, 4, 5)	Required	Required if State maintains a unique ID	UI	Nonfraud	Other	Within the Quarter	> 0	> 0 if joint claim; otherwise blank or 0	Blank or 0			Blank or 0	Required
12.8 <sup>b</sup>	109 (4, 5)	Required	Required if State maintains a unique ID	UI	Penalty		Within the Quarter	> 0	> 0 if joint claim; otherwise blank or 0	Blank or 0				Required
12.9	101 (3, 5) 112 (3, 5)	Required	Required if State maintains a unique ID	UCFE or UCX	Fraud	Single Claimant	Within the Quarter	Blank or 0	> 0	Blank or 0	Blank or 0		Blank or 0	Required
12.10	101 (3, 5) 102 (3, 5) 112 (3, 5)	Required	Required if State maintains a unique ID	UCFE or UCX	Fraud	Multi Claimant Schemes <sup>c</sup>	Within the Quarter	Blank or 0	> 0	Blank or 0	Blank or 0		Blank or 0	Required
12.11	104 (3, 5) 113 (3, 5)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	Reversals	Within the Quarter	Blank or 0	> 0	Blank or 0	Blank or 0		Blank or 0	Required
12.12	105 (3, 5) 113 (3, 5)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	State Agency Errors <sup>c</sup>	Within the Quarter	Blank or 0	> 0	Blank or 0	Blank or 0		Blank or 0	Required
12.13	106 (3, 5) 113 (3, 5)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	Employer Errors <sup>c</sup>	Within the Quarter	Blank or 0	> 0	Blank or 0	Blank or 0		Blank or 0	Required
12.14	107 (3, 5) 113 (3, 5)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	Claimant Errors <sup>c</sup>	Within the Quarter	Blank or 0	> 0	Blank or 0	Blank or 0		Blank or 0	Required

Subpop #	ETA 227A Line and Column	2 (Step 1G) (Rule 1) SSN	3 (Step 1G) (Rule 2) Unique ID	4 (Step 4) Program Type	5 (Step 33) Type of Overpayment	6 (Step 34) Cause of Overpayment	7 (Step 36) Date Established	8 (Step 37A) UI Amount <sup>a</sup>	9 (Step 37B) Federal Amount <sup>a</sup>	10 (Step 37C) EB Amount <sup>a</sup>	11 (Step 45A) Accumulated UI Amount	12 (Step 45B) Accumulated Federal Amount	13 (Step 45C) Accumulated EB Amount	14 (Step 6A) (Step 6B) Date of Original Monetary
12.15	108 (3, 5) 113 (3, 5)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	Other	Within the Quarter	Blank or 0	> 0	Blank or 0	Blank or 0		Blank or 0	Required
12.16	109 (5)	Required	Required if State maintains a unique ID	UCFE or UCX	Penalty		Within the Quarter	Blank or 0	> 0	Blank or 0				Required
12.17 <sup>b</sup>	101 (2, 4, 5) 111 (2, 4, 5) 112 (2, 4, 5)	Required	Required if State maintains a unique ID	UI	Fraud	Agency Employee Benefit	Within the Quarter	> 0	> 0 if joint claim; otherwise blank or 0	Blank or 0			Blank or 0	Required
12.18	101 (3, 5) 111 (3, 5) 112 (3, 5)	Required	Required if State maintains a unique ID	UCFE or UCX	Fraud	Agency Employee Benefit	Within the Quarter	Blank or 0	> 0	Blank or 0	Blank or 0		Blank or 0	Required
12.19	101 (20, 21) 112 (20, 21)	Required	Required if State maintains a unique ID	EB	Fraud	Single Claimant	Within the Quarter	Blank or 0	Blank or 0	> 0	Blank or 0	Blank or 0		Required
12.20	101 (20, 21) 102 (20, 21) 112 (20, 21)	Required	Required if State maintains a unique ID	EB	Fraud	Multi Claimant Schemes <sup>c</sup>	Within the Quarter	Blank or 0	Blank or 0	> 0	Blank or 0	Blank or 0		Required
12.21	101 (20, 21) 111 (20, 21) 112 (20, 21)	Required	Required if State maintains a unique ID	EB	Fraud	Agency Employee Benefit	Within the Quarter	Blank or 0	Blank or 0	> 0	Blank or 0	Blank or 0		Required
12.22	104 (20, 21) 113 (20, 21)	Required	Required if State maintains a unique ID	EB	Nonfraud	Reversals	Within the Quarter	Blank or 0	Blank or 0	> 0	Blank or 0	Blank or 0		Required

Subpop #	ETA 227A Line and Column	2 (Step 1G) (Rule 1) SSN	3 (Step 1G) (Rule 2) Unique ID	4 (Step 4) Program Type	5 (Step 33) Type of Overpayment	6 (Step 34) Cause of Overpayment	7 (Step 36) Date Established	8 (Step 37A) UI Amount <sup>a</sup>	9 (Step 37B) Federal Amount <sup>a</sup>	10 (Step 37C) EB Amount <sup>a</sup>	11 (Step 45A) Accumulated UI Amount	12 (Step 45B) Accumulated Federal Amount	13 (Step 45C) Accumulated EB Amount	14 (Step 6A) (Step 6B) Date of Original Monetary
12.23	105 (20, 21) 113 (20, 21)	Required	Required if State maintains a unique ID	EB	Nonfraud	State Agency Errors <sup>c</sup>	Within the Quarter	Blank or 0	Blank or 0	> 0	Blank or 0	Blank or 0		Required
12.24	106 (20, 21) 113 (20, 21)	Required	Required if State maintains a unique ID	EB	Nonfraud	Employer Errors <sup>c</sup>	Within the Quarter	Blank or 0	Blank or 0	> 0	Blank or 0	Blank or 0		Required
12.25	107 (20, 21) 113 (20, 21)	Required	Required if State maintains a unique ID	EB	Nonfraud	Claimant Errors <sup>c</sup>	Within the Quarter	Blank or 0	Blank or 0	> 0	Blank or 0	Blank or 0		Required
12.26	108 (20, 21) 113 (20, 21)	Required	Required if State maintains a unique ID	EB	Nonfraud	Other	Within the Quarter	Blank or 0	Blank or 0	> 0	Blank or 0	Blank or 0		Required
12.27	109 (21)	Required	Required if State maintains a unique ID	EB	Penalty		Within the Quarter	Blank or 0	Blank or 0	> 0				Required

<sup>a</sup> To accommodate the special case when there is a claim that has no amount for a type of overpayment in the validation quarter but has an accumulated amount from previous quarters that needs to be used to calculate a high dollar overpayment, the software will accept a zero or blank value in the UI Amount, Federal Amount and EB Amount fields, but the corresponding accumulated amount must be greater than zero.

<sup>b</sup> For Subpopulations 12.1 through 12.8, and 12.17 the Federal amount is the Federal share of a joint UI-Federal claim.

<sup>c</sup> These values are abbreviated in the record layout data format specifications (see Appendix A of ETA Operations Guide 411) but are shown here in their entirety for informational purposes.



**Table A.12.2**

Relationship between ETA 227 Report Cells and Subpopulations in Population 12

## A. PAGE 1 OF FORM

A. OVERPAYMENT ESTABLISHED – CAUSES								
Cause	Line No.	No.	Number of Cases			Dollar Amounts		
		Schemes	UI	UCFE/UCX	EB	UI	UCFE/UCX	EB
		(1)	(2)	(3)	(20)	(4)	(5)	(21)
Fraud – Total	101		1, 2 and 17	9, 10 and 18	19, 20 and 21	1, 2 and 17	9, 10 and 18	19, 20 and 21
Multi Claimant Schemes	102		2	10	20	2	2 and 10	20
Cases of Agency Employee Benefit Fraud	111		17	18	21	17	17 and 18	21
High Dollar Fraud	112		1, 2 and 17	9, 10 and 18	19, 20 and 21	1, 2 and 17	1, 2, 9, 10, 17, and 18	19, 20 and 21
Nonfraud – Total	103							
Reversals	104		3	11	22	3	3 and 11	22
	State Agency Errors	105	4	12	23	4	4 and 12	23
	Employer Errors	106	5	13	24	5	5 and 13	24
	Claimant Errors	107	6	14	25	6	6 and 14	25
	Other	108	7	15	26	7	7 and 15	26
High Dollar NonFraud	113		3-7	11-15	22-26	3-7	3-7 and 11-15	22-26
Penalty	109					8	8 and 16	27

**Population 12 Notes**

1. Subpopulations 12.1 – 12.8 and 12.17: Enter the Federal amount in Column 9 for joint claims.
2. Do not include revisions to overpayment amounts made in subsequent quarters. For example, if an overpayment was established in March and a revision to the amount was made in April, these revisions are reported in Population 13 as additions and subtractions but not reported in Population 12.
3. The “cause” of fraud overpayments must be either “Multiclient schemes” or “Single Claimant.” The software will reject records for fraud overpayments where the cause is

not “multiclaimitant schemes” or “Single Claimant.” States that use multiple codes for types of fraud committed by single claimants should use “Single Claimant.”

4. The accumulated amounts (i.e. fields Accumulated UI Amount, Accumulated Federal Amount, and Accumulated EB Amount) are used to calculate high dollar overpayments. Enter the total amount that the claim has from previous quarters that has not been counted already towards a high dollar overpayment in a previous quarter. For records belonging to the same claim, the accumulated amount should be the same. The software will add the accumulated amount only once.
5. To accommodate the special case when there is a claim that has no amount for a type of overpayment in the validation quarter but has an accumulated amount from previous quarters that needs to be used to calculate a high dollar overpayment, the software will accept a zero or blank value in the UI Amount, Federal Amount and EB Amount fields, but the corresponding accumulated amount must be greater than zero. For example, if the claim has a nonfraud amount but no fraud amount in the validation quarter, the validator needs to create a record with the accumulated fraud amount from previous quarters. The record should have the amount equal to zero, the accumulated amount greater than zero and any date within the validation quarter as the date established. The software will accept records with the amount equal to zero only if the accumulated amount is greater than zero. For example, if the Program Type is UI, and the UI Amount = 0, then Accumulated UI Amount > 0 and/or Accumulated Federal Amount > 0 if it’s a joint claim. If Program Type is UCX or UCFE and Federal Amount = 0, then Accumulated Federal Amount > 0. If Program Type is EB, and EB Amount = 0, then Accumulated EB Amount > 0. This does not apply to Penalty records, for which the accumulated amounts are always optional because they are not used to calculate high dollar overpayments.

**Table A.13.1**  
 Population 13 Subpopulations  
 Overpayment Reconciliation Activities  
 Overpayment Reconciliation Transaction Occurred During  
 Reporting Quarter Being Validated  
 ETA 227 – Section C

Sub pop #	ETA 227C Line and Column	2 (Step 1H) (Rule 1) SSN	3 (Step 1H) (Rule 2) Unique ID	4 (Step 4) Program Type	5 (Step 33) Type of Overpayment	6 (Step 38) Type of Reconciliation Activity	7 (Step 39) Date of Reconciliation Activity	8 (Step 40A) UI Reconciliation Amount	9 (Step 40B) Federal Reconciliation Amount <sup>a</sup>	10 (Step 40C) EB Reconciliation Amount
OVERPAYMENT RECONCILIATION TRANSACTIONS (13.1 through 13.57)										
1) Random sample: 30 or 100 (includes review of folders); 2) Supplemental sample--missing strata; 3) Supplemental sample--outliers by dollars										
13.1	303 (11, 12)	Required	Required if State maintains a unique ID	UI	Fraud	Cash	Required	> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
13.2	304 (11, 12)	Required	Required if State maintains a unique ID	UI	Fraud	Benefit Offset	Required	> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
13.3	305 (11, 12)	Required	Required if State maintains a unique ID	UI	Fraud	State Income Tax Offset*	Required	> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
13.4	306 (11, 12)	Required	Required if State maintains a unique ID	UI	Fraud	By Other State	Required	> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
13.5	307 (11, 12)	Required	Required if State maintains a unique ID	UI	Fraud	Other	Required	> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
13.6	309 (11, 12)	Required	Required if State maintains a unique ID	UI	Fraud	Write-Off	Required	> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
13.7	310 (11, 12)	Required	Required if State maintains a unique ID	UI	Fraud	Addition	Required	> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
13.8	311 (11, 12)	Required	Required if State maintains a unique ID	UI	Fraud	Subtraction	Required	> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0

Sub pop #	ETA 227C Line and Column	2 (Step 1H) (Rule 1) SSN	3 (Step 1H) (Rule 2) Unique ID	4 (Step 4) Program Type	5 (Step 33) Type of Overpayment	6 (Step 38) Type of Reconciliation Activity	7 (Step 39) Date of Reconciliation Activity	8 (Step 40A) UI Reconciliation Amount	9 (Step 40B) Federal Reconciliation Amount <sup>a</sup>	10 (Step 40C) EB Reconciliation Amount
13.9	303 (12)	Required	Required if State maintains a unique ID	UCFE or UCX	Fraud	Cash	Required	Must be blank or 0	> 0	Must be blank or 0
13.10	304 (12)	Required	Required if State maintains a unique ID	UCFE or UCX	Fraud	Benefit Offset	Required	Must be blank or 0	> 0	Must be blank or 0
13.11	305 (12)	Required	Required if State maintains a unique ID	UCFE or UCX	Fraud	State Income Tax Offset*	Required	Must be blank or 0	> 0	Must be blank or 0
13.12	306 (12)	Required	Required if State maintains a unique ID	UCFE or UCX	Fraud	By Other State	Required	Must be blank or 0	> 0	Must be blank or 0
13.13	307 (12)	Required	Required if State maintains a unique ID	UCFE or UCX	Fraud	Other	Required	Must be blank or 0	> 0	Must be blank or 0
13.14	309 (12)	Required	Required if State maintains a unique ID	UCFE or UCX	Fraud	Write-Off	Required	Must be blank or 0	> 0	Must be blank or 0
13.15	310 (12)	Required	Required if State maintains a unique ID	UCFE or UCX	Fraud	Addition	Required	Must be blank or 0	> 0	Must be blank or 0
13.16	311 (12)	Required	Required if State maintains a unique ID	UCFE or UCX	Fraud	Subtraction	Required	Must be blank or 0	> 0	Must be blank or 0
13.17	303 (13, 14)	Required	Required if State maintains a unique ID	UI	Nonfraud	Cash	Required	> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
13.18	304 (13, 14)	Required	Required if State maintains a unique ID	UI	Nonfraud	Benefit Offset	Required	> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
13.19	305 (13, 14)	Required	Required if State maintains a unique ID	UI	Nonfraud	State Income Tax Offset*	Required	> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
13.20	306 (13, 14)	Required	Required if State maintains a unique ID	UI	Nonfraud	By Other State	Required	> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0

Sub pop #	ETA 227C Line and Column	2 (Step 1H) (Rule 1) SSN	3 (Step 1H) (Rule 2) Unique ID	4 (Step 4) Program Type	5 (Step 33) Type of Overpayment	6 (Step 38) Type of Reconciliation Activity	7 (Step 39) Date of Reconciliation Activity	8 (Step 40A) UI Reconciliation Amount	9 (Step 40B) Federal Reconciliation Amount <sup>a</sup>	10 (Step 40C) EB Reconciliation Amount
13.21	307 (13, 14)	Required	Required if State maintains a unique ID	UI	Nonfraud	Other	Required	> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
13.22	308 (13, 14)	Required	Required if State maintains a unique ID	UI	Nonfraud	Waived	Required	> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
13.23	309 (13, 14)	Required	Required if State maintains a unique ID	UI	Nonfraud	Write-Off	Required	> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
13.24	310 (13, 14)	Required	Required if State maintains a unique ID	UI	Nonfraud	Addition	Required	> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
13.25	311 (13, 14)	Required	Required if State maintains a unique ID	UI	Nonfraud	Subtraction	Required	> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
13.26	303 (14)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	Cash	Required	Must be blank or 0	> 0	Must be blank or 0
13.27	304 (14)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	Benefit Offset	Required	Must be blank or 0	> 0	Must be blank or 0
13.28	305 (14)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	State Income Tax Offset*	Required	Must be blank or 0	> 0	Must be blank or 0
13.29	306 (14)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	By Other State	Required	Must be blank or 0	> 0	Must be blank or 0
13.30	307 (14)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	Other	Required	Must be blank or 0	> 0	Must be blank or 0
13.31	308 (14)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	Waived	Required	Must be blank or 0	> 0	Must be blank or 0
13.32	309 (14)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	Write-Off	Required	Must be blank or 0	> 0	Must be blank or 0

Sub pop #	ETA 227C Line and Column	2 (Step 1H) (Rule 1) SSN	3 (Step 1H) (Rule 2) Unique ID	4 (Step 4) Program Type	5 (Step 33) Type of Overpayment	6 (Step 38) Type of Reconciliation Activity	7 (Step 39) Date of Reconciliation Activity	8 (Step 40A) UI Reconciliation Amount	9 (Step 40B) Federal Reconciliation Amount <sup>a</sup>	10 (Step 40C) EB Reconciliation Amount
13.33	310 (14)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	Addition	Required	Must be blank or 0	> 0	Must be blank or 0
13.34	311 (14)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	Subtraction	Required	Must be blank or 0	> 0	Must be blank or 0
13.35	303 (22)	Required	Required if State maintains a unique ID	EB	Fraud	Cash	Required	Must be blank or 0	Must be blank or 0	> 0
13.36	304 (22)	Required	Required if State maintains a unique ID	EB	Fraud	Benefit Offset	Required	Must be blank or 0	Must be blank or 0	> 0
13.37	305 (22)	Required	Required if State maintains a unique ID	EB	Fraud	State Income Tax Offset*	Required	Must be blank or 0	Must be blank or 0	> 0
13.38	306 (22)	Required	Required if State maintains a unique ID	EB	Fraud	By Other State	Required	Must be blank or 0	Must be blank or 0	> 0
13.39	307 (22)	Required	Required if State maintains a unique ID	EB	Fraud	Other	Required	Must be blank or 0	Must be blank or 0	> 0
13.40	309 (22)	Required	Required if State maintains a unique ID	EB	Fraud	Write-Off	Required	Must be blank or 0	Must be blank or 0	> 0
13.41	310 (22)	Required	Required if State maintains a unique ID	EB	Fraud	Addition	Required	Must be blank or 0	Must be blank or 0	> 0
13.42	311 (22)	Required	Required if State maintains a unique ID	EB	Fraud	Subtraction	Required	Must be blank or 0	Must be blank or 0	> 0
13.43	303 (23)	Required	Required if State maintains a unique ID	EB	Nonfraud	Cash	Required	Must be blank or 0	Must be blank or 0	> 0
13.44	304 (23)	Required	Required if State maintains a unique ID	EB	Nonfraud	Benefit Offset	Required	Must be blank or 0	Must be blank or 0	> 0

Sub pop #	ETA 227C Line and Column	2 (Step 1H) (Rule 1) SSN	3 (Step 1H) (Rule 2) Unique ID	4 (Step 4) Program Type	5 (Step 33) Type of Overpayment	6 (Step 38) Type of Reconciliation Activity	7 (Step 39) Date of Reconciliation Activity	8 (Step 40A) UI Reconciliation Amount	9 (Step 40B) Federal Reconciliation Amount <sup>a</sup>	10 (Step 40C) EB Reconciliation Amount
13.45	305 (23)	Required	Required if State maintains a unique ID	EB	Nonfraud	State Income Tax Offset*	Required	Must be blank or 0	Must be blank or 0	> 0
13.46	306 (23)	Required	Required if State maintains a unique ID	EB	Nonfraud	By Other State	Required	Must be blank or 0	Must be blank or 0	> 0
13.47	307 (23)	Required	Required if State maintains a unique ID	EB	Nonfraud	Other	Required	Must be blank or 0	Must be blank or 0	> 0
13.48	308 (23)	Required	Required if State maintains a unique ID	EB	Nonfraud	Waived	Required	Must be blank or 0	Must be blank or 0	> 0
13.49	309 (23)	Required	Required if State maintains a unique ID	EB	Nonfraud	Write-Off	Required	Must be blank or 0	Must be blank or 0	> 0
13.50	310 (23)	Required	Required if State maintains a unique ID	EB	Nonfraud	Addition	Required	Must be blank or 0	Must be blank or 0	> 0
13.51	311 (23)	Required	Required if State maintains a unique ID	EB	Nonfraud	Subtraction	Required	Must be blank or 0	Must be blank or 0	> 0
13.52	314 (11, 12)	Required	Required if State maintains a unique ID	UI	Fraud	Federal Income Tax Offset*	Required	> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
13.53	314 (12)	Required	Required if State maintains a unique ID	UCFE or UCX	Fraud	Federal Income Tax Offset*	Required	Must be blank or 0	> 0	Must be blank or 0
13.54	314 (13, 14)	Required	Required if State maintains a unique ID	UI	Nonfraud	Federal Income Tax Offset*	Required	> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
13.55	314 (14)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	Federal Income Tax Offset*	Required	Must be blank or 0	> 0	Must be blank or 0
13.56	314 (22)	Required	Required if State maintains a unique ID	EB	Fraud	Federal Income Tax Offset*	Required	Must be blank or 0	Must be blank or 0	> 0

Sub pop #	ETA 227C Line and Column	2 (Step 1H) (Rule 1) SSN	3 (Step 1H) (Rule 2) Unique ID	4 (Step 4) Program Type	5 (Step 33) Type of Overpayment	6 (Step 38) Type of Reconciliation Activity	7 (Step 39) Date of Reconciliation Activity	8 (Step 40A) UI Reconciliation Amount	9 (Step 40B) Federal Reconciliation Amount <sup>a</sup>	10 (Step 40C) EB Reconciliation Amount
13.57	314 (23)	Required	Required if State maintains a unique ID	EB	Nonfraud	Federal Income Tax Offset*	Required	Must be blank or 0	Must be blank or 0	> 0

\*These values are abbreviated in the record layout data format specifications (see Appendix A of ETA Operations Guide 411) but are shown here in their entirety for informational purposes.

<sup>a</sup>For Subpopulations 13.1 through 13.8, 13.17 through 13.25, 13.52, and 13.54 the Federal amount is the Federal share of a joint UI-Federal claim.



**Table A.13.2**  
Relationship between ETA 227 Report Cells and Subpopulations in Population 13

**C. PAGE 2 OF FORM**

C. RECOVERY/RECONCILIATION								
	Line No.	Dollar Amount						
		Fraud			Nonfraud			
		UI	UCFE/UCX	EB	UI	UCFE/UCX	EB	
		(11)	(12)	(22)	(13)	(14)	(23)	
Recovered - Total	302							
Cash	303	1	1 and 9	35	17	17 and 26		43
Benefit Offset	304	2	2 and 10	36	18	18 and 27		44
State Income Tax Offset	305	3	3 and 11	37	19	19 and 28		45
Federal Income Tax Offset	314	52	52 and 53	56	54	54 and 55		57
By Other States	306	4	4 and 12	38	20	20 and 29		46
Other	307	5	5 and 13	39	21	21 and 30		47
Waived	308				22	22 and 31		48
Written-Off	309	6	6 and 14	40	23	23 and 32		49
Additions	310	7	7 and 15	41	24	24 and 33		50
Subtractions	311	8	8 and 16	42	25	25 and 34		51

**Population 13 Notes**

1. Reconstructing this population requires a detailed transaction history file that associates activities (Column 6) with particular overpayment types (Column 5).
2. Subpopulations 13.1-13.8, 13.17-13.25, 13.52, and 13.54. Enter the Federal amount in Column 9 for joint claims (field number 9 on the record layout).

3. Column 6 (Type of Reconciliation Activity). Additions include payments made on previously removed balances. Otherwise, additions and subtractions reflect changes in the balance resulting from administrative decisions such as appeal reversals.

***4. The validation of Receivables Removed at the End of the Period occurs in Population 14.***

**Table A.14.1**  
Population 14 Subpopulations  
Age of Overpayments

Sub pop #	ETA 227C ETA 227E Report, Line, and Column	2 (Step 1G) (Rule 1) SSN	3 (Step 1G) (Rule 2) Unique ID	4 (Step 36) Date Established	5 (Step 4) Program Type	6 (Step 44) Active Collection	7 (Step 33) Type of Overpaym ent	8 (Step 42A) UI Balance at End of Qtr	9 (Step 42B) Federal Balance at End of Qtr	10 (Step 42C) EB Balance at End of Qtr
14.1	E501 (18, 19) Age ≤ 90 days	Required	Required if State maintains a unique ID	Required <sup>a</sup>	UI			> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
14.2	E502 (18, 19) Age 91-180 days	Required	Required if State maintains a unique ID	Required <sup>a</sup>	UI			> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
14.3	E503 (18, 19) Age 181-270 days	Required	Required if State maintains a unique ID	Required <sup>a</sup>	UI			> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
14.4	E504 (18, 19) Age 271-360 days	Required	Required if State maintains a unique ID	Required <sup>a</sup>	UI			> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
14.5	E505 (18, 19) Age 361-450 days	Required	Required if State maintains a unique ID	Required <sup>a</sup>	UI			> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
14.6	E506 (18, 19) Age > 450 days	Required	Required if State maintains a unique ID	Required <sup>a</sup>	UI	Y or N*		> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
14.7	E501 (19) Age ≤ 90 days	Required	Required if State maintains a unique ID	Required <sup>a</sup>	UCFE or UCX			Must be blank or 0	> 0	Must be blank or 0
14.8	E502 (19) Age 91-180 days	Required	Required if State maintains a unique ID	Required <sup>a</sup>	UCFE or UCX			Must be blank or 0	> 0	Must be blank or 0
14.9	E503 (19) Age 181-270 days	Required	Required if State maintains a unique ID	Required <sup>a</sup>	UCFE or UCX			Must be blank or 0	> 0	Must be blank or 0

Sub pop #	ETA 227C ETA 227E Report, Line, and Column	2 (Step 1G) (Rule 1) SSN	3 (Step 1G) (Rule 2) Unique ID	4 (Step 36) Date Established	5 (Step 4) Program Type	6 (Step 44) Active Collection	7 (Step 33) Type of Overpay- ment	8 (Step 42A) UI Balance at End of Qtr	9 (Step 42B) Federal Balance at End of Qtr	10 (Step 42C) EB Balance at End of Qtr
14.10	E504 (19) Age 271-360 days	Required	Required if State maintains a unique ID	Required <sup>a</sup>	UCFE or UCX			Must be blank or 0	> 0	Must be blank or 0
14.11	E505 (19) Age 361-450 days	Required	Required if State maintains a unique ID	Required <sup>a</sup>	UCFE or UCX			Must be blank or 0	> 0	Must be blank or 0
14.12	E506 (19) Age > 450 days	Required	Required if State maintains a unique ID	Required <sup>a</sup>	UCFE or UCX	Y or N*		Must be blank or 0	> 0	Must be blank or 0
14.13	C312 (11, 12)	Required	Required if State maintains a unique ID	Required <sup>b</sup>	UI	N or D*	Fraud	> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
14.14	C312 (13, 14)	Required	Required if State maintains a unique ID	Required <sup>b</sup>	UI	N or D*	Nonfraud	> 0	> 0 if joint claim; otherwise blank or 0	Must be blank or 0
14.15	C312 (12)	Required	Required if State maintains a unique ID	Required <sup>b</sup>	UCFE or UCX	N or D*	Fraud	Must be blank or 0	> 0	Must be blank or 0
14.16	C312 (14)	Required	Required if State maintains a unique ID	Required <sup>b</sup>	UCFE or UCX	N or D*	Nonfraud	Must be blank or 0	> 0	Must be blank or 0
14.17	C312 (22)	Required	Required if State maintains a unique ID	Required <sup>b</sup>	EB	N or D*	Fraud	Must be blank or 0	Must be blank or 0	> 0
14.18	C312 (23)	Required	Required if State maintains a unique ID	Required <sup>b</sup>	EB	N or D*	Nonfraud	Must be blank or 0	Must be blank or 0	> 0
14.19	E501 (25) Age ≤ 90 days	Required	Required if State maintains a unique ID	Required <sup>a</sup>	EB			Must be blank or 0	Must be blank or 0	> 0
14.20	E502 (25) Age 91-180 days	Required	Required if State maintains a unique ID	Required <sup>a</sup>	EB			Must be blank or 0	Must be blank or 0	> 0
14.21	E503 (25) Age 181-270 days	Required	Required if State maintains a unique ID	Required <sup>a</sup>	EB			Must be blank or 0	Must be blank or 0	> 0
14.22	E504 (25) Age 271-360 days	Required	Required if State maintains a unique ID	Required <sup>a</sup>	EB			Must be blank or 0	Must be blank or 0	> 0
14.23	E505 (25) Age 361-450 days	Required	Required if State maintains a unique ID	Required <sup>a</sup>	EB			Must be blank or 0	Must be blank or 0	> 0
14.24	E506 (25) Age > 450 days	Required	Required if State maintains a unique ID	Required <sup>a</sup>	EB	Y or N*		Must be blank or 0	Must be blank or 0	> 0

## Column 4:

<sup>a</sup>Ages are calculated from this date to the last day of the report period being validated. The software groups the transactions into each subpopulation on the basis of the date ranges given in “ETA 227C ETA 227E Report, Line, and Column.”

<sup>b</sup>These overpayments have been reported in line 506 (18,19) in at least 3 prior quarters.

## Column 6:

Y\* = Yes, overpayment in active collection throughout the report quarter. Overpayment records must be coded with N or Y as soon as they are old enough to be reported in E-506 (18 or 19)—Age 451+ days.

N = No, overpayment not in active collection at the end of the report quarter. Records of overpayments not in active collection must be coded with N as soon as they are old enough to be reported in E-506 (18 or 19)--Age 451+ days--and will be removed after having been reported in Section E for eight previous quarters.

D\* = Dropped, overpayment not in active collection at the end of the report quarter after being in active collection throughout (or at least at the end of) the prior quarter and reported in Section E at least nine previous quarters.

**Table A.14.2**

Relationship between ETA 227 Report Cells and Subpopulations in Population 14

## E. PAGE 3 OF FORM

SECTION E: AGING OF BENEFIT OVERPAYMENT ACCOUNTS				
Accounts Receivable	Line No.	Dollar Amounts		
		UI	UCFE/UCX	EB
		(18)	(19)	(25)
90 days or less	501	1	1 and 7	19
91 – 180 days	502	2	2 and 8	20
181 – 270 days	503	3	3 and 9	21
271 – 360 days	504	4	4 and 10	22
361 – 450 days	505	5	5 and 11	23
451 days or more	506	6	6 and 12	24
Total Accounts Receivable	507			

**Table A.14.3**

Relationship between ETA 227 Report Cells and Subpopulations in Population 14

## C. PAGE 2 OF FORM

C. RECOVERY/RECONCILIATION							
	Line No.	Dollar Amount					
		Fraud			Nonfraud		
		UI	UCFE/UCX	EB	UI	UCFE/UCX	EB
		(11)	(12)	(22)	(13)	(14)	(23)
Receivables Removed at End of Period	312	13	13, 15	17	14	14, 16	18

## Population 14 Notes

1. Population 14 has been designed to process a state's entire outstanding overpayments file and generate:
  - Section E of the ETA 227 Report (Age of Outstanding Overpayments)
  - Amounts removed on Section C of the ETA 227 Report (Overpayments Reconciliation Activities – Row 312)

The validation of amounts removed in Section C uses the population 14 file and not the population 13 file which validates Section C because removal is determined by examining outstanding overpayments.

The software will ignore any overpayments that are included in the extract file that are too old to be included in Section E and are not removed during the quarter.

Overpayments are not removed automatically when they have been included on the previous eight 227 reports. If the overpayment is in Active Collection status in the ninth quarter after it was established, it is not removed until the state indicates that it has dropped the Active Collection status.

Therefore, states must label each outstanding overpayment that has been reported on eight 227 reports in Column 6 (Active Collection) as either:

- Yes – in active collection. These overpayments will not be removed and will be included in section E (greater than 450 days).
  - No – not in active collection. These overpayments will be removed (not included in section E but included in Section C line 12) in the ninth quarter after the date established. Any overpayment greater than nine quarters old with a no in Column 7 is not included in Sections C or E.
  - Dropped – the overpayment has been reported for 9 or more quarters and was in active collection in the prior quarter but has been dropped during the report quarter from active collection status. These payments will be included in Section C line 12 as removed during the quarter.
2. Overpayment in Active Collection: Overpayments for which a payment schedule is established with the claimant or for which offsets are being collected.
  3. Section C of the ETA 227 report requires the amounts removed to be identified as fraud or non-fraud. Therefore, a value of fraud or non-fraud is required in Column 8 for overpayments which had been reported for eight quarters and are not in active collection or overpayments which had been reported for nine or more quarters and the state dropped active collection during the quarter.

**Table A.15.1**  
**Population 15 Subpopulations**  
**Overpayments Established by Method**

Subpop #	ETA 227B Line and Column	2 (Step 1G) (Rule 1)  SSN	3 (Step 1G) (Rule 2)  Unique ID	4 (Step 33)  Type of Overpayment	5 (Step 35)  Detection Method	6 (Step 36)  Date Established	7 (Step 37A) (Step 37B)  Amount	8 (Step 46)  Overpayment Established by Investigation
OVERPAYMENTS (15.01 through 15.21)								
1) Random Sample: 60 or 200 (includes review of folders); 2) Supplemental sample--missing strata								
15.01	202 (6)	Required	Required if State maintains a unique ID	Must be blank	Wage Crossmatch	Required	Must be blank or 0	N
15.02	203 (6)	Required	Required if State maintains a unique ID	Must be blank	IB Crossmatch	Required	Must be blank or 0	N
15.03	210 (6)	Required	Required if State maintains a unique ID	Must be blank	NDNH	Required	Must be blank or 0	N
15.04	204 (6)	Required	Required if State maintains a unique ID	Must be blank	SDNH	Required	Must be blank or 0	N
15.05	205 (6)	Required	Required if State maintains a unique ID	Must be blank	Multiclient	Required	Must be blank or 0	N
15.06	206 (6)	Required	Required if State maintains a unique ID	Must be blank	Special Project	Required	Must be blank or 0	N
15.07	202 (6, 7, 8)	Required	Required if State maintains a unique ID	Fraud	Wage Crossmatch	Required	> 0	Y
15.08	203 (6, 7, 8)	Required	Required if State maintains a unique ID	Fraud	IB Crossmatch	Required	> 0	Y
15.09	210 (6, 7, 8)	Required	Required if State maintains a unique ID	Fraud	NDNH	Required	> 0	Y
15.10	204 (6, 7, 8)	Required	Required if State maintains a unique ID	Fraud	SDNH	Required	> 0	Y
15.11	205 (6, 7, 8)	Required	Required if State maintains a unique ID	Fraud	Multiclient	Required	> 0	Y
15.12	206 (6, 7, 8)	Required	Required if State maintains a unique ID	Fraud	Special Project	Required	> 0	Y



Subpop #	ETA 227B Line and Column	2 (Step 1G) (Rule 1)  SSN	3 (Step 1G) (Rule 2)  Unique ID	4 (Step 33)  Type of Overpayment	5 (Step 35)  Detection Method	6 (Step 36)  Date Established	7 (Step 37A) (Step 37B)  Amount	8 (Step 46)  Overpayment Established by Investigation
15.13	207 (7, 8)	Required	Required if State maintains a unique ID	Fraud	Other Controllable	Required	> 0	
15.14	208 (7, 8)	Required	Required if State maintains a unique ID	Fraud	Noncontrollable	Required	> 0	
15.15	202 (6, 9, 10)	Required	Required if State maintains a unique ID	Nonfraud	Wage Crossmatch	Required	> 0	Y
15.16	203 (6, 9, 10)	Required	Required if State maintains a unique ID	Nonfraud	IB Crossmatch	Required	> 0	Y
15.17	210 (6, 9, 10)	Required	Required if State maintains a unique ID	Nonfraud	NDNH	Required	> 0	Y
15.18	204 (6, 9, 10)	Required	Required if State maintains a unique ID	Nonfraud	SDNH	Required	> 0	Y
15.19	206 (6, 9, 10)	Required	Required if State maintains a unique ID	Nonfraud	Special Project	Required	> 0	Y
15.20	207 (9, 10)	Required	Required if State maintains a unique ID	Nonfraud	Other Controllable	Required	> 0	
15.21	208 (9, 10)	Required	Required if State maintains a unique ID	Nonfraud	Noncontrollable	Required	> 0	

**Table A.15.2**  
Relationship between ETA 227 Report Cells and Subpopulations in Population 15

SECTION B. OVERPAYMENTS ESTABLISHED - METHODS OF DETECTION						
Method	Line No.	Number of Cases Investigated (6)	Fraud		NonFraud	
			Number of Cases (7)	Dollars (8)	Number of Cases (9)	Dollars (10)
Controllable - Total	201					
Wage/Benefit Crossmatch	202	1, 7, 15	7	7	15	15
IB Crossmatch	203	2, 8, 16	8	8	16	16
National Directory of New Hires	210	3, 9, 17	9	9	17	17
State Directory of New Hires	204	4, 10, 18	10	10	18	18
Multi-Claimant Scheme Systems	205	5, 11	11	11		
Special Project	206	6, 12, 19	12	12	19	19
Other	207		13	13	20	20
Noncontrollable - Total	208		14	14	21	21
Total - Controllable and Noncontrollable	209					

### Population 15 Notes

1. Do not include revisions to overpayment amounts made in subsequent quarters. For example, if an overpayment was established in March and a revision to the amount was made in April, these revisions are reported in Population 13 as additions and subtractions but not reported in Population 15.
2. Subpopulations 15.13, 15.14, 15.20, 15.21. States are not required to report whether Other Controllable or Non-controllable overpayments were established by investigation and so Field 8, Established by Investigation, is optional for these overpayment detection types. A Non-controllable overpayment rarely involves an agency investigation.
3. Subpopulations 15.01-15.06. These represent potential or likely overpayments which, after investigation, were not established either because the investigation could not substantiate the existence of an overpayment or because the amount was too small for recovery to be cost-effective. An example of the former would be the investigation of SDNH, NDNH or other cross-match hits.

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## **APPENDIX B**

*Benefits*

SAMPLE SPECIFICATIONS

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## A. Purpose

This appendix describes the sampling specifications used by the software to select samples of transactions for data element validation.

## B. TYPES OF SAMPLES

The validation software uses specific random and supplemental sampling techniques to ensure that the validation methodology is efficient but thorough. The software selects four different types of samples:

- **Random**
- **Missing subpopulations**
- **Outliers**
- **Minimum**

There are 18 random samples among all benefits populations. These samples pass with an error rate of 5% or less. If a random sample fails to pass validation, the population must be revalidated within a year.

Non-random samples are supplemental and are not used when calculating population pass/fail scores, but states must complete them and save their results for three years in case of an Office of Inspector General (OIG) audit.

## C. Random Samples

Random samples are used to validate the most important transaction types, for which ETA requires the most comprehensive validation. These transaction types are used for funding or for important performance measures, such as initial claims, nonmonetary determinations, appeals, and first payments.

The DV program uses a two-tier random sampling method. This approach is very efficient because it allows states to review a relatively small number of cases while still ensuring that the data meet UI validation standards.

Depending on the type of transactions to be validated, the software selects 100 or 200 cases at random from a specific set of subpopulations. The validator initially reviews 30 cases for samples of 100 records or 60 for samples of 200 records, referred to as the first tier of the sample. After the validator finishes validating the first tier, the software indicates whether it is necessary to continue to review the remaining cases. If there are no errors or a sufficiently large number of errors in the first tier, it is not necessary to validate the remaining cases because the error rate of the whole sample is conclusively below 5% or above 5%. It is only necessary to validate the remaining cases when the error rate is not conclusively below or

above 5%. The method the software uses to determine pass/fail scores follows. Specifications for each type of random sample are found in Table B.1 on page B.5.

### Procedures for reviewing 30/100 samples:

**Step 1:** Review the 30 cases in the first tier.

**0 errors:** the error rate is considered to be below 5%, and it is not necessary to review the remaining cases in the sample. The sample passes validation.

**5 or more errors:** the error rate is considered to be above 5%, and it is not necessary to review the remaining cases in the sample. The sample fails validation.

**1 - 4 errors:** the error rate is inconclusive, and the remaining 70 cases in the second tier of the sample must be reviewed (proceed to step 2)

**Step 2:** Review the remaining 70 cases in the second tier.

**9 or fewer errors (out of 100):** the error rate is considered to be below 5%, and hence the sample passes the validation.

**10 or more errors (out of 100):** the error rate is considered to be above 5%, and hence the sample fails the validation.

### Procedures for reviewing 60/200 samples:

**Step 1:** Review the 60 cases in the first tier.

**0 errors:** the error rate is considered to be below 5%, and it is not necessary to review the remaining cases in the sample. The sample passes validation.

**7 or more errors:** the error rate is considered to be above 5%, and it is not necessary to review the remaining cases in the sample. The sample fails validation.

**1 - 6 errors:** the error rate is inconclusive, and the remaining 140 cases in the second tier of the sample must be reviewed (proceed to step 2).

**Step 2:** Review of the remaining 140 cases in the second tier:

**16 or fewer errors (out of 200):** the error rate is considered to be below 5%, and hence the sample passes the validation

**17 or more errors** (out of 200): the error rate is considered to be above 5%, and hence the sample fails the validation

#### **D. Missing Subpopulations Samples**

Each missing subpopulations sample is related to a specific random sample. These are supplemental samples that check one transaction from each subpopulation for which no transactions were selected in the corresponding random sample. The purpose of these samples is to make sure that all types of critical transactions are reviewed.

For example, when selecting a random sample of first payments, the sample might not include any interstate first payments for claimants with both state UI and Federal wages (subpopulation 4.12) because this type of payment might occur infrequently. For the corresponding minimum sample, the software would then randomly select one transaction from subpopulation 4.12 and from any other subpopulation not represented in the random sample.

#### **E. Outliers Samples**

Random and missing subpopulations samples ensure that critical transactions have been defined correctly. However, these types of samples will not necessarily examine time lapse and dollar amount extremes (the shortest and longest time lapses, and the lowest and highest dollar amounts) where data or programming errors may occur. Review of data outliers is the most efficient way of detecting calculation or logic errors because it examines the extremes in a distribution of cases sorted by time lapse or dollar amount.

For example, to ensure that there are no calculation or date errors, the software draws the five cases with the lowest time lapse in days and the five cases with the highest time lapse in days for transactions subjected to time lapse measurement. The user then validates these cases to determine whether there are some anomalies. The same method is applied for transactions that report dollar amounts, such as overpayments established and overpayment reconciliation activities. Specifications for each outliers sample are found in Table B.1.

#### **F. Minimum Samples**

Supplemental minimum samples are used for transactions which have low priority for validation and for which no random sample is drawn by the software. For these types of transactions, it is only necessary to ensure that the state reporting software uses the correct fields in the database to process and report the transactions. For example, for new UCFE/UCX claims (subpopulations 3.15-3.18), only a supplemental sample of two cases per subpopulation (or eight cases in total) is reviewed and no random sample is drawn. Specifications for each supplemental minimum sample are found in Table B.1.

#### **G. SAMPLE SELECTION SPECIFICATIONS**

Table B.1 summarizes the sampling specifications. It lists all samples drawn by the software

along with the subpopulations sampled, the sample size, the sample name, the sample type, and the corresponding RV group. For example, Sample 100 is a random sample of 200 records selected from subpopulations 1.1 through 1.3 (intrastate weeks claimed), related to Group 1.01 of the RV.

The following is a description of each column in Table B.1:

- Column 1:** Sample number
- Column 2:** Type of Transaction (population)
- Column 3:** Sample ID corresponds to the sample numbers in the software
- Column 4:** Sample Name of sampled subset
- Column 5:** Type and size of sample (shows whether the sampled transactions come from a random, minimum, missing subpopulation, or outlier sample and the required sample size)
- Column 6:** Universe (subpopulations) subset from which each sample is derived
- Column 7:** Group Number for the corresponding RV Pass/Fail group
- Column 8:** Group Name for the corresponding RV Pass/Fail group

**Table B.1**  
Sample Specifications

Benefits Population		Data Element Validation Samples				Pass/Fail Groups	
(1) Pop	(2) Type of Transaction	(3) Sample ID	(4) Sample Name	(5) Type and Size	(6) Universe (Subpops)	(7) Group Number	(8) Group Name
1	Weeks Claimed	100	Intrastate Weeks Claimed	Random 60/200	1.1-1.3	1.01	5159 Intrastate Weeks Claimed
		110	Interstate Liable Weeks Claimed	Random 30/100	1.4-1.6	1.02	5159 Interstate Liable Weeks Claimed
		120	Interstate Weeks Claimed from Agent	Minimum--6	1.7-1.9	1.03	5159 Interstate Weeks Claimed Filed from Agent State
2	Final Payments	200	Final Payments	Random 30/100	2.1-2.4	2.01	5159 Final Payments
						2.02	218 Final Payments
3	Claims	300	New Intra & Inter Liable Claims	Random 60/200	3.1-3.18	3.01	5159 New Intrastate & Interstate Received as Liable
		301	New Intra & Inter Liable Claims	Missing Subpops ≤ 17	3.1-3.18	3.02	5159 Filed from Agent
		305	Interstate Filed from Agent	Minimum--6	3.19-3.21	3.03	5159 Taken as Agent
		310	Interstate Taken as Agent	Minimum--6	3.22-3.24	3.08	218 Total Determinations
		315	Intra and Inter Transitional Claims	Random 30/100	3.25-3.33	3.04	5159 Transitional
		320	CWC Claims	Random 30/100	3.34-3.39	3.06	586 New CWC
		321	CWC Claims	Missing Subpops ≤ 5	3.34-3.39	3.07	586 New CWC BY Established
		325	Monetary Sent w/o New Claim	Minimum--12	3.40-3.45	3.09	218 Total Benefit Year Established
		330	Entering Self Employment Program	Minimum--2	3.46	3.1	218 BY Established by Weeks
3a	Additional Claims	350	Intrastate Additional Claims	Random 60/200	3A.1-3A.3	3A.1	5159 Additional Intrastate
		360	Interstate Liable Additional Claims	Minimum--6	3A.4-3A.6		



Benefits Population		Data Element Validation Samples				Pass/Fail Groups		
(1) Pop	(2) Type of Transaction	(3) Sample ID	(4) Sample Name	(5) Type and Size	(6) Universe (Subpops)	(7) Group Number	(8) Group Name	
4	Payments	400	First Payments	Random 60/200	4.1-4.16	4.01	9050 First Payments	
		405	First Payments	Missing Subpops ≤ 15	4.1-4.16	4.02	9050 Partial First Payments	
		410	First Payments	Outliers--10	4.1, 4.3, 4.5, 4.7, 4.9, 4.11, 4.13, 4.15	4.03	9051 Continued Weeks Compensated	
		415	Continued Weeks Total Payments	Outliers--10	4.17-4.24	4.05	586 Weeks Compensated	
		420	Continued Weeks Partial Payments	Random 30/100	4.25-4.32	4.04	9051 Continued Partial Weeks Compensated	
		425	Adjusted Payments	Outliers--10	4.33-4.42	4.06	586 Prior Weeks Compensated	
		430	Self Employment Payments	Minimum--2	4.43	4.07	586 Benefits Paid (\$)	
		435	CWC First Payments	Random 30/100	4.44-4.45	4.09	586 CWC First Payments	
		440	CWC Continued Payments	Minimum--4	4.46-4.47	4.08	586 Prior Benefits Paid (\$)	
		445	CWC Adjusted Payments	Minimum--4	4.48-4.49	4.1	5159 UI Weeks Compensated	
		450	CWC Prior Weeks Compensated	Minimum--4	4.50-4.51	4.11	5159 UCFE/UCX Weeks Compensated	
							4.12	5159 UI Amount Paid (\$)
							4.13	5159 UCFE/UCX Amount Paid (\$)
5	Nonmonetary Determinations	500	Single Claimant Nonmon Determinations	Random 30/100	5.1-5.60	5.09	9052 Single Claimant Non Monetary Determinations	
		501	Single Claimant Nonmon Determinations	Missing Subpops ≤ 59	5.1-5.60	5.01	207 Total Single Claimant Determinations and UCFE/UCX Redeterminations	
		505	Single Claimant Nonmon Determinations	Outliers--10	5.1-5.60	5.03	207 Single Claimant Denials	
		510	UI Multi-Claimant Determinations	Minimum--8	5.61-5.64	5.04 and 5.10	207 and 9052 Multi-Claimant Non Monetary Determinations	
		520	Single Claimant Redeterminations	Random 30/100	5.65-5.70	5.02	207 UI Single Claimant Redeterminations	
							5.05	207 Separation Determinations
							5.06	207 Separation Denials
							5.07	207 UI Non Separation Determinations
							5.08	207 UI Non Separation Denials

Benefits Population		Data Element Validation Samples				Pass/Fail Groups	
(1) Pop	(2) Type of Transaction	(3) Sample ID	(4) Sample Name	(5) Type and Size	(6) Universe (Subpops)	(7) Group Number	(8) Group Name
6	Appeals Filed, Lower Authority	600	Appeals Filed, Lower Authority	Minimum--4	6.1-6.2	6.01	5130 Lower Authority Appeals
7	Appeals Filed, Higher Authority	700	Appeals Filed, Higher Authority	Minimum--4	7.1-7.2	7.01	5130 Higher Authority Appeals
8	Appeals Decisions, Lower Authority	800	Lower Authority Appeals Decisions	Random 60/200	8.1-8.52; 8.54-8.55	8.01	5130 All Decisions
						8.06	9054 All Appeals
		810	Lower Authority Appeals Decisions	Missing Subpops ≤ 21	8.33-8.52; 8.54-8.55	8.02	5130 UI Disposed of During Month
		820	Lower Authority Appeals Decisions	Outliers--10	8.1-8.52; 8.54-8.55	8.03	5130 UI Decisions (by Type)
						8.04	5130 UI in Favor of Appellant
						8.05	5130 UI Decisions (by Issue)
9	Appeals Decisions, Higher Authority	900	Higher Authority Appeals Decisions	Random 30/100	9.1-9.20; 9.22-9.23	9.01	5130 All Decisions
						9.05	9054B All Appeals
		910	Multi Claimant Appeals, Higher Authority	Missing Subpops ≤ 9	9.13 – 9.20; 9.22-9.23	9.02	5130 UI Disposed of During Month
		920	Higher Authority Appeals Decisions	Outliers--10	9.13 – 9.20; 9.22-9.23	9.03	5130 UI Decisions (by Type)
				9.04	5130 UI in Favor of Appellant		
10	Appeals Case Aging, Lower Authority	1000	Appeals Case Aging, Lower Authority	Outliers--10	10.1-10.7	10.01	9055 Lower Authority Appeals Case Aging
11	Appeals Case Aging, Higher Authority	1100	Appeals Case Aging, Higher Authority	Outliers--10	11.1-11.6	11.01	9055 Higher Authority Appeals Case Aging
12	Overpayments Established by Cause	1200	Overpayment \$ Established	Random 60/200	12.1-12.7; 12.9-12.15; 12.17-12.26	12.04	227 Total Dollars Established (\$)
		1210	Overpayment \$ Established	Missing Subpops ≤ 24	12.1-12.7; 12.9-12.15; 12.17-12.26	12.02	227 Fraud
		1220	Overpayment \$ Established	Outliers--10	12.1-12.7; 12.9-12.15; 12.17-12.26	12.03	227 Non-fraud
						12.05	227 Penalty (\$)

Benefits Population		Data Element Validation Samples				Pass/Fail Groups	
(1) Pop	(2) Type of Transaction	(3) Sample ID	(4) Sample Name	(5) Type and Size	(6) Universe (Subpops)	(7) Group Number	(8) Group Name
13	Overpayment Reconciliation Activities	1300	Overpayment Reconciliation Activities	Random 30/100	13.1-13.57	13.01	227 Recovered (\$)
		1310	Overpayment Reconciliation Activities	Missing Subpops ≤ 56	13.1-13.57	13.02	227 Waived (\$)
		1320	Overpayment Reconciliation Activities	Outliers--10	13.1-13.57	13.03	227 Written-Off (\$)
						13.04	227 Addition (\$)
						13.05	227 Subtraction (\$)
14	Aged Overpayments	1400	Aged Overpayments	Random 30/100	14.1-14.12	14.01	227 UI Total Accounts Receivable (\$)
		1410	Aged Overpayments	Outliers--10	14.1-14.12	14.03	227 Receivables Removed at End of Period (\$)
		1420	Aged Overpayments	Missing Subpops ≤ 11	14.1-14.12	14.02	227 UCFE/UCX Total Accounts Receivable (\$)
15	Overpayments Established by Method	1500	Overpayments \$ Established by Method	Random 60/200	15.7-15.21	15.03	227 Dollars Established (\$)
		1510	Overpayments \$ Established by Method	Missing Subpops ≤ 14	15.7-15.21	15.01	227 Overpayment Cases Investigated
						15.02	227 Overpayment Cases

## H. Sample Sizes below the Guidelines

For some smaller states, the number of cases to be randomly sampled (100 or 200) may exceed the universe for the selected time period being validated. In that case, the software will display all records and use the following table (Table B.2) to determine the score of the sample.

**Table B.2**  
Numbers of Errors and Conclusions for Samples under Supplemented Guidelines

<b>Total Number of Transactions Sampled (Range)</b>	<b>Error Rate is Less than 5% (Pass) if Number of Errors is No More Than:</b>	<b>Error Rate is at Least 5% (Fail) if Number of Errors is at Least</b>
3 to 7	1	2
8 to 16	2	3
17 to 28	3	4
29 to 40	4	5
41 to 53	5	6
54 to 67	6	7
68 to 81	7	8
82 to 95	8	9
96 to 110	9	10
111 to 125	10	11
126 to 140	11	12
141 to 155	12	13
156 to 171	13	14
172 to 187	14	15
188 to 200	15	16

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# **APPENDIX C**

*Benefits*

INTERSTATE FILED FROM AGENT RECORDS  
POPULATIONS 1 AND 3

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**A. Purpose**

Agent States are informed about New Claims and Continued Claims filed directly from claimants in their state against paying states through the Liable Agent Data Transfer (LADT) system. The LADT records are transferred from liable states to agent states via the Interstate Connection (ICON) system, and are the source from which Interstate Agent claim counts are reported and validated. LADT individual records are the source for building the validation records for Interstate Agent Weeks Claimed (subpopulations 1.7-1.9 of Population 1) and Interstate Agent Initial Claims (subpopulations 3.19-3.21 of Population 3.) This appendix provides instructions on how to build these records. If LADT individual records are not stored on the state UI database, then Populations 1 and 3 constructed directly from the database will contain no Interstate agent records and separate steps must be taken to construct and add them to the extract files

**B. Methodology**

The two record layouts below provide guidance on how the LADT individual record data are used to build Interstate Filed from Agent records. The records must be appended to records in the extract files for Populations 1 and 3 before importing them into the validation software. These records must be constructed as ASCII comma-delimited columns, as other records in the extract file. Data must be in the order listed on the record layout.

Module 3 indicates the step where the state-specific values for each field are documented. Where the LADT record does not contain the appropriate information, the record layout indicates “Leave blank” in the LADT field number column. The Data Type/Format indicates the generic values for text fields. These must be followed by a dash and the state-specific value.

Refer to field number 62 (Record Type) in the LADT record to determine whether the record’s data are to be used for Population 1 or 3. Population 1 uses data from Record Type = 2. Population 3 extract records are built from LADT Records Type = 1 and 3.

**Table C.1**  
Record Layout for Creating Records for  
Interstate Filed From Agent State Weeks Claimed  
Population 1: Weeks Claimed

ETA 5159 reference: Row 201, column 11; Row 202, column 11; Row 203, column 11  
Subpopulations: 1.7 – 1.9  
Field 62 (Record Type) in LADT = 2 (Weeks Claimed)

Num	Field Name	Module 3 Reference	LADT Field Number	Field Description	Data Type/Format
1	OBS	N/A		State assigned sequential unique identifier for each record in the extract file.	Number – 00000000 (Required)
2	Claim Week-Ending Date	Step 1A – Rule 2	52	The week-ending date of the week claimed.	Date - MM/DD/YYYY (Required)
3	SSN	Step 1A – Rule 1	1	Social Security Number	Number – 000000000 (Required)
4	Type of UI Program	Regular UI: Step 2A – Rule 1	Field 28 = 0	Regular UI claim.	Text – Regular UI (Required)
5	Program Type	UI: Step 4A – Rule 1  UCFE: Step 4B – Rule 1  UCX: Step 4C – Rule 1	27	UI, UCFE, or UCX	Text – UI; UCFE; UCX (Required)
6	Intrastate/ Interstate	Intrastate: Step 5A – Rules 1 and 2	Insert “Interstate Agent”	Intrastate, Interstate received as liable state, or Interstate filed from agent state.	Text – Intrastate;
		<b><i>Interstate Received as Liable State: Step 5B – Rules 1 and 2</i></b>			<b><i>Interstate liable; Interstate agent</i></b>
		Interstate Filed From Agent State: Step 5D – Rules 1 and 2			(Required)
7	Date Week Claimed	Step 11 – Rule 1	63	The date the week was claimed.	Date – MM/DD/YYYY (Required)
8	Monetarily Eligible or Pending	Step 11 – Rule 2	Leave Blank	Claimant is monetarily eligible for benefits when the week was claimed if: benefits have not been exhausted or monetary eligibility is pending, i.e., eligibility has not been finally determined. .	Text - Eligible; Pending (Optional)

Num	Field Name	Module 3 Reference	LADT Field Number	Field Description	Data Type/Format
9	Earnings	Step 11 – Rule 3	Leave Blank	Earnings for the week claimed except for interstate filed from agent state claims.	Number – 00000.00 (Required except optional for interstate filed from agent state claims)
10	WBA	Step 11 – Rule 3	33	Weekly benefit allowance.	Number – 00000.00 (Required)
11	User	N/A	Leave Blank	User defined field. Can be used for any additional data element. Not mandatory.	Text (Optional)



**Table C.2**  
 Record Layout for Creating Records for  
 Interstate Filed From Agent State Claims  
 Population 3: Claims

ETA 5159 reference: Row 101, column 4; Row 102, column 4; Row 103, column 4

Subpopulations: 3.19 – 3.21

Field 62 (Record Type) in LADT = 1 or 3 (TIC or Reopen/Transfer)

Num	Field Name	Module 3 Reference	LADT Field Number	Field Description	Data Type/Format
1	OBS	N/A		State assigned sequential unique identifier for each record in the extract file.	Number – 00000000 (Required)
2	SSN	Step 1B – Rule 1	1	Social Security Number	Number – 000000000 (Required)
3	Date Claim Filed/IB-4 Sent	Step 3A – Rule 1 Step 3B – Rule 1 Step 3C – Rule 1	25	The date the claim was filed in person, by mail or telephone, or by other means.	Date – MM/DD/YYYY (Required)
4	Type of UI Program	Regular UI: Step 2A – Rule 1	Field 28 = 0	Regular UI claim.	Text – Regular UI (Required)
5	Type of Claim	New: Step 3A – Rule 2  Transitional: Step 3C – Rule 2  Entering Self-Employment: Step 3D – Rule 2  Additional: Step 3B – Rule 2  Reopened: Step 3B – Rule 7  New CWC claim: Step 3A – Rule 6  New CWC claim filed in prior quarter: Step 3A – Rule 7  New claim filed in prior quarter: Step 3A – Rule 5	30 or 59 = 1(Reopen)	New claim, Transitional claim, Entering self-employment, Additional claim, Reopened claim, New CWC claim, New CWC claim filed in a prior quarter, or New claim filed in a prior quarter.	<b><u>Text – New; Transitional; Entering Self-Employment;</u></b>  Additional; Reopened; CWC New; Prior Qtr New CWC; Prior Qtr New Claim (Required)

Num	Field Name	Module 3 Reference	LADT Field Number	Field Description	Data Type/Format
6	Program Type	<b>UI: Step 4A – Rule 1</b> UCFE: Step 4B – Rule 1 UCX: Step 4C – Rule 1	27	UI, UCFE, or UCX.	Text – UI; UCFE; UCX (Required except optional for CWC and entering self-employment program claims)
7	Intrastate/Interstate	<b>Intrastate: Step 5A – Rules 1 and 2</b> <b>Interstate Received as Liable State: Step 5B – Rules 1 and 2</b> Interstate Taken as Agent State: Step 5C – Rules 1 and 2 Interstate Filed From Agent State: Step 5D – Rules 1 and 2 Intrastate CWC: Step 5E – Rules 1 and 2 Interstate CWC: Step 5F – Rules 1 through 4	Insert "Interstate Agent"	Intrastate, <b>Interstate received as liable, Interstate taken as agent,</b> Interstate filed from agent state, Intrastate combined wage claim, or Interstate combined wage claim.	Text – Intrastate; Interstate liable; Interstate taken; Interstate agent; CWC Intrastate; CWC Interstate; (Required except optional for transitional claims, new claims filed during a prior quarter, and entering self-employment program claims)
8	Date of Original Monetary	Step 6A – Rules 1 and 2 Step 6B – Rule 1	Leave Blank	Date when the original determination was made on whether the claimant has sufficient base-period wages and/or employment to establish a benefit year.	Date – MM/DD/YYYY (Required except must be blank for "No Monetary" claim and CWC claims with insufficient wages and optional for UCFE, UCX, interstate filed from agent state, interstate taken as agent state, and entering self-employment program claims)
9	Sufficient/Insufficient/Combined Wages	Sufficient Wages – New Benefit Year: Step 6C – Rules 1 and 2 <b>Sufficient Wages – No New Benefit Year: Step 6C – Rule 3</b> Insufficient Wages: Step 6D – Rule 1 New CWC Wages: Step 6C – Rule 4 No New CWC Wages: Step 6D – Rules 2 and 3	Leave Blank	The status of the new UI or CWC claim at the time the 218 report was run: Sufficient – new base year established, <b>Sufficient – no new base year established,</b> Insufficient, a new CWC claim, or not a new CWC claim.	Text – Insufficient; Sufficient New BY; Sufficient No BY; Sufficient New CWC BY (Required except must be blank for "No Monetary" claim and optional for UCFE, UCX, interstate filed from agent state, interstate taken as agent state, and entering self-employment program claims)

Num	Field Name	Module 3 Reference	LADT Field Number	Field Description	Data Type/Format
10	WBA	Step 7 – Rules 1 and 2	33	Weekly benefit allowance is the maximum or less than maximum.	Text – Maximum; Less than Maximum (Required except must be blank for insufficient, sufficient but no benefit year, and “No Monetary” claim, and optional for UCFE, UCX, interstate filed from agent state, interstate taken as agent state, CWC, and entering self-employment program claims)  (States should include the WBA after the dash which follows the generic Federal value.)
11	MBA	Steps 8A and 8B – Rule 1	Leave Blank	Maximum benefit allowance.	Number – 00000.00 (Required except must be blank or 0 for insufficient, sufficient but no benefit year, and “No Monetary” claim, and optional for UCFE, UCX, interstate filed from agent state, interstate taken as agent state, CWC, and entering self-employment program claims)
12	Potential Weeks of Duration	Step 8A – Rule 1	Leave Blank	The number of full weeks of benefits for which a claimant is determined to be eligible within a benefit year.	Number – 00 (Required except must be blank or 0 for insufficient, sufficient but no benefit year, and “No Monetary” claim, and optional for UCFE, UCX, interstate filed from agent state, interstate taken as agent state, CWC, and entering self-employment program claims)
13	Potential Weeks Maximum Duration	Step 8B – Rules 1 and 2	Leave Blank	The duration of the benefit year is or is not the maximum for the State.	Text – Y; N (Required except must be blank for insufficient, sufficient but no benefit year, and “No Monetary” claim, and optional for UCFE, UCX, interstate filed from agent state, interstate taken as agent state, CWC, and entering self-employment program claims)
14	User	N/A	Leave Blank	User defined filed. Can be used for any additional data element. Not mandatory.	Text (Optional)

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## **APPENDIX D**

*Benefits*

COMBINED WAGE CLAIMS AND PAYMENTS  
POPULATIONS 3 AND 4

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## A. Purpose

The ETA 5159 report includes information on claims filed and payments made. If those claims and payments involve combining wages from more than one state--i.e., they are combined wage claims (CWC)—they are also reported on the ETA 586 report of the paying state. The way CWC are reported on the two reports, however, is completely different. For this reason, the data validation program counts CWC claims and payments as separate transactions for which separate records are built and extracted differently for Populations 3 and 4, even though they represent a single claim or payment on the 5159. This guide indicates how the two sets of records are built and gives examples of both kinds of records.

For Population 3, state programmers need to extract claim records in subpopulations 3.1 to 3.33; 3.40 to 3.46 using the reporting rules of ETA 5159, where the issue of wages from multiple states is irrelevant. Then, the programmers in the CWC paying state need to extract CWC records for subpopulations 3.34 to 3.39 using the logic presented in the scenarios on the following pages where wages from more than one state are involved (including where wages were requested and/or added to the claim). Once the claims are extracted, the programmers must merge the records into a single file that can be loaded into the DV software.

The same approach is used for CWC payments in Population 4. The reporting of weeks compensated on the ETA 5159 report and of payments' time lapse on the ETA 9050 and ETA 9051 reports is not affected by how many states' wages are used. The reporting rules for weeks compensated on the ETA 586 report is explained in this guide and is very different from the rules for the ETA 5159, ETA 9050, and ETA 9051 reports.

State programmers should extract payments for subpopulations 4.1 to 4.43 using the ETA 5159, ETA 9050, and ETA 9051 reporting rules. Then, using the logic explained in the scenarios on the following pages, create a separate extract file for CWC payments for subpopulations 4.44 to 4.51. These two files must then be merged to load into Population 4 in the DV software.

Obviously, it is not necessary to physically create two extracts each for Populations 3 and 4 and then merge them. Programmers could combine the two sets of extract logic into a single extract process for each of these populations.

## B. Methodology

The following scenarios illustrate examples of different ways that combined wage claims and their associated payments are reported and validated on the ETA 586. For the first five scenarios, the first quarter of 2006 (January to March, 2006) was used. Activities that were reported on prior ETA 586 reports are listed as N/A for that specific quarter. Reporting

activities on the ETA 5159 and ETA 218 reports are also listed. A sixth scenario illustrates the effect of a regulation issued in November 2008 (effective January 2009) that changes the definition of the CWC paying state.

**Scenario 1** Wages were requested and combined for the initial claim within the same quarter and before the issuance of the first payment.

**Table D.1**  
Scenario 1

Step	Date	Action	Subpopulation	Reporting of Transaction as CWC Transaction	Reporting of Transaction as Regular Transaction
1	02/02/2006	New UI intrastate claim and request for wages from another state	3.01 (Insufficient) or 3.04 (Sufficient, less than Maximum)	N/A	5159A-101-2
2	02/03/2006	IB-4 is sent	3.34 or 3.35 depending on the outcome of the monetary New CWC	586-101-1	N/A
3	02/06/2006	Monetary determination of a \$150 weekly benefit allowance (WBA) was made based on wages from two states	3.35 New CWC Benefit Year (BY)	586-101-2	218A-100-1 (3-5) 218B-101 (8-13) (after redetermination for CWC wages)
4	02/10/2006	First Payment of \$150	4.1 (UI 1 <sup>st</sup> payment); 4.44 CWC first payment	586-101-4, 586-101-5 (\$) 586B (8) – 1 <sup>st</sup> payment	5159B-301 (14-15); 5159B-302 (14-15); 9050-All-C2
5	02/17/2006	Payment of \$150	4.17, UI continued payment 4.46 CWC continued payment	586-101-4, 586-101-5 (\$)	5159B-301 (14-15); 5159B-302 (14-15); 9051-All-C2
6	02/24/2006	Payment of \$150	4.17, UI continued payment 4.46 CWC continued payment	586-101-4, 586-101-5 (\$)	5159B-301 (14-15); 5159B-302 (14-15); 9051-All-C2
7	03/03/2006	Payment of \$150	4.17, UI continued payment 4.46 CWC continued payment	586-101-4, 586-101-5 (\$)	5159B-301 (14-15); 5159B-302 (14-15); 9051-All-C2

1. A new UI intrastate claim is filed and determined monetarily insufficient or sufficient for less than the maximum WBA on 02/02/2006 (if the original monetary were for the Maximum MBA/WBA, wages could not be combined to yield a New CWC BY.) In many state environments, the claimant may request that wages be combined as part of filing an IC; in such cases, the initial claim process will include sending IB-4's to the states where the claimant worked, and a monetary determination will not be done until the requested out-of-state wages are received.

2. An IB-4 request to combine wages is sent. This results in a new CWC that is reported on the ETA 586 in cell 101-1.
3. A monetary redetermination is issued that combines wages from two states and sets a WBA of \$150. This results in a new CWC benefit year that is reported on the ETA586 report of the first quarter of 2006, in cell 101-2.
4. A payment of \$150 is made. This is considered a CWC first payment and is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5. The payment is also reported on the 9050 and on the 5159, and \$ on the 5159.
5. A second payment of \$150 is made. This is considered a CWC continued payment and is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5. The payment is also reported on the 9051 and on the 5159, and \$ on the 5159.
6. A third payment of \$150 is made. This is considered a CWC continued payment and is reported on the 586 in cell 101-4. The dollar amount is reported in cell 101-5. The payment is also reported on the 9051 and on the 5159, and \$ on the 5159.
7. A fourth payment of \$150 is made. This is considered a CWC continued payment and is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5. The payment is also reported on the 9051 and on the 5159, and \$ on the 5159.

The following tables illustrate the records that would be built for Populations 3 and 4. CWC records are shaded.

**Table D.2**  
Scenario 1  
How the Steps Would be Reflected in Population 3 Validation Records

Step	Date Claim Filed	Type UI Program	Claim Type	Program Type	Intrastate/ Interstate	Date Original Monetary	Sufficient/ Insufficient	WBA	MBA	Potential Weeks Duration	Potential Weeks Max Duration	Subpop
1	2/2/2006	Regular UI-1	NEW	UI	Intrastate-01	2/2/2009	Insufficient		0	0		3.01
1	2/2/2006	Regular UI-1	NEW	UI	Intrastate-01	2/2/2009	Sufficient New BY	Less than maximum	2600	26	Y	3.04
2,3	2/3/2006	Regular UI	CWC NEW	UI	CWC Intrastate	2/6/2006	Sufficient New CWC BY	Maximum (Optional)	3900 (Optional)	26 (Optional)	Y (Optional)	3.35

**Table D.3**  
Scenario 1  
How the Steps Would be Reflected in Population 4 Validation Records

Step	Type UI Program	Program Type	Intra/ Inter Claim	Type of Comp.	Partial /Total	Earnings	WBA	UI Amount	UCFE Amount	UCX Amount	CWC Amount	SE Amount	Week End Date	Mail Date	Subpop
4	Regular UI-1	UI Only-U	Intrastate CWC-1	First Payment	Total	0	150	0	0	0	150	0	2/1/2006	2/10/2006	4.44
4	Regular UI-1	UI Only-U	Intrastate	First Payment	Total	0	150	150	0	0	0	0	2/1/2006	2/10/2006	4.1
5	Regular UI-1	UI Only-U	Intrastate CWC-1	Continued Payment	Total	0	150	0	0	0	150	0	2/8/2006	2/17/2006	4.46
5	Regular UI-1	UI Only-U	Intrastate	Continued Payment	Total	0	150	150	0	0	0	0	2/8/2006	2/17/2006	4.17
6	Regular UI-1	UI Only-U	Intrastate CWC-1	Continued Payment	Total	0	150	0	0	0	150	0	2/15/2006	2/24/2006	4.46
6	Regular UI-1	UI Only-U	Intrastate	Continued Payment	Total	0	150	150	0	0	0	0	2/15/2006	2/24/2006	4.17
7	Regular UI-1	UI Only-U	Intrastate CWC-1	Continued Payment	Total	0	150	0	0	0	150	0	2/22/2006	3/3/2006	4.46
7	Regular UI-1	UI Only-U	Intrastate	Continued Payment	Total	0	150	150	0	0	0	0	2/22/2006	3/3/2006	4.17



The tables below illustrate the total counts and dollar amounts that the state would report in each applicable cell of the ETA 586 for the first quarter of 2006, if the preceding scenario occurred.

**Table D.4**

Scenario 1

How Claims and Benefit Years Would be Reported in ETA 586

ETA 586A			Persons Establishing Benefit Years
State UI	Line No.	New Claims (1)	(2)
Intrastate	101	1	1
Interstate Received as Paying State	102	0	0

**Table D.5**

Scenario 1

How Payments Would be Reported in ETA 586

State UI	Line No.	Weeks Compensated (4)	Benefits Paid (5)	Prior Weeks Compensated (6)	Prior Benefits Paid (7)
Intrastate	101	4	\$600	0	\$0
Interstate Received as Paying State	102	0	0	0	0

**Scenario 2** An IB-4 request is sent after two UI payments are made. Wages were combined after the new UI claim was filed but within the same quarter; and the first payment for the new CWC is the payment for the first compensable week after wages were combined. In this scenario, the CWC first payment occurs before an adjustment check is issued for the week compensated before combining the wages.

**Table D.6**  
Scenario 2

Step	Date	Action	Subpopulation	Reporting of Transaction as CWC Transaction	Reporting of Transaction as Regular Transaction
1	01/02/2006	New UI intrastate claim, and a sufficient monetary determination for less than the maximum WBA is made	3.4 New Intrastate claim; max duration, less than max WBA	N/A	5159A-101-2
2	01/13/2006	Payment of \$100	4.1 (UI 1 <sup>st</sup> payment); 4.46 CWC cont'd payment	586-101-4, 586-101-5 (\$)	5159B-301 (14,15) 5159B-302 (14,15) 9050-All-C2
3	01/20/2006	Payment of \$100	4.17 (UI cont'd payment) 4.46 CWC continued payment	586-101-4, 586-101-5 (\$)	5159B-301 (14,15) 5159B-302 (14,15) 9051-All-C2
4	01/24/2006	Request to combine wages; IB-4 is sent	3.34 or 3.35 depending on the outcome of the monetary New CWC claim	586-101-1	N/A
5	01/25/2006	Monetary redetermination is made to increase WBA to \$150 after wages are combined	3.35 New CWC BY	586-101-2	218A-100 (1, 2); 218B-103 (14, 19) after redetermination and effect of combining wages)
6	02/03/2006	First CWC payment of \$150	4.17, UI cont'd payment 4.44, CWC first payment	586-101-4, 586-101-5 (\$) 586B (8) – 1 <sup>st</sup> payment	5159B-301 (14,15) 5159B-302 (14,15) 9051-All-C2
7	02/09/2006	Adjustment payment of \$100 (2 x \$50) is made for weeks compensated before wages combined	4.33, Adjustment 4.48, CWC adjustment	586-101-5 (\$ only)	5159B-302 (14,15)
8	02/10/2006	Payment of \$150	4.17, UI cont'd payment 4.46, CWC cont'd payment	586-101-4, 586-101-5 (\$)	5159B-301 (14,15) 5159B-302 (14,15) 9051-All-C2
9	02/17/2006	Payment of \$150	4.17, UI cont'd payment 4.46, CWC cont'd payment	586-101-4, 586-101-5 (\$)	5159B-301 (14,15) 5159B-302 (14,15) 9051-All-C2

Step	Date	Action	Subpopulation	Reporting of Transaction as CWC Transaction	Reporting of Transaction as Regular Transaction
10	02/24/2006	Payment of \$150	4.17, UI cont'd payment 4.46, CWC cont'd payment	586-101-4, 586-101-5 (\$)	5159B-301 (14,15) 5159B-302 (14,15) 9051-All-C2

1. A new UI intrastate claim is filed and determined sufficient on 01/02/2006. The monetary results in a Benefit Year for maximum duration but less than maximum WBA.
2. A payment of \$100 is made on 01/13/2006. This payment is a *regular first payment* on the 9050 report and included in the 5159, but it will be reported as a *CWC continued payment* on the ETA 586 in cell 101-4, with the dollar amount reported in cell 101-5.
3. A second payment of \$100 is made on 01/20/2006. This payment will be reported as a CWC continued payment on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.
4. An IB-4 request to combine wages is sent. This results in a new CWC claim that is reported on the ETA 586 in cell 101-1.
5. A monetary redetermination is issued that combines wages and increases the WBA to \$150. This establishes the CWC benefit year that is reported on the ETA 586 in cell 101-2. This redetermination is assumed to result in a Benefit Year for maximum duration and a higher, but still less than maximum, WBA.
6. A payment of \$150 is made. This is considered a CWC first payment and is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.
7. A CWC adjustment payment of \$100 is made. This is not reported as a week compensated since the weeks have already been counted in steps 2 and 3. However, the dollar amount is reported on the ETA 586 in cell 101-5.
8. A payment of \$150 is made. This is considered a CWC continued payment that is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.
9. A payment of \$150 is made. This is considered a CWC continued payment that is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.
10. A payment of \$150 is made. This is considered a CWC continued payment that is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.

The following tables illustrate the records that would be built for Populations 3 and 4. CWC records are shaded.

**Table D.7**

Scenario 2

How the Steps Would be Reflected in Population 3 Validation Records

Step	Date Claim Filed	Type UI Program	Claim Type	Program Type	Intrastate/ Interstate	Date Original Monetary	Sufficient/ Insufficient	WBA	MBA	Potential Weeks Duration	Potential Weeks Max Duration	Subpop
1, 5	1/2/2006	Regular UI-1	New	UI	Intrastate-01	2/2/2009	Sufficient New BY	Less than Maximum	2600	26	Y	3.4
4	2/3/2006	Regular UI	CWC New	UI	CWC Intrastate	2/6/2006	Sufficient New CWC BY	Maximum (Optional)	3900 (Optional)	26 (Optional)	Y (Optional)	3.35

**Table D.8**

Scenario 2

How the Steps Would be Reflected in Population 4 Validation Records

Step	Type UI Program	Program Type	Intra/ Inter Claim	Type of Comp.	Part/ Total	Earnings	WBA	UI Amount	UCFE Amount	UCX Amount	CWC Amount	SE Amount	Week End Date	Mail Date	Subpop
2	Regular UI-1	UI Only-U	Intrastate CWC-1	First Payment	Total	0	100	100	0	0	0	0	1/7/2006	1/13/2006	4.1
2	Regular UI-1	UI Only-U	Intrastate	Continued Payment	Total	0	100	0	0	0	100	0	1/7/2006	1/13/2006	4.46
3	Regular UI-1	UI Only-U	Intrastate CWC-1	Continued Payment	Total	0	100	100	0	0	0	0	1/14/2006	1/20/2006	4.17
3	Regular UI-1	UI Only-U	Intrastate	Continued Payment	Total	0	100	0	0	0	100	0	1/14/2006	1/20/2006	4.46
6	Regular UI-1	UI Only-U	Intrastate CWC-1	Continued Payment	Total	0	150	150	0	0	0	0	1/21/2006	2/3/2006	4.17
6	Regular UI-1	UI Only-U	Intrastate	First Payment	Total	0	150	0	0	0	150	0	1/21/2006	2/3/2006	4.44
7	Regular UI-1	UI Only-U	Intrastate CWC-1	Adjustment	Total	0	150	100	0	0	0	0		2/9/2006	4.33
7	Regular UI-1	UI Only-U	Intrastate	Adjustment	Total	0	150	0	0	0	100	0		2/9/2006	4.48
8	Regular UI-1	UI Only-U	Intrastate CWC-1	Continued Payment	Total	0	150	150	0	0	0	0	1/28/2006	2/10/2006	4.17

Step	Type UI Program	Program Type	Intra/ Inter Claim	Type of Comp.	Part/ Total	Earnings	WBA	UI Amount	UCFE Amount	UCX Amount	CWC Amount	SE Amount	Week End Date	Mail Date	Subpop
8	Regular UI-1	UI Only-U	Intrastate	Continued Payment	Total	0	150	0	0	0	150	0	1/28/2006	2/10/2006	4.46
9	Regular UI-1	UI Only-U	Intrastate CWC-1	Continued Payment	Total	0	150	150	0	0	0	0	2/4/2006	2/17/2006	4.17
9	Regular UI-1	UI Only-U	Intrastate	Continued Payment	Total	0	150	0	0	0	150	0	2/4/2006	2/17/2006	4.46

The tables below illustrate the total counts and dollar amounts that the state would report in each applicable cell of the ETA 586 for the first quarter of 2006, if the preceding scenario occurred.

**Table D.9**

Scenario 2

How Claims and Benefit Years Would be Reported in ETA 586

ETA 586A			Persons Establishing Benefit Years
State UI	Line No.	New Claims (1)	(2)
Intrastate	101	1	1
Interstate Received as Paying State	102	0	0

**Table D.10**

Scenario 2

How Payments Would be Reported in ETA 586

State UI	Line No.	Weeks Compensated (4)	Benefits Paid (5)	Prior Weeks Compensated (6)	Prior Benefits Paid (7)
Intrastate	101	6	\$900	0	\$0
Interstate Received as Paying State	102	0	0	0	0

**Scenario 3** An IB-4 request is sent after two UI payments are made. Wages were combined after the new UI claim was filed but within the same quarter. The first check issued to the claimant after wages are combined is an adjustment payment for the two weeks compensated prior to the combining of wages. The next check is for the first week compensated after wages are combined. For purposes of determining CWC first payment time lapse, Handbook 401 considers the adjustment check as the first payment; however, data validation, which does not validate CWC time lapse but only the count of first payments, considers the payment for the first CWC week paid to be the CWC First Payment. This difference in definitions should result in only an insignificant difference in the count of first payments.

**Table D.11**  
Scenario 3

Step	Date	Action	Subpopulation	Reporting of Transaction as CWC Transaction	Reporting of Transaction as Regular Transaction
1	01/02/2006	New UI intrastate claim, and a sufficient monetary determination for less than the maximum WBA is made	3.4 New Intrastate claim; max duration, less than max WBA	N/A	5159A-101-2
2	01/13/2006	Payment of \$100	4.1 (UI 1 <sup>st</sup> payment); 4.46 CWC cont'd payment	586-101-4, 586-101-5 (\$)	5159B-301 (14,15) 5159B-302 (14,15) 9050-All-C2
3	01/20/2006	Payment of \$100	4.17 (UI cont't payment) 4.46 CWC continued payment	586-101-4, 586-101-5 (\$)	5159B-301 (14,15) 5159B-302 (14,15) 9051-All-C2
4	01/24/2006	Request to combine wages; IB-4 is sent	3.34 or 3.35 depending on the outcome of the monetary New CWC claim	586-101-1	N/A
5	01/25/2006	Monetary redetermination is made to increase WBA to \$150 after wages are combined	3.35 New CWC BY	586-101-2	218A-100 (1, 3); 218B-103 (14, 19) after redetermination and effect of combining wages
6	02/02/2006	Adjustment payment of \$100 (2 x \$50) is made for weeks compensated before wages were combined	4.33, Adjustment 4.48 CWC Adjustment	586A-101-5 (\$) 586B (8)—1 <sup>st</sup> payment	5159B-302 (14, 15)
7	02/03/2006	Payment of \$150	4.17, UI Cont'd payment 4.44 CWC first payment	586-101-4, 586-101-5 (\$)	5159B-301 (14,15) 5159B-302 (14,15) 9051-All-C2
8	02/10/2006	Payment of \$150	4.17, UI cont'd payment 4.46, CWC cont'd payment	586-101-4, 586-101-5 (\$)	5159B-301 (14,15) 5159B-302 (14,15) 9051-All-C2

Step	Date	Action	Subpopulation	Reporting of Transaction as CWC Transaction	Reporting of Transaction as Regular Transaction
9	02/17/2006	Payment of \$150	4.17, UI cont'd payment 4.46, CWC cont'd payment	586-101-4, 586-101-5 (\$)	5159B-301 (14,15) 5159B-302 (14,15) 9051-All-C2

1. A new UI intrastate claim is filed on 01/02/2006.
2. A payment of \$100 is made on 01/13/2006. After a CWC BY is established, this payment will be reported as a CWC continued payment on the ETA586 in cell 101-4. The dollar amount is reported in cell 101-5.
3. A second payment of \$100 is made on 01/20/02. After a CWC BY is established, this payment will be reported as a CWC continued payment on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.
4. An IB-4 request to combine wages is sent. This results in a new CWC claim and is reported on the ETA 586 in cell 101-1.
5. A monetary redetermination is issued that combines wages and increases the WBA to \$150. This establishes the CWC benefit year that is reported on the ETA 586 in cell 101-2.
6. A CWC adjustment payment of \$100 is made. This is not reported as a week compensated since the weeks have already been counted in steps 2 and 3. However, the dollar amount is reported on the ETA 586 in cell 101-5 and on the 5159 in cells 302 14,15. For determining CWC 1<sup>st</sup> payment time lapse, however, Handbook 401 considers this the CWC First Payment.
7. A payment of \$150 is made. It is reported as a week compensated reported on the ETA 586 in cell 101-4, and the dollar amount is reported in cell 101-5. Data validation considers this the CWC First Payment.
8. A payment of \$150 is made. This is considered a CWC Continued Payment that is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.
9. A payment of \$150 is made. This is considered a CWC Continued Payment that is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.

The following tables illustrate the records that would be built for Populations 3 and 4. CWC records are shaded.



**Table D.12**

Scenario 3

How the Steps Would be Reflected in Population 3 Validation Records

Step	Date Claim Filed	Type UI Program	Claim Type	Program Type	Intrastate/ Interstate	Date Original Monetary	Sufficient/ Insufficient	WBA	MBA	Potential Weeks Duration	Potential Weeks Max Duration	Subpop
1, 5	1/2/2006	Regular UI-1	NEW	UI	Intrastate-01	1/2/2009	Sufficient New BY	Less than Maximum	2600	26	Y	3.04
4	1/24/2006	Regular UI	CWC NEW	UI	CWC Intrastate	1/25/2006	Sufficient New CWC BY	Maximum (Optional)	3900 (Optional)	26 (Optional)	Y (Optional)	3.35

**Table D.13**

Scenario 3

How the Steps Would be Reflected in Population 4 Validation Records

Step	Type UI Program	Program Type	Intra/ Inter Claim	Type of Comp.	Part/ Total	Earnings	WBA	UI Amount	UCFE Amount	UCX Amount	CWC Amount	SE Amount	Week End Date	Mail Date	Subpop
2	Regular UI-1	UI Only-U	Intrastate	First Payment	Total	0	100	100	0	0	0	0	1/7/2006	1/13/2006	4.1
2	Regular UI-1	UI Only-U	Intrastate CWC-1	Continued Payment	Total	0	100	0	0	0	100	0	1/7/2006	1/13/2006	4.46
3	Regular UI-1	UI Only-U	Intrastate	Continued Payment	Total	0	100	100	0	0	0	0	1/14/2006	1/20/2006	4.17
3	Regular UI-1	UI Only-U	Intrastate CWC-1	Continued Payment	Total	0	100	0	0	0	100	0	1/14/2006	1/20/2006	4.46
7	Regular UI-1	UI Only-U	Intrastate	Adjustment	Total	0	150	100	0	0	0	0		2/2/2006	4.33
7	Regular UI-1	UI Only-U	Intrastate CWC-1	Adjustment	Total	0	150	0	0	0	100	0		2/2/2006	4.48
6	Regular UI-1	UI Only-U	Intrastate	Continued Payment	Total	0	150	150	0	0	0	0	1/21/2006	2/3/2006	4.17
6	Regular UI-1	UI Only-U	Intrastate CWC-1	First Payment	Total	0	150	0	0	0	150	0	1/21/2006	2/3/2006	4.44

Step	Type UI Program	Program Type	Intra/ Inter Claim	Type of Comp.	Part/ Total	Earnings	WBA	UI Amount	UCFE Amount	UCX Amount	CWC Amount	SE Amount	Week End Date	Mail Date	Subpop
8	Regular UI-1	UI Only-U	Intrastate	Continued Payment	Total	0	150	150	0	0	0	0	1/28/2006	2/10/2006	4.17
8	Regular UI-1	UI Only-U	Intrastate CWC-1	Continued Payment	Total	0	150	0	0	0	150	0	1/28/2006	2/10/2006	4.46
9	Regular UI-1	UI Only-U	Intrastate	Continued Payment	Total	0	150	150	0	0	0	0	2/4/2006	2/17/2006	4.17
9	Regular UI-1	UI Only-U	Intrastate CWC-1	Continued Payment	Total	0	150	0	0	0	150	0	2/4/2006	2/17/2006	4.46

The tables below illustrate the total counts and dollar amounts that the state would report in each applicable cell of the ETA 586 for the first quarter of 2006, if the preceding scenario occurred.

**Table D.14**  
 Scenario 3  
 How Claims and Benefit Years Would be Reported in ETA 586

ETA 586A			
State UI	Line No.	New Claims (1)	Persons Establishing Benefit Years (2)
Intrastate	101	1	1
Interstate Received as Paying State	102	0	0

**Table D.15**  
 Scenario 3  
 How Payments Would be Reported in ETA 586

State UI	Line No.	Weeks Compensated (4)	Benefits Paid (5)	Prior Weeks Compensated (6)	Prior Benefits Paid (7)
Intrastate	101	5	\$750	0	\$0
Interstate Received as Paying State	102	0	0	0	0

**Scenario 4** Wages were requested and combined in the quarter after the UI claim was filed. Four payments were made before wages were combined. Two of them occurred in the quarter *before* wages were combined and are considered CWC Prior Weeks Compensated. The next two occurred in the same quarter as the CWC and are considered CWC continued weeks compensated. As in Scenario 3, the first check issued to the claimant after wages are combined is an adjustment payment (in this scenario for the four weeks compensated before wages were combined.) The next check is for the first week compensated after wages are combined, which data validation considers the CWC first payment. As pointed out in Scenario 3, for CWC 1<sup>st</sup> payment timeliness, Handbook 401 considers the adjustment payment as the first payment.

**Table D.16**  
Scenario 4

Step	Date	Action	Subpopulation	Reporting of Transaction as CWC Transaction	Reporting of Transaction as Regular Transaction
1	12/02/2005	New UI intrastate claim, and a sufficient monetary determination is made for less than the maximum WBA	3.4 New Intrastate claim; max duration, less than max WBA	N/A	5159A-101-2 218A-100 (1, 2); 218B-103 (14, 19)
2	12/09/2005	Payment of \$100	4.1, UI first payment 4.50, CWC prior week compensated	586-101-6, 586-101-7 (\$)	5159B-301 (14,15) 5159B-302 (14,15) 9050-All-C2
3	12/16/2005	Payment of \$100	4.17., UI cont'd payment 4.50, CWC prior week compensated.	586-101-6 586-101-7 (\$)	5159B-301 (14,15) 5159B-302 (14,15) 9051-All-C2
4	01/06/2006	Payment of \$100	4.17 (UI continued payment) 4.46 CWC continued payment	586-101-4, 586-101-5 (\$)	5159B-301 (14,15) 5159B-302 (14,15) 9051-All-C2
5	01/13/2006	Payment of \$100	4.17 (UI continued payment) 4.46 CWC continued payment	586-101-4, 586-101-5 (\$)	5159B-301 (14,15) 5159B-302 (14,15) 9051-All-C2
6	01/24/2006	Request to combine wages; IB-4 is sent	3.34 or 3.35 depending on the outcome of the monetary New CWC claim	586-101-1	N/A
7	01/25/2006	Monetary redetermination is made to increase WBA to \$150 after wages are combined	3.35 New CWC BY	586-101-2	Not reported (redeterminations)
8	02/02/2006	Adjustment payment of \$200 (4 x \$50)	4.33, Adjustment 4.48 CWC Adjustment	586A-101-5 (\$) 586B (8)—1 <sup>st</sup> payment	5159B-302 (14, 15)
9	02/03/2006	Payment of \$150	4.17, UI Cont'd payment 4.44 CWC first payment	586-101-4, 586-101-5 (\$)	5159B-301 (14,15) 5159B-302 (14,15) 9051-All-C2

Step	Date	Action	Subpopulation	Reporting of Transaction as CWC Transaction	Reporting of Transaction as Regular Transaction
10	02/10/2006	Payment of \$150	4.17, UI cont'd payment 4.46, CWC cont'd payment	586-101-4, 586-101-5 (\$)	5159B-301 (14,15) 5159B-302 (14,15) 9051-All-C2
11	02/17/2006	Payment of \$150	4.17, UI cont'd payment 4.46, CWC cont'd payment	586-101-4, 586-101-5 (\$)	5159B-301 (14,15) 5159B-302 (14,15) 9051-All-C2

1. A new UI intrastate claim is filed and determined sufficient on 12/02/2005. The claim and monetary establishing a \$2,600 MBA and WBA of \$100 are reported in the 200504 quarter.
2. A payment of \$100 is made on 12/09/2005. This is the regular payment for the first compensable week and reported on the 9050 report, as well as a week compensated/\$ compensated on the 5159 report for December 2005. After a CWC BY is established, this payment will be reported as a CWC prior week compensated on the ETA 586 in cell 101-6, and the dollar amount will be reported in cell 101-7.
3. A second payment of \$100 is made on 12/16/2005. This is a regular continued week paid (9051, 5159 reports for December 2005). After a CWC BY is established, this payment will be reported as a CWC prior week compensated on the ETA 586 in cell 101-6. The dollar amount is reported in cell 101-7.
4. A third payment of \$100 is made on 01/06/2006. This is a regular continued week paid (9051, 5159 reports). After a CWC BY is established, this payment will be reported as a CWC continued payment on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.
5. A fourth payment of \$100 is made on 01/13/2006. This is a regular continued week paid (9051, 5159 reports). After a CWC BY is established, this payment will be reported as a CWC continued payment on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.
6. An IB-4 request to combine wages is sent. This results in a new CWC claim and is reported on the 586 in cell 101-1.
7. A monetary redetermination is issued that combines wages and increases the WBA to \$150. This establishes the CWC benefit year that is reported on the ETA 586 in cell 101-2. Being a redetermination, it is not reported on the 218 report for the 200601 quarter.
8. A CWC adjustment payment of \$200 is made. This is not reported as a week compensated since the weeks have already been counted in steps 2, 3, 4 and 5. However, the dollar amount is reported on the ETA 586 in cell 101-5 because it is a CWC payment made in the 200601 quarter.

9. A payment of \$150 is made. This is considered a CWC first payment for data validation purposes that is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.
10. A payment of \$150 is made. This is considered a CWC continued payment that is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.
11. A payment of \$150 is made. This is considered a CWC continued payment that is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.

The following tables illustrate the records that would be built for Populations 3 and 4. CWC records are shaded.

**Table D.17**

Scenario 4

How the Steps Would be Reflected in Population 3 Validation Records  
Includes only Records for 200601 Report Quarter

Step	Date Claim Filed	Type UI Program	Claim Type	Program Type	Intrastate/ Interstate	Date Original Monetary	Sufficient/ Insufficient	WBA	MBA	Potential Weeks Duration	Potential Weeks Max Duration	Subpop
4	1/24/2006	Regular UI	CWC NEW	UI	CWC Intrastate	1/25/2006	Sufficient New CWC BY	Maximum (Optional)	3900 (Optional)	26 (Optional)	Y (Optional)	3.35

**Table D.18**

Scenario 4

How the Steps Would be Reflected in Population 4 Validation Records  
Includes only Records for 200601 Report Quarter

Step	Type UI Program	Program Type	Intra/ Inter Claim	Type of Comp.	Part/ Total	Earn.	WBA	UI Amount	UCFE Amount	UCX Amount	CWC Amount	SE Amount	Week End Date	Mail Date	Subp.
2	Regular UI-1	UI Only-U	Intrastate CWC-1	Prior Weeks Compensated	Total	0	100	0	0	0	100	0	12/30/2005	12/9/2006	4.50
2	Regular UI-1	UI Only-U	Intrastate CWC-1	Prior Weeks Compensated	Total	0	100	0	0	0	100	0	12/30/2005	12/16/2006	4.50
3	Regular UI-1	UI Only-U	Intrastate	Continued Payment	Total	0	100	100	0	0	0	0		1/6/2006	4.17
3	Regular UI-1	UI Only-U	Intrastate CWC-1	Continued Payment	Total	0	100	0	0	0	100	0		1/6/2006	4.46
3	Regular UI-1	UI Only-U	Intrastate	Continued Payment	Total	0	100	100	0	0	0	0	1/6/2006	1/13/2006	4.17
3	Regular UI-1	UI Only-U	Intrastate CWC-1	Continued Payment	Total	0	100	0	0	0	100	0	1/6/2006	1/13/2006	4.46
7	Regular UI-1	UI Only-U	Intrastate	Adjustment	Total	0	150	200	0	0	0	0		2/2/2006	4.33
7	Regular UI-1	UI Only-U	Intrastate CWC-1	Adjustment	Total	0	150	0	0	0	200	0		2/2/2006	4.48

Step	Type UI Program	Program Type	Intra/ Inter Claim	Type of Comp.	Part/ Total	Earn.	WBA	UI Amount	UCFE Amount	UCX Amount	CWC Amount	SE Amount	Week End Date	Mail Date	Subp.
6	Regular UI-1	UI Only-U	Intrastate	Continued Payment	Total	0	150	150	0	0	0	0	1/21/2006	2/3/2006	4.17
6	Regular UI-1	UI Only-U	Intrastate CWC-1	First Payment	Total	0	150	0	0	0	150	0	1/21/2006	2/3/2006	4.44
8	Regular UI-1	UI Only-U	Intrastate	Continued Payment	Total	0	150	150	0	0	0	0	1/28/2006	2/10/2006	4.17
8	Regular UI-1	UI Only-U	Intrastate CWC-1	Continued Payment	Total	0	150	0	0	0	150	0	1/28/2006	2/10/2006	4.46
9	Regular UI-1	UI Only-U	Intrastate	Continued Payment	Total	0	150	150	0	0	0	0	2/4/2006	2/17/2006	4.17
9	Regular UI-1	UI Only-U	Intrastate CWC-1	Continued Payment	Total	0	150	0	0	0	150	0	2/4/2006	2/17/2006	4.46



The tables below illustrate the total counts and dollar amounts that the state would report in each applicable cell of the ETA 586 for the first quarter of 2006, if the preceding scenario occurred.

**Table D.19**

Scenario 4

How Claims and Benefit Years Would be Reported in ETA 586

ETA 586A		New Claims (1)	Persons Establishing Benefit Years (2)
State UI	Line No.		
Intrastate	101	1	1
Interstate Received as Paying State	102	0	0

**Table D.20**

Scenario 4

How Payments Would be Reported in ETA 586

State UI	Line No.	Weeks Compensated (4)	Benefits Paid (5)	Prior Weeks Compensated (6)	Prior Benefits Paid (7)
Intrastate	101	5	\$850	2	\$200
Interstate Received as Paying State	102	0	0	0	0

**Scenario 5** Wages were combined in the quarter after the CWC claim was filed. The claimant requested that wages be added from another state, and the state sent the IB-4 in one quarter. However, the first monetary determination (redetermination) based on wages from two or more states was not issued until the following quarter.

The first IB-4 sent for a claim constitutes a "new CWC." The first monetary determination or redetermination using wages from more than one state is a "new CWC benefit year." In the first quarter, then, there is a new CWC but not a CWC benefit year since these two events occurred in different quarters. Data validation treats this transaction as an "insufficient CWC."

In the subsequent quarter there is a new CWC benefit year established but the claim has already been reported in the prior quarter. Therefore, data validation treats this as a new CWC benefit year where the claim was filed in a prior quarter and does not double count the CWC.

**Table D.21**  
Scenario 5

Step	Date	Action	Subpopulation	Reporting of Transaction as CWC Transaction	Reporting of Transaction as Regular Transaction
1	12/28/2005	New UI intrastate claim, determined insufficient.	3.1 New Intrastate claim with Insufficient monetary	N/A	5159A-101-2 218A-100 (1, 2) For Dec/Q4 of 2005
2	12/28/2005	Request to combine wages; IB-4 is sent	3.34 New CWC Claim, wages are not combined reported in Q4 2005	586A-101-1 (for 2005Q4 report)	N/A
3	01/16/2006	Monetary redetermination increasing WBA to \$150 after wages combined	3.38 New CWC BY for CWC claim filed in prior quarter	586-101-2	N/A
4	01/20/2006	Payment \$150	4.1 (UI 1 <sup>st</sup> payment); 4.44 CWC first payment	586-101-4, 586-101-5 (\$)	5159B-301 (14-15); 5159B-302 (14-15); 9050-All-C2
5	01/27/2006	Payment \$150	4.17, UI cont'd payment 4.46, CWC cont'd payment	586-101-4, 586-101-5 (\$)	5159B-301 (14,15) 5159B-302 (14,15) 9051-All-C2

1. A new UI intrastate claim is filed and determined insufficient on 12/28/2005.
2. An IB-4 request to combine wages is sent on 12/28/2005. This results in a new CWC that is reported on the ETA 586 in cell 101-1 for the fourth quarter of 2005.

3. A monetary redetermination is issued that combines wages and results in a WBA of \$150. This establishes the CWC benefit year that is reported on the ETA 586 in cell 101-2. Because the monetary redetermination is in a different quarter than the IB-4, the new CWC benefit year is reported in subpopulation 3.38.
4. A payment of \$150 is made. This is considered both a regular first payment (Reported on 9050 and as a week/\$ compensated on the 5159) and a CWC first payment that is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.
5. A second payment of \$150 is made. This is considered a regular continued payment (9051, 5159) and CWC continued payment that is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.

The following tables illustrate the records that would be built for Populations 3 and 4. CWC records are shaded.

**Table D.22**

Scenario 5

How the Steps Would be Reflected in Population 3 for 200504 Quarter

Step	Date Claim Filed	Type UI Program	Claim Type	Program Type	Intrastate/ Interstate	Date Original Monetary	Sufficient/ Insufficient	WBA	MBA	Potential Weeks Duration	Potential Weeks Max Duration	Subpop
1	12/28/2005	Regular UI-1	New	UI	Intrastate-01	12/28/2005	Insufficient		0	0		3.01
2	12/28/2005	Regular UI	CWC New	UI	CWC Intrastate		Insufficient					3.34

**Table D.23**

Scenario 5

How the Steps Would be Reflected in Population 3 for 200601 Quarter

Step	Date Claim Filed	Type UI Program	Claim Type	Program Type	Intrastate/ Interstate	Date Original Monetary	Sufficient/ Insufficient	WBA	MBA	Potential Weeks Duration	Potential Weeks Max Duration	Subp.
3	12/28/2005	Regular UI	Prior Qtr New CWC	UI	CWC Intrastate	1/16/2006	SUFFICIENT NEW CWC BY	Maximum (Optional)	3900 (Optional)	26 (Optional)	Y (Optional)	3.39

**Table D.24**

Scenario 5

How the Steps Would be Reflected in Population 4 for 200601 Quarter

Step	Type UI Program	Program Type	Intra/ Inter Claim	Type of Comp.	Part/ Total	Earn.	WBA	UI Amount	UCFE Amount	UCX Amount	CWC Amount	SE Amount	Week End Date	Mail Date	Subp.
4	Regular UI-1	UI Only-U	Intrastate	First Payment	Total	0	150	150	0	0	0	0	1/13/2006	1/20/2006	4.1
4	Regular UI-1	UI Only-U	Intrastate CWC-1	First Payment	Total	0	150	0	0	0	150	0	1/13/2006	1/20/2006	4.44

Step	Type UI Program	Program Type	Intra/ Inter Claim	Type of Comp.	Part/ Total	Earn.	WBA	UI Amount	UCFE Amount	UCX Amount	CWC Amount	SE Amount	Week End Date	Mail Date	Subp.
5	Regular UI-1	UI Only-U	Intrastate	Continued Payment	Total	0	150	150	0	0	0	0	1/20/2006	1/27/2006	4.17
5	Regular UI-1	UI Only-U	Intrastate	Continued Payment	Total	0	150	0	0	0	150	0	1/20/2006	1/27/2006	4.46

*The tables below illustrate the total counts and dollar amounts that the state would report in each applicable cell of the ETA 586 for the first quarter of 2006, if the preceding scenario occurred.*

**Table D.25**

Scenario 5

How Claims and Benefit Years Would be Reported in ETA 586  
For the 200504 Quarter

ETA 586A			Persons Establishing Benefit Years
State UI	Line No.	New Claims (1)	(2)
Intrastate	101	1	0
Interstate Received as Paying State	102	0	0

**Table D.26**

Scenario 5

How Claims and Benefit Years Would be Reported in ETA 586  
For the 200601 Quarter

ETA 586A			Persons Establishing Benefit Years
State UI	Line No.	New Claims (1)	(2)
Intrastate	101	0	1
Interstate Received as Paying State	102	0	0

**Table D.27**

Scenario 5

How Payments Would be Reported in ETA 586

		Weeks Compensated	Benefits Paid	Prior Weeks Compensated	Prior Benefits Paid
State UI	Line No.	(4)	(5)	(6)	(7)
Intrastate	101	2	\$300	0	\$0
Interstate Received as Paying State	102	0	0	0	0

**Scenario 6** Determining the CWC Paying State.

On November 14, 2008, UIPL 1-09 redefined the CWC “paying state.” Effective January 6, 2009, it is “a single state against which a claimant files a CWC if (1) the claimant has employment and wages in that State’s base period and (2) the claimant qualifies for UC in that state using the combined employment and wages.” Previously, the paying state could be any state under whose UC law the claimant qualified for benefits on the basis of combined employment and wages, whether the claimant actually had employment and wages in that state or not. The change in definition limits a claimant’s flexibility in filing a CWC and thus changes where CWC benefit years are established, and who pays regular and CWC benefits. This change may affect which state is the paying state, it may also affect reporting,, including the classification of claims and payments as Intrastate or Interstate. The following example illustrates.

Jones recently lost her job in Maryland, where she still resides. During the base period, however, she had enough work and earnings in both Maryland and Virginia to qualify for a combined-wage benefit in either state; on the basis of her combined wages, her WBA in Maryland would be higher than in Virginia. However, she has been informed that the Massachusetts benefit scale is higher yet, and that she has enough Maryland and Virginia wages to qualify for benefits in Massachusetts.

▪ Before January 6: Jones could have qualified not only for an Intrastate CWC benefit in Maryland or an Interstate CWC benefit in Virginia—states where she had base period wages—but also an Interstate CWC benefit in any other state where those wages were sufficient for a BY. She selects Massachusetts for the highest benefit. MA would report her regular Initial Claim on the 5159 report and 218 and as the paying state, MA’s 586 report would record her claims and payment activity on line 102 (Interstate) and 1<sup>st</sup> payment activity in column 9 (Interstate) of Part B of the 586. Regular payment activity will be reported on MA’s 5159, 9050-All-C6, and 9051 reports.

▪ Since January 6: Jones could only file either an Intrastate CWC against Maryland or an Interstate CWC against Virginia. She chooses Maryland to get a higher WBA. Maryland will report her CWC claims and payment activity on line 101 of its 586 part A (Intrastate) and 1<sup>st</sup> payment activity in column 8 of part B. Maryland will also report an initial claim (Intrastate) in its 5159-101-2, a first payment in 9050-All-C2, and Weeks and Amounts compensated on the 5159.

**Table D.28**  
Scenario 6  
*Before January 6, 2009, Massachusetts*

Step	Date	Action	Subpopulation	Reporting of Transaction as CWC Transaction	Reporting of Transaction as Regular Transaction
1	02/02/2009	Jones files Interstate claim against MA with request to combine MD & VA wages	3.08, 3.09, 3.10, 3.11, 3.12, or 3.13	N/A	5159A-101-7
2	02/02/2009	MA requests wages from Maryland and Virginia IB-4 is sent	3.36 or 3.37	586-102-1	N/A
3	02/06/2009	Monetary determination of a \$400 weekly benefit amount (WBA) in MA based on VA and MD wages	3.10 (Sufficient, WBA, Duration less than Maximum) 3.37 New CWC Interstate Benefit Year (BY)	586-102-2	218A-100-1, 354 218B 101 (8-13)
4	02/10/2009	First Payment of \$400	4.2 (UI Interstate 1 <sup>st</sup> payment); 4.45 (CWC Interstate first payment)	586-102-4, 586-102-5 (\$) 586B (column 9) Total	5159B-301-(14-17) 5159B-302-(14-17) 9050-All-C6

**Table D.29**  
Scenario 6  
*Since January 6, 2009, Maryland*

Step	Date	Action	Subpopulation	Reporting of Transaction as CWC Transaction	Reporting of Transaction as Regular Transaction
1	02/02/2009	Jones files New UI intrastate IC against Maryland with request to combine wages from Virginia	3.01, 3.02, 3.03, 3.04, 3.05, or 3.06	N/A	5159A-101-2
2	02/02/2009	MD requests wages from Virginia. IB-4 is sent	3.34 or 3.35 depending on the outcome of the monetary New Intrastate CWC	586-101-1	N/A
3	02/06/2009	Monetary determination of a \$290 weekly benefit amount (WBA) in Maryland based on VA and MD wages	3.04 (Sufficient, WBA, Duration less than Maximum) 3.35 New CWC Interstate Benefit Year (BY)	586-101-2	218A-100-(1, 3, 4) 218B-103 (14, 19)
4	02/10/2009	First Payment of \$290	4.1 (UI Intrastate 1 <sup>st</sup> payment); 4.44 CWC Intrastate first payment	586-101-4, 586-101-5 (\$) 586B (column 8) Total	5159B-301 (14-15); 5159B-302 (14-15); 9050-All-C2



These are examples of Population 3 records before and after January 6, 2009:

**Table D.30**  
Scenario 6  
How the Steps Would be Reflected in Population 3 Validation Records  
*Before January 6, 2009, Massachusetts*

Step	Date Claim Filed	Type UI Program	Claim Type	Program Type	Intrastate/ Interstate	Date Original Monetary	Sufficient/ Insufficient	WBA	MBA	Potential Weeks Duration	Potential Weeks Max Duration	Subpop
1, 3	12/23/2008	Regular UI-1	NEW	UI	Interstate-03	12/30/2008	SUFFICIENT NEW BY	Less than Maximum	10400	26	N	3.10
2	12/28/2009	Regular UI	CWC NEW	UI	CWC Intrastate		SUFFICIENT NEW CWC BY	Less than Maximum	10400	26	N	3.37

**Table D.31**  
Scenario 6  
How the Steps Would be Reflected in Population 3 Validation Records  
*Since January 6, 2009, Maryland*

Step	Date Claim Filed	Type UI Program	Claim Type	Program Type	Intrastate/ Interstate	Date Original Monetary	Sufficient/ Insufficient	WBA	MBA	Potential Weeks Duration	Potential Weeks Max Duration	Subpop
1, 3	2/2/2009	Regular UI-1	NEW	UI	Intrastate	2/6/2009	SUFFICIENT NEW BY	Less than Maximum	7540	26	Y	3.04
2	2/2/2009	Regular UI	CWC NEW	UI	CWC Intrastate	2/6/2009	SUFFICIENT NEW CWC BY	Less than Maximum	7540	26	Y	3.35

These are examples of 1<sup>st</sup> payment records before and after January 6, 2009:

**Table D.32**  
Scenario 6  
How the Steps Would be Reflected in Population 4 Validation Records  
*Before January 6, 2009, Massachusetts*

Step	Type UI Program	Program Type	Intra/ Inter Claim	Type of Comp.	Part/ Total	Earn.	WBA	UI Amount	UCFE Amount	UCX Amount	CWC Amount	SE Amount	Week End Date	Mail Date	Subp.
4	Regular UI-1	UI Only-U	Intrastate	First Payment	Total	0	400	400	0	0	0	0	1/6/2009	1/10/2009	4.2
4	Regular UI-1	UI Only-U	Intrastate CWC-1	First Payment	Total	0	400	0	0	0	400	0	1/6/2009	1/10/2009	4.46

**Table D.33**  
Scenario 6  
How the Steps Would be Reflected in Population 4 Validation Records  
*Since January 6, 2009, Maryland*

Step	Type UI Program	Program Type	Intra/ Inter Claim	Type of Comp.	Part/ Total	Earn.	WBA	UI Amount	UCFE Amount	UCX Amount	CWC Amount	SE Amount	Week End Date	Mail Date	Subp.
4	Regular UI-1	UI Only-U	Intrastate	First Payment	Total	0	290	290	0	0	0	0	2/6/2009	2/10/2009	4.1
4	Regular UI-1	UI Only-U	Intrastate CWC-1	First Payment	Total	0	290	0	0	0	290	0	2/6/2009	2/10/2006	4.44

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**UNEMPLOYMENT INSURANCE  
DATA VALIDATION HANDBOOK**

*Tax*

OFFICE OF UNEMPLOYMENT INSURANCE  
DEPARTMENT OF LABOR

October 2022

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OMB No: 1205-0431

OMB Expiration Date: October 31, 2025

Estimated Average Response Time: 730 hours.

**OMB Approval.** The reporting requirements for ETA Handbook 361 are approved by OMB according to the Paperwork Reduction Act of 1995 under OMB No. 1205-0431 to expire October 31, 2025. The respondents' obligation to comply with the reporting requirements is required to obtain or retain benefits (Section 303(a)(6), SSA). Persons are not required to respond to this collection of information unless it displays a currently valid OMB control number.

**Burden Disclosure.** SWA response time for this collection of information is estimated to average 730 hours per response (this is the average of a full validation every third year with an estimated burden of 900 hours, and partial validations in the two intervening years), including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to the U. S. Department of Labor, Employment and Training Administration, Office of Workforce Security (Attn: Rachel Beistel), 200 Constitution Avenue, NW, Room S-4519, Washington, D.C. 20210 (Paperwork Reduction Project 1205-0431).

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# INTRODUCTION

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## INTRODUCTION

### A. Objectives

States regularly report to the U.S. Department of Labor (DOL) under the Unemployment Insurance Required Reports (UIRR) system. In particular, states document their performance in collecting UI employer contributions (taxes) and employer reports on the Employment and Training Administration (ETA) 581 report entitled “Contribution Operations.” (Figure A)

Data from the ETA 581 report are used for three critical purposes: (1) allocation of UI administrative funding based on state workload, (2) performance measurement to ensure the quality of state UI program operations, and (3) calculation of state and national economic statistics. Table A summarizes the types and uses of the data. Figure A displays the ETA 581 report.

<b>Table A Types and Uses of ETA 581 Data</b>			
<b>Data Type</b>	<b>Funding/ Workload</b>	<b>Performance/Tax Performance System (TPS) Computed Measures</b>	<b>Economic Statistics</b>
Active Employers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Report Filing		<input type="checkbox"/>	
Status Determinations		<input type="checkbox"/>	<input type="checkbox"/>
Accounts Receivable		<input type="checkbox"/>	<input type="checkbox"/>
Field Audits		<input type="checkbox"/>	
Wage Items	<input type="checkbox"/>		<input type="checkbox"/>

Because ETA 581 data have these critical uses, it is essential that states report their activities accurately and uniformly. Data validation measures the accuracy of state reporting on employer contribution activities. Two principles underlie a comprehensive data validation process:



# INTRODUCTION

**Figure A  
Form ETA 581**

## ETA 581 - CONTRIBUTION OPERATIONS

STATE	REGION	REPORT FOR PERIOD ENDING									
st	g_states.region	rptdate									
Employer Count	101	End Quarter Employers						Delinquency Cutoff Date	Total Number Wage Items Received		
		Contributory		Reimbursement		Total					
		-1		-2		-3		-4			-5
		c1		c2		c3		c4			c14
Employer Reports for Preceding Quarters	201	Contributory Employers					Reimbursing Employers				
		Filing Timely		Secured		Resolved		Filing Timely	Secured	Resolved	
		-6		-7		-8		-9	-10	-11	
c53		c54		c55		c56	c57	c58			
Status Determinations	301	Newly Established Employers			Successor Employers			Inactivations/Terminations			
		Number	Time Lapse <= 90 days	Time Lapse <=180 days	Number	Time Lapse <= 90 days	Time Lapse <= 180 days				
		-14	-15	-16	-17	-18	-19	-20			
c11	c61	c62	c68	c59	c60	c63					
Contributory Employer Receivables	401	Total Beginning Period	Deter-mined Receivable	Liquidated	Declared Uncol-lectible	Removed End Period	Total End Period	Number Employers Owing Receivables in (26)			
		-21	-22	-23	-24	-25	-26				-27
		c14a	c15	c16	c17	c64	c18				
Age of Contributory Receivables	402	6 Months or Less	9 Months			12 Months			15 Months	Over 15 Months	
		-28	-29			-30			-31	-32	
		c43	c44			c45			c46	c47	
Reimbursing Employers Receivables	403	Total Beginning Period	Deter-mined Receivable	Liquidated	Declared Uncol-lectible	Removed End Period	Total End Period	Number Employers Owing Receivables in (38)			
		-33	-34	-35	-36	-37	-38				-39
		c19a	c20	c21	c22	c65	c23	c24			
Age of Reimbursing Receivables	404	6 Months or Less	9 Months			12 Months			15 Months	Over 15 Months	
		-40	-41			-42			-43	-44	
		c48	c49			c50			c51	c52	
Audit Activity	501	Number of Audits			Calendar			Total Wages Audited		Hours Spent	Number of Employees Misclassified
		Large Employers	Change Audits	Total Audits	Quarters Audited			Pre-Audit	Post-Audit	Auditing	
		-45	-46	-47	-48			-49	-50	-51	
	c25a	c28a	c25b	c26a			c66	c67	c29a	c69	
	502	Amount Underreported			Amount Overreported						
		Total Wages		Taxable Wages	Contributions		Total Wages		Taxable Wages	Contributions	
-53		-54	-55		-56		-57	-58			
c37a		c38a	c39a		c40a		c41a	c42a			
SUTA Dumping	503	Number of Mandatory Transfers		Number of Prohibited Transfers	Total Net Contributions Due						
		-59		-60	-61						
		c70		c71	c72						

## INTRODUCTION

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1. If data are collected, they should be valid and usable.
2. Given the high degree of automation of UI systems, it is feasible and cost-effective to validate most report cells.

States conduct the validation themselves and report the results to ETA. This handbook provides detailed validation instructions for each state. ETA also provides states with a Sun-based data validation software application (referred to as the Sun-based system in UIPL 22-05) to use in conducting the validation.

Validation is administered using a “validation year” that coincides with the State Quality Service Plan (SQSP) performance year. It comprises all reports for the four quarters beginning April 1 and ending March 31. Once validity is established by a passing validation, states are required to validate reported data every third year, except for data elements used to calculate the Government Performance and Results Act (GPRA) measures. GPRA data are validated annually. The SQSP is the vehicle through which states submit plans to implement validation or to revalidate failed items.

If states modernize their UI tax data management system, partially, completely, or in any way that impacts reporting and therefore data validation, states must validate *every* tax population the following year once the new system is deployed or goes live. This requirement includes populations with passing scores that were previously valid for three years and not yet due for validation. Similarly, if a state does not submit the underlying benchmark populations (Benefits Populations 5 and 8; Tax Populations 3 and 5) to complete Module 4 within the three year validation cycle, the scores will also not be considered valid until these are transmitted. If a state revises an ETA UI Required Report for the same time period it used for data validation, the data validation score will not be considered valid until the state resubmits the results using the revised report counts.

### **B. Data Errors Identified Through Validation**

Systematic errors and random errors are the two major types of data error in federal UIRR reports. Systematic errors involve faulty design or execution of reporting programs. Random errors involve judgment and input errors. Reporting system errors are always systematic, while errors stemming from human judgment can be either systematic or random. Both systematic and random errors must be addressed in the validation design.

- **Systematic errors** are addressed through validation of the reporting programs that states use to create federal reports. Systematic errors tend to be constant and fall into one of three categories: *1) too many transactions (overcounts), 2) too few transactions (undercounts), or 3) misclassified transactions.* Systematic human errors occur when staff are using incorrect definitions or procedures. For example, a reporting unit may establish its own definition for a data element that conflicts with the federal definition (this can happen deliberately or inadvertently). Systematic errors are the most serious because they occur repeatedly. They are also the easiest to detect and correct. Systematic errors do not need to be assessed very frequently, and each system error only needs to be corrected once. A one-time adjustment in a

## INTRODUCTION

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retrieval code or calculation specification, or staff retraining on a corrected definition or procedure, will usually correct systematic errors.

- **Random errors** are more variable. They include problems such as input errors or judgment errors such as misunderstanding or misapplying Federal definitions. In general, random errors occur intermittently. For example, a few data entry errors may occur even when most information is entered correctly. Correcting one error does not ensure that similar errors will not occur in the future.

Consistent and accurate reporting requires both good practice and accurate systems for reporting the data. Data validation and Tax Performance System (TPS) reviews together test whether data are accurately posted to the state employer contributions system and reported correctly on the ETA 581.

### C. Data Sources for Federal Reporting and Validation

States use different methods to prepare the ETA 581 report. Some states produce the Federal reports directly from the employer contributions database: computer programs scan the entire database to select, classify, and count transactions. Other states produce a database extract or statistical file as transactions are processed, essentially keeping a running count of items to be tabulated for the report. Still other states use a combination of these methods. The basic approach to data validation is the same no matter how the report is developed: using standard national criteria, states reconstruct the report counts, using only transactions that should have been reported; and compare what they reported to this reconstructed “validation” count.

The validation methodology is flexible in accommodating the different approaches used by states. However, validation is most effective when validation data are produced directly from the employer contributions database. For cost reasons and to minimize changes in data over time, some states prefer to use daily, weekly, or monthly statistical extract files instead. When extract files are used, other types of system errors may occur. Reportable transactions may be improperly excluded from the employer master file. Furthermore, the statistical file may contain corrupt data. Because the statistical file is not used as part of the daily tax system, errors are not likely to be detected and corrected through routine agency business.

The only way to test for these problems is to independently reconstruct or query the employer master file. States that produce validation data from the same statistical extract files used to produce the ETA 581 instead of directly from the database must ensure that the extract files contain all the appropriate employer transactions and statuses. The way to do this is to recreate the logic used to produce the ETA 581. This handbook includes a validation tool, “independent count validation,” specifically for this purpose.<sup>1</sup> See Appendix B.

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<sup>1</sup>There is no way to accurately reconstruct the reported count when the statistical file contains transactions that are no longer present in the database (e.g., when it includes status determinations deleted from the main database after a corrected status determination is made for the same employer).

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Table B outlines variations in the validation methodology, based on typical state approaches to ETA 581 reporting and data validation reconstruction. To determine the specific validation methodology to be implemented, the state validator or federal representative should identify the state's ETA 581 report source and validation reconstruction source for each population to be validated.

### D. Basic Validation Approach

The basic approach used in data validation is to *reconstruct* the numbers that should have been reported on the ETA 581. Because state UI records are highly automated, states can develop computer programs that extract from electronic databases all transactions or statuses that they believe should have been counted on the report. Each extracted transaction or status is compiled as a record containing information on every dimension needed to classify it properly for reporting purposes. Automation reduces the burden on validators and state information systems (IS) staffs to extract records from state files, assemble those records for analysis, and assess validation results.

Once transactions and statuses are extracted, they are subjected to a series of quality tests. The DV software contains logic rules to ensure that the classifying elements in each record have values consistent with classification into report cells. The validator examines samples of the records to assess whether states have used the most definitive source of information and have adhered to Federal definitions. After it is determined that the extract data meet the quality tests, the data are used to produce “validation counts” that are compared to what the state has reported. If reported counts are within the appropriate tolerance (usually  $\pm 2\%$ ) of the validation counts, the reporting system is judged valid.

States conduct validation using standardized web-based software that runs on DOL Sun computers in state UI offices. Results are transmitted to the same UI data base used for UI required reports, and from which results are extracted to monitor DV program compliance.

# INTRODUCTION

**Table B**  
**Variations in Validation Methodologies Based on State**  
**Approaches to Reporting and Reconstruction**

Scenario	Transactions Overwritten on Database	ETA 581			Data Validation			Independent Count Required	Source Documentation Review Required	Comments
		Program Type	Source	Timing	Program Type	Source	Timing			
1	No	Count	Database	Snapshot	DRE	Database	Snapshot	No	No	Best scenario because comparing snapshots eliminates timing discrepancies
2	No	Count	Statistical file	Daily	DRE	Database	Snapshot	No	No	Database is only reconstruction source. There could be changes in transaction characteristics (but will find all transactions).
3	No	DRE	Database	Snapshot	DRE	Database	Snapshot	Yes	No	Reporting and validation are the same program. Independent count may mirror that program.
4	No	DRE	Statistical file	Daily	DRE	Statistical file	Daily	Yes	Yes	Since transactions are not overwritten, states should be able to do Scenario 2 instead.
5	Yes	DRE	Statistical file	Daily	DRE	Statistical file	Daily	NA	NA	No alternative validation source. Cannot reconstruct from the database. Not thorough validation.
6	Yes	Count	Statistical file	Daily	Must create a daily extract	NA	NA	NA	NA	Cannot reconstruct from database. Must change reporting process to Scenario 5.

NOTE: Snapshot is of the last day of the reporting period.  
DRE = Detail Record Extract  
NA = Not Available

## INTRODUCTION

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Data validation provides a reconstruction or audit trail to support the counts and classifications of transactions that were submitted on the ETA 581 report. Through this audit trail, the state proves that its UIRR data have been correctly counted and reported. For example, if a state reports 5,000 active reimbursable employers at the end of the quarter, then the state must be able to create a file listing all 5,000 employers as well as relevant characteristics such as the Employer Account Number (EAN), employer type, date the liability threshold was met, number of liable quarters, and wages in each of those liable quarters. Analysis of these characteristics can assure validators that the file contains 5,000 reimbursable employers correctly classified as active, and that the reported number is valid.

### **E. Reconstructing Federal Report Items**

There are 37 ETA 581 report items to validate.<sup>2</sup> A single employer account transaction or status may be counted in several different ETA 581 report items. For example, a contributions report that is filed on time is counted in two items for the current report quarter (timely reports and secured reports) and in one item in the following report quarter (resolved reports).

A general principle of the validation design is to streamline the validation process as much as possible. Transactions and statuses are analyzed only once, even if they appear in multiple items. The streamlining is accomplished by classifying them into mutually exclusive groups, which match to one or more items on the federal report. Specifically, tax validation identifies five types of employer transactions or statuses (called populations), which are further divided into 46 mutually exclusive groups (subpopulations). All validation counts are built from these subpopulations. The five populations are: (1) Active Employers, (2) Report Filing, (3) Status Determinations, (4) Accounts Receivable, and (5) Field Audits.

Table C lists the ETA 581 populations and subpopulations that are reconstructed and the number of report items validated by each population. It also describes the dimensions used to divide populations into subpopulations.

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<sup>2</sup>Wage items processed (item 5 on the ETA 581) are validated but through a less comprehensive process. The ETA 581 wage item count is not reconstructed.

## INTRODUCTION

Table C ETA 581 Report, by Transaction Population				
Population	ETA 581 Line Numbers	Dimensions Used to Create Subpopulations	Number of Report Items	Number of Subpopulations
1. Active Employers	101	Employer status: <ul style="list-style-type: none"> <li>• contributory</li> <li>• reimbursing</li> </ul>	2	2
2. Report Filing	201	Timing of report receipt and resolution: <ul style="list-style-type: none"> <li>• timely</li> <li>• secured within the quarter due</li> <li>• resolved within two quarters</li> </ul>	6	16
3. Status Determinations	301	Type of status determination: <ul style="list-style-type: none"> <li>• new</li> <li>• successor</li> <li>• inactive</li> <li>• terminated</li> <li>• Time lapse of the determination</li> </ul>	7	8
4. Accounts Receivable	401 402 403 404	Receivable amounts: <ul style="list-style-type: none"> <li>• established</li> <li>• liquidated</li> <li>• declared uncollectible</li> <li>• removed from the report</li> <li>• outstanding at end of quarter</li> </ul>	10	16
5. Field Audits	501 502	By employer size: <ul style="list-style-type: none"> <li>• small</li> <li>• large</li> </ul> By audit result: <ul style="list-style-type: none"> <li>• change</li> <li>• no change</li> </ul>	11	4
6. Wage Items Processed	101		1	N/A

### F. Handbook Overview

To determine the extent to which reported data are accurate and meet federal reporting definitions, five separate validation “modules” have been developed. Four of these modules—1, 2, 4, and 5—are processes that include various tools to use in validating the quantity and quality

## INTRODUCTION

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of federally reported data. Module 3 is not a process but a key map linking state data sources to Federal reporting definitions that is essential to building and testing extract files. The modules and accompanying appendices are outlined below.

- **Module 1—Report Validation (RV)**

Module 1 describes how to validate whether state ETA 581 reporting programs are functioning correctly. The Sun-based software systematically processes reconstruction files and compares the count in each federal report item to the count in the corresponding subpopulation. The validator examines transactions that the software rejects as invalid and determines whether the rejected records need to be eliminated from the validation files because they represent uncountable transactions (e.g., their dates put them out of range for the validated quarter) or are improperly-built but potentially countable records that need to be fixed in a regenerated file.

- **Module 2—Data Element Validation (DEV)**

Module 2 describes how to test the extract files to validate that the correct data elements are used, and thus that validation counts can be trusted as accurate. Two tests are conducted as part of DEV:

**(2.1) Minimum Samples** (formerly called **File Integrity Validation, or FIV**), two records from each subpopulation, are examined to see that the correct data were extracted from the database to build the reconstruction file.

**(2.2) Sort Tests** check whether the primary letter codes in the validation files are supported by state database values, or whether Employer Account Numbers have the prefix, suffix, or range values the state uses to differentiate contributory from reimbursing employers. Not all sorts are applicable in all states.

- **Module 3—State-Specific Data Element Validation Instructions**

Module 3 provides the state-specific instructions that the validator uses for investigating minimum samples and applying sort tests, and helps guide programmers in building extract files. Module 3 documents the system screens that display the data to be validated as well as the rules that must be applied to each data element to determine its accuracy. State definitions or procedures that affect validation are also documented to help state and federal staff interpret the validation results and improve procedures.

- **Module 4—TPS Validation**

Module 4 determines whether the state's TPS acceptance samples were selected randomly from the correct universe of transactions. The quality reviews are a key indicator of the state's performance; and it is important to review the sampling methodology to ensure the results are statistically valid.

- **Module 5—Wage Item Validation**



## INTRODUCTION

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This module explains how wage item counts are validated.

- **Appendix A—Report Validation File Specifications**

Appendix A includes specifications for the five validation files that the state needs to generate. Its key element is a table for each population that shows how each subpopulation is defined by values of a record's data elements, where each element is defined in Module 3, and how each subpopulation relates to federal report cells validated. In addition, Appendix A provides information about timing issues for each population.

- **Appendix B—Independent Count**

Appendix B describes how to determine whether any transactions have been excluded from an ETA 581 report item. These procedures are applicable to states that create the ETA 581 from the same extract files used to generate the reconstruction files.

### **G. Walkthrough of Data Validation Methodology**

Figure B is a schematic illustration of the DV process. This section provides IS and validation staff with a step-by-step walkthrough, using ETA 581 active employers as an example.<sup>3</sup> It references the handbook module in which that aspect of the data validation process is described. Readers should review the referenced modules for further information.

□ State **IS staff** generate the ETA 581 report from the state's UI employer database(s) or from statistical files of counts or detailed records. The report item in the upper left corner of Figure B represents the count of contributory and reimbursing employers reported on the ETA 581.

At the same time, guided by the file layout (DV Operations Guide, Appendix B), file specifications (Appendix A) and definitions (Module 3), **IS staff** extract detailed records for the reported transactions to reconstruct and provide an audit trail for the reported count. (See Module 1.) This may be an iterative process; the software may reject many observations from the initial version of the file as errors. The validator and programmers must examine errors and determine which records should be removed from the file (e.g., dates out of range, duplicate transactions) and which records are incorrectly built but are countable transactions and thus must be corrected and the file rebuilt. The file is not ready for its final import from which samples are drawn and RV results examined until all errors are dealt with.

The state should generate the ETA 581 and the validation file (the reconstructed "audit trail") from the employer database(s) at the same time. Ideally, to prevent inconsistencies due to timing, the state would then immediately import the validation file into the software so that

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<sup>3</sup>The validation file, sort file, and state-specific handbook have been modified slightly in Exhibit I.5 for presentation purposes. Utah's Tax Transcript screen and handbook are shown.

## INTRODUCTION

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minimum samples can be drawn and the state can generate supporting documentation (for example, query screens) from the employer database(s).<sup>4</sup>

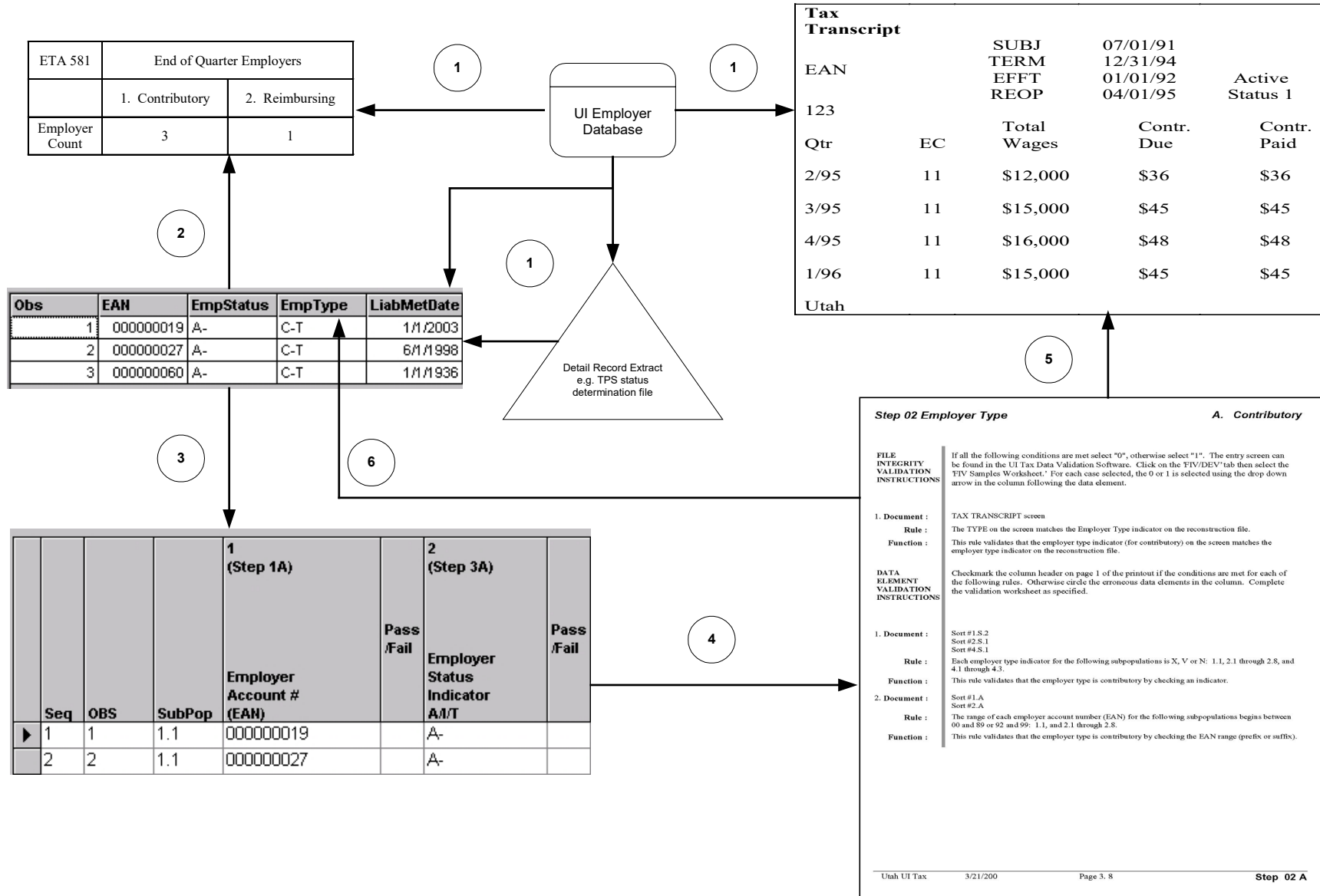
- The DV software compares the reconstructed count with the reported count. In this example, the validation screen shows the detailed records for the three contributory employers reported on the ETA 581.
- The software selects a sample of two records per subpopulation and displays them on the sample worksheet. (See Module 2.) The **validator** assembles the materials—Module 3, reconstruction files, sample worksheets, and screens—to be used during validation and for review by DOL auditors.
- The **validator**, following the “step” numbers in each column heading on the sample worksheet on the DV software, tests the accuracy of the reconstructed data using the state-specific instructions under the corresponding step number in the state’s Module 3. The bottom right portion of Figure B shows a page from Utah’s Module 3. (See Module 2.)
- Module 3 refers to state source documentation (usually query screens) and to specific fields on the screens.
- To complete the minimum sample reviews, the validator follows the rules for 2A (contributory employer) in Module 3. The rule for Step 2A requires the validator to compare the employer-type indicator on the screen to the employer-type indicator on the sample worksheet. Using the down arrow, the validator selects ‘PASS’ if the two indicators match; otherwise, ‘FAIL.’

The validator repeats the process for each data element on the worksheet guided by the step numbers in each column heading. (See Module 2.)

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<sup>4</sup> Given the highly automated nature of tax data validation, database screens are generally the only supporting documentation needed. Therefore, this handbook refers to screens, rather than to supporting documentation, throughout.

**Figure B**  
**Overview of UI Tax Data Validation Methodology**



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**MODULE 1**  
*Tax*

REPORT VALIDATION

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## MODULE 1

### A. Purpose

The report validation process is used to determine the accuracy of counts reported on the ETA 581 report. Five validation extract files are constructed according to specifications in the DV Operations Guide and Appendix A. These files are used to reconstruct the counts for the five types of employer contributions populations that the state is validating. The report validation files enable the validator to determine the accuracy of the ETA 581 report item counts. Table 1.1 lists the five report validation population files and the parts of the ETA 581 report they validate.

**Table 1.1  
Populations**

<b>Population</b>	<b>Population Description</b>	<b>ETA 581 Line Number</b>
1	Active employers	101
2	Report filing	201
3	Status determinations	301
4	Accounts receivable	401, 402, 403, 404
5	Field audits	501, 502

### B. Methodology

#### Step 1 Produce Report Validation Extract Files

State staff produces five report validation extract files—there is one extract file for each of the five populations of UI contributions transactions and statuses. State staff should use the following specifications to prepare the five files:

1. Extract File Specifications (Appendix B of the DV Operations Guide; also available on the DV Web page at <http://ows.doleta.gov/dv/>).
2. Population tables and timing specifications in Appendix A
3. Duplicate Detection Criteria (Appendix D of the DV Operations Guide)
4. State's Module 3

The extract file format is ASCII, comma delimited. See Figure 1.1 for an example of a record layout. Data must be in the order listed in the record layouts. The Data Type/Format column on the layouts indicates generic values for text fields. The generic values must be followed by a dash and the state-specific value. See Figure 1.2 for an example of an extract file.

It is best to generate the validation files at the same time as the ETA 581 to eliminate differences in data caused by changes in the employer database over time. Because the ETA 581 provides a “snapshot” of transactions and employer statuses during a specific time period, the validation is intended to verify the status of transactions at the time the report was run, even if data later changed. It is less efficient to compare a set of transactions or statuses captured at one point in time with those captured at another point in time, because many discrepancies will represent legitimate changes in a dynamic database, instead of systems errors or faulty data. For example, an employer’s status can legitimately change from active to inactive. If states have a complete audit trail, timing should not affect the reconstruction of transactions. For example, states should maintain records of status determinations even if the employer’s status changed in the same quarter. The validator can use these audit trails to verify that a transaction was correct at the time of reporting.

### **Step 2 Import Extract Files**

The extract files are imported into the DV software following the instructions in the DV Operations Guide. The software processes each extract file and builds the subpopulations as specified in Appendix A. The subpopulations are based on the unique types of transactions and statuses that can occur and that can be reported on the federal reports. For example, Population 1, active employers, includes all employers who were active on the last day of the quarter. The software assigns each record to a subpopulation defined by unique combinations of characteristics such as employer status, employer type, liability date, and termination date. See Figure 1.3 for a sample of a validation file imported into the software.

### **Step 3 Examine Error Reports and Reload Extracts If Necessary**

When the extract files are loaded, the DV software reads each record to ensure that all fields are valid. Any records with invalid data, missing mandatory data, or records which appear to be duplicates are rejected and an error report is produced. The record layouts in the DV Operations Guide specify the valid data formats for each field, and the population tables in Appendix A specify the valid values. The software uses the duplicate detection criteria in the DV Operations Guide to identify duplicate records that the validator must review.

After reviewing any error reports that are generated, state staff should determine if the extracts are correct or whether they need to be regenerated or reformatted and reloaded into the DV software. This process should be repeated until the extract files have no errors.

See Figure 1.4 for an example of an error report.

### **Step 4 Report Validation**

The DV software calculates the validation count or dollar amount for each subpopulation specified in Appendix A. The validation values are compared to the corresponding reported values in the national UI database. The software then calculates the difference between the validation and reported values and also calculates an error rate. A reported value is considered valid and “passes” report validation if the error rate falls within the established tolerance ( $\pm 1\%$  for data used in Government Performance and Results Act (GPRA) measures and  $\pm 2\%$  for all

others). The GPRA Tax measure is the percent of all New Status determinations made within 90 days; the elements with a  $\pm 1\%$  tolerance are Total New Status Determinations and New Status determinations made within 90 Days.

The software produces a summary report that displays all of this information. This summary report is submitted to the UI national office.

## Overview of Module 1

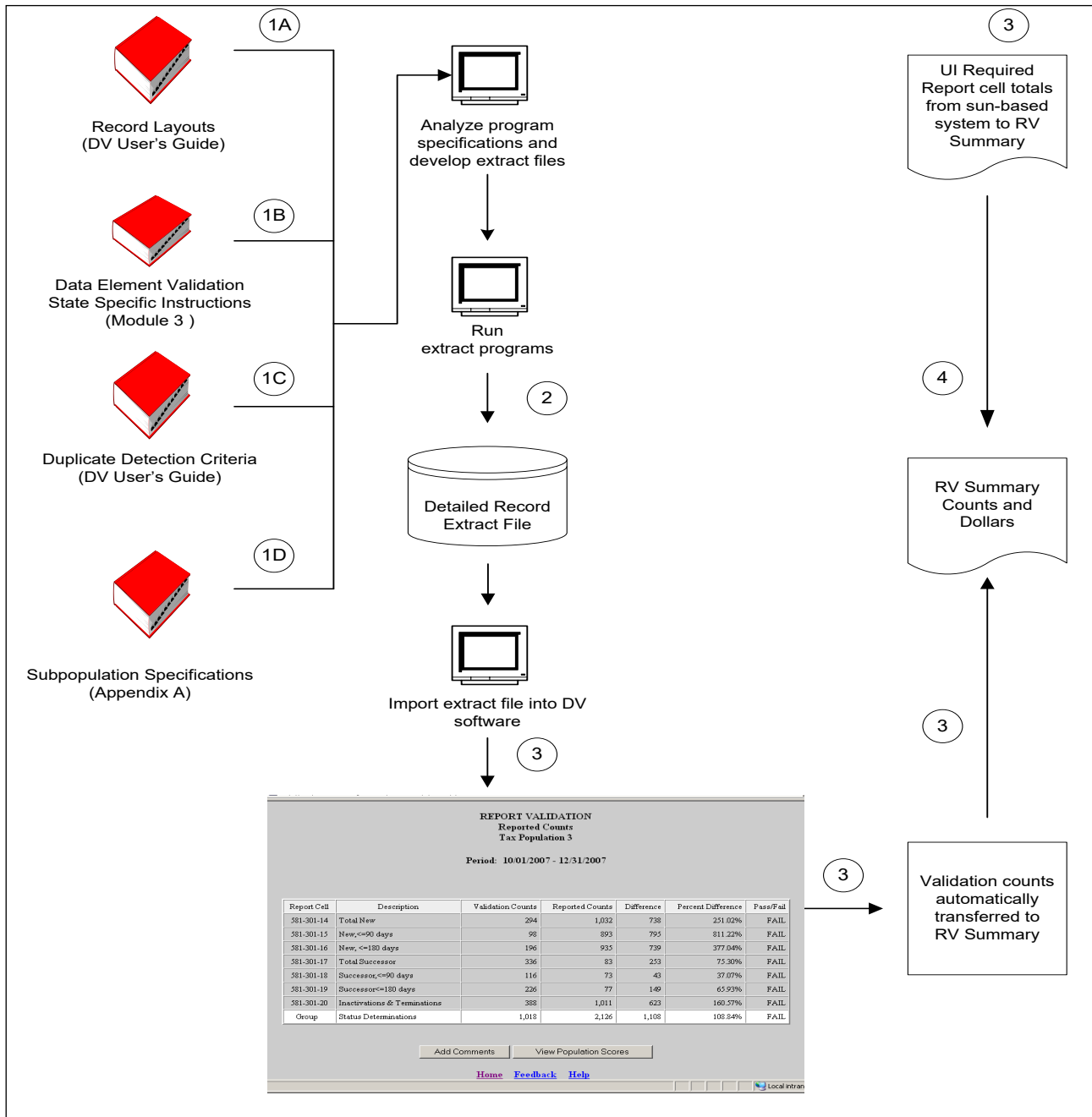
Table 1.2 and Figure 1.1 show an overview of Module 2 methodology.

**Table 1.2**  
**Overview of Module 1**

Step	Description of Step
1A – 1D	<p>Analyze the validation program specifications including:</p> <p><b>1A. Record Layouts (DV Operations Guide):</b> contains specifications to build the validation extract files</p> <p><b>1B. Data Element Validation State Specific Instructions (Module 3):</b> Includes instructions and state’s specific screen names, element names and value codes for validating each data element.</p> <p><b>1C. Duplicate Detection Criteria (DV Operations Guide):</b> contains the criteria that the software uses to detect duplicates.</p> <p><b>1D. Subpopulation Specifications (Appendix A):</b> contains reporting and sampling specifications for each population.</p>
2	<p>Extract transaction records from the state database(s), including all of the data elements specified in the record layouts. The extract process should include a routine to ensure that invalid duplicates are excluded from the file, as specified in the duplicate detection criteria in the DV Operations Guide.</p>
3	<p>Import the validation files into the DV software, which processes the files and assigns transactions to the subpopulations specified in Appendix A.</p>
4	<p>The RV screen compares the validation counts to the reported counts and displays the error rates and a pass/fail population score.</p>



Figure 1.1  
Overview of Module 1



The following figures are examples of:

1. Population 3 Record Layout (Figure 1.2)
2. Population 3 Sample Extract File (Figure 1.3)
3. Population 3 Validation File after Processed through DV Software (Figure 1.4)
4. Population 3 RV Summary (Figure 1.5)

**Figure 1.2  
Population 3 Record Layout (portion)**

The record layout provides the format for the validation extract file. The extract file type must be ASCII, comma delimited columns. Data must be in the order listed in the record layout. The Data Format column indicates the generic values for text fields. **These must be followed by a dash and the state-specific value.** The Module 3 reference indicates the step where the state-specific values are documented.

Example: If the state-specific code for New Status Determination is NEW, then the data format would be N-NEW.

<i>No.</i>	<i>Field Name</i>	<i>Module 3 Reference</i>	<i>Field Description</i>	<i>Data Type/Format</i>	<i>DVWS</i>	<i>Constraint</i>
1	OBS		Sequential number, start at 1	Number - 00000000 (Required)	INTEGER	NOT NULL
2	EAN	Step 1A	Employer Account Number	Number - 000000000 (Required)	CHAR (20)	NOT NULL
3	Employer Type	Step 2A Step 2B	Indicate whether the employer type is contributory or reimbursable.	Text - C; R (Required)	CHAR (20)	NOT NULL
4	Status Determination Type Indicator	Step 11A- D	Indicate status determination type by New, Successor, Inactivation or Termination.	Text - N; S; I; T (Required)	CHAR (10)	NOT NULL
5	Time Lapse	Step 12	Place a zero (0) in this field. (Software generates the time lapse)	Number - 0	INTEGER	

Figure 1.3

## A Population 3 Extract File in ASCII Comma-delimited Format

```
000000001,000000001,C-100,T-345,0,05/16/2003,03/31/2003,,,,,05/16/2003,20031021140204
000000002,000000002,C-800,I-306,0,05/08/2003,09/30/2002,,,,,05/08/2003,,20031021140204
000000003,000000003,C-100,N-106,0,04/02/2003,12/09/2002,,04/02/2003,,,,,20031021140204
000000004,000000004,C-100,I-306,0,06/13/2003,06/30/2002,,,,,06/13/2003,,20031021140204
000000005,000000005,C-100,I-325,0,06/16/2003,03/31/2002,,,,,06/16/2003,,20031021140204
000000006,000000006,C-100,N-101,0,04/02/2003,03/31/2003,,04/02/2003,,,,,20031021140204
000000007,000000007,C-100,I-306,0,06/13/2003,03/31/2003,,,,,06/13/2003,,20031021140204
000000008,000000008,C-040,S-186,0,04/03/2003,01/01/2003,,04/03/2003,,04/03/2003,000281498,,,20031021140204
000000009,000000009,C-040,I-370,0,04/03/2003,12/31/1997,,,,,04/03/2003,,20031021140204
000000010,000000010,C-420,S-186,0,04/03/2003,07/01/2002,,04/03/2003,,04/03/2003,000149776,,,20031021140204
000000011,000000011,C-420,I-370,0,04/03/2003,12/31/1980,,,,,04/03/2003,,20031021140204
000000012,000000012,C-130,S-186,0,04/03/2003,10/02/2002,,04/03/2003,,04/03/2003,000051455,,,20031021140204
000000013,000000013,C-130,I-370,0,04/03/2003,03/31/1971,,,,,04/03/2003,,20031021140204
000000014,000000014,C-000,S-165,0,04/21/2003,01/01/2002,,04/21/2003,,04/21/2003,000283912,,,20031021140204
000000015,000000015,C-100,I-306,0,06/03/2003,09/30/2002,,,,,06/03/2003,,20031021140204
000000016,000000016,C-100,S-161,0,04/08/2003,01/24/2003,,04/08/2003,,04/08/2003,000309296,,,20031021140204
000000017,000000017,C-100,N-101,0,04/02/2003,12/31/2001,,04/02/2003,,,,,20031021140204
000000018,000000018,C-100,N-101,0,04/02/2003,12/31/2002,,04/02/2003,,,,,20031021140204
000000019,000000019,C-100,N-106,0,04/02/2003,12/22/2002,,04/02/2003,,,,,20031021140204
000000020,000000020,C-100,N-101,0,04/02/2003,03/31/2003,,04/02/2003,,,,,20031021140204
000000021,000000021,C-800,N-120,0,04/02/2003,06/30/2002,,04/02/2003,,,,,20031021140204
000000022,000000022,C-800,I-306,0,04/02/2003,03/31/2002,,,,,04/02/2003,,20031021140204
000000023,000000023,C-100,N-101,0,04/02/2003,12/31/2002,,04/02/2003,,,,,20031021140204
000000024,000000024,C-100,N-101,0,04/02/2003,03/31/2002,,04/02/2003,,,,,20031021140204
```

**Figure 1.4**  
**A Population 3 Validation File After Processing by DV Software**

**SOURCE TABLE**  
**Tax Population 3**

OBS	Employer Account Number	Employer Type	Status Determination Type	Time Lapse	Status Determination Date	Liability Date	End of Liabile Quarter	Activation Date	Reactivation Date	Successor ship Date	Predecessor Account Number	Inactivation Date
16	0200080009	C	N-EWX	1.0	04/01/2006	03/01/2006	03/31/2006	04/01/2006	06/30/2006			
17	0200085000	R	N-EWX	181.0	06/30/2006	12/01/2005	12/31/2005	04/01/2006	06/30/2006			
18	0200088000	C	N-EWX	90.0	06/29/2006	03/01/2006	03/31/2006	06/30/2006				
19	0200089006	R	N-EWX	91.0	04/01/2006	10/01/2005	12/31/2005	04/02/2006	04/04/2006			04/03/2006
20	0200090004	C	N-EWX	180.0	06/29/2006	12/31/2005	12/31/2005	06/30/2006				
21	0200092007	R	N-EWX	273.0	06/30/2006	07/01/2005	09/30/2005	04/01/2006	04/03/2006			04/02/2006
22	0200093003	C	S-2	1.0	04/01/2006	03/01/2006	03/31/2006	04/01/2006		04/01/2006	000000001	
23	0200094000	R	S-2	90.0	06/29/2006	03/01/2006	03/31/2006	04/30/2006	05/02/2006	05/03/2006	000000002	05/01/2006
24	0200095006	C	S-2	91.0	04/01/2006	10/01/2005	12/31/2005	04/02/2006	04/04/2006	04/04/2006	000000003	04/03/2006
25	0200096002	R	S-2	180.0	06/29/2006	12/31/2005	12/31/2005	06/30/2006		06/30/2006	000000004	
26	0200097009	R	S-2	181.0	06/30/2006	12/01/2005	12/31/2005	04/01/2006	06/30/2006	06/30/2006	000000005	
27	0200098005	C	S-2	273.0	06/30/2006	07/01/2005	09/30/2005	04/01/2006	04/03/2006	04/04/2006	000000006	04/02/2006
28	0200099001	R	I-3	1.0	04/01/2006	01/09/2006	03/31/2006	03/03/2006				04/01/2006
29	0200100000	C	I-3	91.0	06/30/2006	03/12/2006	03/31/2006	04/03/2006				06/30/2006

Done Local intranet

**Figure 1.5  
Population 3 Report Validation Summary**

**Reported Counts for Population 3**

Period: 10/01/2005 - 12/31/2005

Report Cell	Description	Validation Counts	Reported Counts	Difference	Percent Difference	Pass/Fail
581-301-14	Total New	1,186	0	1,186	100.00%	FAIL
581-301-15	New, <=90 days	1,186	0	1,186	100.00%	FAIL
581-301-16	New, <=180 days	1,186	0	1,186	100.00%	FAIL
581-301-17	Total Successor	138	0	138	100.00%	FAIL
581-301-18	Successor, <=90 days	138	0	138	100.00%	FAIL
581-301-19	Successor <=180 days	138	0	138	100.00%	FAIL
581-301-20	Inactive Terminations	116	0	116	100.00%	FAIL
Status Determinations		4,088	0	4,088	100.00%	FAIL

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## **MODULE 2**

*Tax*

**DATA ELEMENT VALIDATION**

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## MODULE 2

### A. Purpose

The most important goal of the validation process is to determine how accurately employer contributions transactions and statuses have been reported on the ETA 581. After the report validation files have been built and each transaction has been assigned to a specific subpopulation, the key question is whether the data in each record are correct. This process is called data element validation (DEV). During DEV the validator will test whether the validation file is built from the correct elements, i.e., elements that are consistent with Federal reporting definitions. DEV comprises two separate testing procedures to ascertain whether key data elements in the report validation file have the values that should be used for building the file and validating the ETA 581 report counts. These are minimum samples and sorts/range tests. Only when a file has passed both procedures can it be considered the basis for judging the accuracy of ETA 581 report counts.

**Module 2.1—Minimum Samples (formerly called File Integrity Validation (FIV)).** The DV software selects a sample of two (2) records per subpopulation that are then displayed on the sample worksheet. The validator reviews the sampled records using the state-specific data values and instructions in Module 3, which point the validator to the appropriate supporting documentation (such as employer history screens). The validator uses this documentation to validate that the data elements on the worksheets are accurate and that the transactions are assigned to the appropriate subpopulations. This test ensures that the data in the reconstruction file accurately reflect the correct employer records in the state’s database(s). All states’ populations have minimum samples.

**Module 2.2—Sorts Tests/Range Validation** provides additional validity tests that examine whether the primary letter codes used in building the extract file (e.g., N for New or S for Successor Status determinations) correspond to the proper state-specific codes, and whether Employer Account Numbers (EANs) have the right prefix, suffix or range values for Contributory or Reimbursing employer accounts in the state. Not all of these tests apply in all states.

### MODULE 2.1—MINIMUM SAMPLES

### B. Procedures

#### Task 1: Select Minimum Samples

The sampling function of the UI Tax DV software randomly selects two records from each subpopulation. See the tax tutorial for detailed instructions on how to use the Sun-based DV software. For each population, the software creates a Minimum Samples Worksheet listing all data elements for each sampled record (see example in Figure 2.1).

Minimum samples—instead of the larger random samples used in benefits—are sufficient for tax because tax database data are simpler than benefits data, and so the test of whether a file has been built correctly is whether the correct data have been retrieved for the extract file. The validator does not have to apply the kind of logic tests used in benefits to assess whether the correct data element has been used to build the file. The extract process that states use to build the extract files is highly automated. Automated processes are repetitive. If, for example, a certain field in the employer history file is extracted and placed in the fifth column of the reconstruction file for one record, that same field will be used for the fifth column of every record in that file. Thus, if we know that all data elements have been transferred correctly for the sampled records, we can be reasonably sure that all similar records are constructed correctly.

### **Task 2: Conduct Sample Investigation**

For each data element in the sampled records, the validator compares the data value on the worksheet to source screens following instructions in Module 3. Based on that comparison, the validator records whether or not the value matches what is in the state database. The source data can be found by referring to query screens from the state data system. These screens display information on transactions and the status of employer accounts.<sup>5</sup>

Figure 2.2 is a sample page from Module 3. For each step listed in Module 3, Minimum Sample Instructions are provided. These instructions help the validator locate and compare specific data elements in the state database corresponding to the data on the worksheet, and to determine the validity of the information (pass or fail).

The instructions for each step or substep identify the supporting documentation (screen and field names) that the validator will need to examine. A set of logic tests, called validation rules, determines the accuracy of each characteristic of a given transaction. A subsection, called function, explains the purpose of each rule.

**Definitions** listed for each step in Module 3 give the federal definition of the item being validated. This definition is followed by further information on the data element—examples, inclusions (situations falling within the definition), and exclusions.

**Definitional Issues** identify known discrepancies between state and federal definitions. This section provides a place for states to systematically document validation issues, letting validators and auditors know when problems are anticipated. Where state and federal definitions differ, be sure to follow the federal rules as required by the reporting instructions.

**Comments** provide additional information identified by states that state staff or federal auditors may need in order to handle unusual situations.

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<sup>5</sup>Elements requiring data from multiple fields pose a greater risk of reconstruction error. For example, the reactivation date for status determinations may not come directly from one field in a state's database, but instead from a combination of a transaction code and a transaction date field. A series of applicable transaction codes may represent reactivations. In these instances, the state or region may want to examine the elements in greater detail. As discussed in Module 1, states should produce the necessary screens as soon as possible after the reconstruction file is created.



**Task 3: Produce Sample Results**

Using the down-arrow on the software, select 'PASS' on the worksheet next to each data element that successfully passes a step. Select 'FAIL' if a data element does not pass the step. Each column on the worksheet must be validated before the record is considered complete, and Pass or Fail must be selected for every item of every record in the sample or else the summary line will indicate "Incomplete." The software will not transmit results of populations with incomplete DEV items. Based on the pass/fail entries, the worksheet will provide an item-by-item count of the number of data elements that failed. All sampled records must be completely free of errors for a state to pass a Minimum sample. Once the state validator has finished reviewing all of the sampled records for a population, the results should be saved following the instructions in the DV Operations Guide.

C. Examples

1. Example of Minimum Samples Worksheet (Figure 2.1)
2. Sample Page from Module 3 (Figure 2.2)
3. Minimum Sample Validation Procedures (Table 2.1 and Figure 2.3)

**Figure 2.1**  
**Example of Minimum Samples Worksheet**

Check All	Row #	OBS	Subpop	1 (Step 1C) EAN	Pass/Fail	2 (Step 2A) (Step 2E) Emp Type	Pass/Fail	3 (Step 11A) (Step 11E) (Step 11C) (Step 11D) Status Type	Pass/Fail	4 (Step 12) Time Lapse	Pass/Fail	5 (Step 13) Status Date	Pass/Fail	6 (Step 14) Liab. Met. Date	Pass/Fail	7 (Step 14) End Liab. Qtr	Pass/Fail	8 (Step 15) Act. Proc. Date	Pass/F
<input type="checkbox"/>	1	11220	3.1	721845001		R		N		0		2005-04-08		2005-02-01				2005-04-08	
<input type="checkbox"/>	2	11222	3.1	721895009		C		N		0		2005-05-11		2005-04-01				2005-05-11	
<input type="checkbox"/>	3	11246	3.4	1662620005		C		S		0		2005-04-08		2005-01-07				2005-04-08	
<input type="checkbox"/>	4	11221	3.4	721885003		R		S		0		2005-04-22		2005-01-01				2005-04-22	
<input type="checkbox"/>	5	11212	3.7	218770002		C		I		0		2005-04-01		1967-07-01				2005-04-01	
<input type="checkbox"/>	6	11211	3.7	156690007		C		I		0		2005-04-01		1964-01-01				2005-04-01	

Figure 2.2  
Sample Page from Module 3

Alabama

Module 3

**Step 7. Wages**

**Sub Step B. Number of Liable Quarters**

*Rules for this step/substep apply to Population 1*

**Minimum Sample**

*On Sample Validation worksheet, select Pass by using down-arrow if all conditions are met; otherwise select Fail.*

**Rule 1:** This rule validates that the number of liable quarters for the most recent eight quarters on the screen matches the number of liable quarters on the reconstruction file.

**Document 1:** DA48 and DA58 screens

**Validation:** The number of consecutive QYRs listed on the screen matches the Number of Liable Quarters listed on the reconstruction file.

---

**Federal Definition:** Number of Liable Quarters: The number of consecutive quarters between the date the employer last became active and was required to file reports and the report quarter. If the number of quarters is eight or more, the value should be reported as eight.

---

**State Definitional Issues:** Alabama automatically inactivates employers following two consecutive calendar years of zero wage reports. (This can total up to eleven calendar quarters prior to inactivation.)

---

Alabama cannot distinguish on the DA48 or any other screen whether no report was filed or whether a zero wage report was filed.

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## Overview of Module 2.1 (Figure 2.3)

Table 2.1 and Figure 2.3 summarize the tasks in the Minimum Sample review process.

Figure 2.3

Task No.	Description of Task	Who Performs Task
1	Open Minimum Samples Worksheet, which lists all data elements for two records from each subpopulation. A single worksheet is generated for each population.	Validator
2	Produce necessary query screens at the same time reconstruction file is created.	IS Staff Validator
3	The validator turns to the designated step in Module 3. Each step will have one or more rules listed. The purpose or "Function" of each rule is provided. In addition, each step includes the definition from the ETA 581. Use "Definitional Problems" to document instances where state regulations or practices conflict with the federal definitions. The validator can use the "Comments" field to record notes or document issues that may be helpful for future validations.	Validator
4	The validator locates the source Document listed to check each rule. The document is the source used to compare the data on the worksheet with the data residing in the state database or state files. In some cases, it will not be necessary to pull any additional documents when all of the data elements have been included on the worksheet. In other instances, it will be necessary for the validator to refer to screens and/or case files.	Validator
5	The validator determines whether the data element being validated passes all of the validation rules using the required documents.	Validator
6	If any of the rules for the step fail validation, the validator selects 'FAIL' on the worksheet for that step.	Validator
7	If the data element passes all of the rules, the validator selects 'PASS' on the worksheet for that step.	Validator

**Module 2.2—SORTS TESTS**

Sorts is the name given to a series of tests used in certain states to determine whether data element values such as C for Contributory or N for New status determinations used to build the extract file records are supported by underlying state database codes or Employer Account Number (EAN) values.

The validation software assigns records to subpopulations, in part by using the generic codes used by all states to build the validation files. For example, all states use ‘C’ to mean contributory followed by a dash and the state-specific code for contributory. Sorts tests must be conducted when states have multiple state-specific codes that could be assigned to a single generic code. A separate query test is also necessary when the state uses the prefix, or suffix, or value range of the EAN to identify whether the employer type is contributory or reimbursing.

Table 2.2 shows a variety of codes that one state uses to classify a status determination that an employer is either newly liable or a successor to an existing employer. In building its population 3 validation file, this state might have several acceptable state-specific codes to map to the generic status determination type indicators of “N” (new) and “S” (successor). For example, this state’s validation file might show new status determination type indicator values of N-01, N-02, N-03, N-07, N-08, N-09 or N-10.

For most of the sorts, the validation software produces a distribution of all records in populations 1 – 4 in the extract file by certain key primary codes. It shows the relationship of the records with the primary code to the state’s secondary codes captured when the file was built. The validator examines these codes to identify any state-specific codes that are not acceptable matches for the generic code. In the example above, any code other than 01-03 or 07-10 would not be consistent with a correct value of N on the record. For sorts 1.1, 1.2, 2.1 and 2.2, the software allows the validator to query Populations 1 and 2 to determine whether the prefix, suffix, or value range of the EAN is consistent with state procedures for classifying employers by type (contributory or reimbursing). A data element passes the sort test if no more than 2% of the sorted transactions include an incorrect state-specific code or the wrong EAN value. Unless a population extract file passes all applicable sorts tests and has no minimum samples with errors, the population cannot pass report validation because the integrity of the extract file used for the validation is not established.

The DV software provides a data entry screen on which the validator records, for each sort, the number of records subjected to the test and the number of records that are “out of range.” It also allows the validator to check N/A if the sort does not apply in the state.

**Table 2.2****Status Determination Reason Codes**

This table lists codes that a state used to indicate the reason employers were subject to the provisions of UI law as either a 'new' employer or as a 'successor.'

<b>Code</b>	<b>Reason</b>
01	Payroll
02	Employment 13 <sup>th</sup> week
03	FUTA
04	Whole Successor allowed
05	Part Successor
06	Consolidation allowed
07	Revived with new number
08	Payroll domestic
09	Payroll agriculture
10	Employment agricultural

**D. Procedures****Task 1: Identify Applicable Sorts Tests**

Examine the sort criteria in Table 2.3 (pages 2-12 and 2-13, below). For each potential sort, look at the column entitled “When to Do Range Validation” to determine whether the test is applicable to the state. A sort is only applicable when there are multiple state codes that map to a single generic indicator, or when the state uses the Employer’s Account Number (EAN) to identify whether an employer is contributory or reimbursing.

**Task 2: Conduct Appropriate Test**

To begin range validation, log onto the Sun-based DV software and select the appropriate population from the Tax Selection Criteria menu.

Select View Data Element Sorts from the drop-down list. The software presents a DATA ELEMENT SORTS table listing every sort for the population and a box for entering the number of errors you identify for that sort. The table displays the # of Cases to which the sort is applicable; the software has calculated them by summing the cases in the relevant subpopulations.

Click on the link for an applicable sort. If a sort is not applicable in your state, click the N/A box.

The DV software only queries records in the subpopulations applicable to the selected sort. Except for the EAN sorts, all of the sorts in Table 2.3 involve instances where a state may have multiple codes for employer status, employer type, or types of transactions. The software produces a distribution of the primary code by the state-specific secondary codes; validators can examine the individual sorted records for each secondary code by clicking on a link. See the DV Operations Guide for a detailed explanation of how to conduct EAN range validation (sorts 1.1, 1.2, 2.1, 2.2).

**Task 3: Produce Range Validation Results**

After examining the sorted records, the validator enters the total of errors on the Data Element Sorts screen. As soon as the SAVE button is clicked, the DV software calculates the error rate and indicates whether the sort passed or failed. The results are sent to the Population Scores table. When all sorts and Minimum samples are complete, the validator may transmit the results to the national office.

States have passed range validation when they have established that no more than 2% of the records in the tax extract files include incorrect state-specific codes or incorrect EANs representing employer type.

**Task 4: Correcting Validation Errors**

Validation is not an end in itself; it is a means toward correct reporting. If validation identifies reporting errors, the state should correct the reporting errors as soon as possible. To document the corrective action for resolving reporting errors, and the timetable for completion, the state must address the problem to its ETA Regional Office in accordance with the annual State Quality Service Plan (SQSP). This will be either in the SQSP narrative or as part of a Corrective Action Plan (CAP). (Any state that fails to conduct and submit the validation for one or more benefits or tax populations must address this failure in a CAP.) The narrative or CAP should contain the following information on every validated report element that exceeds the validation error rate tolerance:

- Report element(s) in error.
- Magnitude of error found.
- Status/Plan/Schedule for correcting. If reporting errors were corrected in the course of the first validation, the report should simply note “corrected during validation.” (Validation of the affected transactions should occur immediately after these corrections have been made.)

**Timing of CAP or Narrative.** The plan for correcting the errors should be submitted within the established deadlines of the SQSP.

**Revalidation.** Populations that failed any validation must be revalidated the following year. A revalidation should confirm the success of the corrective action or, if the state has not completed corrective action, identify the current extent of the error.

**Errors Discovered Outside the Validation Process.** During the validation process, errors in reporting may be identified that are outside the scope of the validation program. Such errors should be included in the comments section of the state’s data validation reports.



**Table 2.3**  
**Sorts Validation Criteria**

Population	Sort	Subpopulations Sorted	When to Do Sorts Validation	Test Data Element	Test Criteria	Module 3 References
1	S1.1	1.1	When the employer’s account number indicates that the employer type is contributory.	EAN	All EANs must be in ranges allocated to contributory employers	Step 2A
1	S1.2	1.2	When the employer’s account number indicates that the employer type is reimbursing.	EAN	All EANs must be in ranges allocated to reimbursing employers	Step 2B
1	S1.3	1.1 and 1.2	When more than one employer status code is used to indicate that the employer’s status is active.	Employer Status Indicator	All status codes must represent active employers	Step 3A
1	S1.4	1.1	When more than one employer type code is used to indicate that the employer type is contributory.	Employer Type Indicator	All employer type codes must represent contributory employers	Step 2A
1	S1.5	1.2	When more than one employer type code is used to indicate that the employer type is reimbursing.	Employer Type Indicator	All employer type codes must represent reimbursing employers	Step 2B
2	S2.1	2.1- 2.8	When the employer’s account number indicates that the employer type is contributory.	EAN	All EANs must be in ranges allocated to contributory employers	Step 2A
2	S2.2	2.9-2.18	When the employer’s account number indicates that the employer type is reimbursing.	EAN	All EANs must be in ranges allocated to reimbursing employers	Step 2B
2	S2.3	2.1-2.8	When more than one employer type code is used to indicate that the employer type is contributory.	Employer Type Indicator	All employer type codes must represent contributory employers	Step 2A
2	S2.4	2.9-2.18	When more than one employer type code is used to indicate that the employer type is reimbursing.	Employer Type Indicator	All employer type codes must represent reimbursing employers	Step 2B
3	S3.1	3.1-3.3	When the state uses more than one code to indicate that the status determination type is new.	Status Determination Type	All status determination type codes must represent ‘new’ status determination type	Step 11A
3	S3.2	3.4-3.6	When the state uses more than one code to indicate that the status determination type is successor.	Status Determination Type	All status determination type codes must represent ‘successor’ status determination type	Step 11B
3	S3.3	3.7	When the state uses more than one code to indicate that the status determination type is inactivation.	Status Determination Type	All status determination type codes must represent ‘inactivation’ status determination type	Step 11C

**Table 2.3  
Sorts Validation Criteria**

<b>Population</b>	<b>Sort</b>	<b>Subpopulations Sorted</b>	<b>When to Do Sorts Validation</b>	<b>Test Data Element</b>	<b>Test Criteria</b>	<b>Module 3 References</b>
3	S3.4	3.8	When the state uses more than one code to indicate that the status determination type is termination.	Status Determination Type	All status determination type codes must represent 'termination' status determination type	Step 11D
4	S4.1	4.1, 4.9	When the state uses more than one code to indicate that the transaction type is establishment.	Transaction Type Indicator	All transactions must be establishment of accounts receivable	Step 21A
4	S4.2	4.2, 4.10	When the state uses more than one code to indicate that the transaction type is liquidation.	Transaction Type Indicator	All transactions must be liquidations of accounts receivable	Step 21B
4	S4.3	4.3, 4.4, 4.11, 4.12	When the state uses more than one code to indicate that the transaction type is declared uncollectible.	Transaction Type Indicator	All transactions must be accounts receivable declared uncollectible	Step 21C

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**Module 3**  
*Tax*

DATA ELEMENT VALIDATION  
STATE SPECIFIC INSTRUCTIONS

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## MODULE 3

### A. Purpose

Module 3 provides the set of actual state-specific instructions that the validator uses in data element validation. It lists the state system screens or documents that contain the data from which the extract files are built as well as the rules to validate them. State definitions or procedures that affect validation are also documented to help state and federal staffs interpret the validation results and improve procedures. **Although the intent of Module 3 is to identify state-specific data that are consistent with Federal reporting definitions, the inclusion of state-specific information in this module is not to be deemed a finding by itself that such information is in compliance with federal reporting data definitions.**

Module 3 is not included in this handbook. It is maintained in a database that contains data for every state. Since these instructions are state-specific, each state is responsible for reviewing and updating its Module 3 regularly. Every year by June 10 States need to certify that they have reviewed their Module 3 and that is up-to-date.

### B. Methodology

Table 3.1 outlines each step in the state-specific validation instructions and its component substeps. Table 3.2 indicates the combination of validation steps required for validation of each population. The worksheet guides the validator to the necessary steps by the presence or absence of data in each column for a given transaction. Each column header identifies the steps to use in validating the data in that column. Once the validator learns the instructions and rules listed under each step and substep, it may not be necessary to refer to them for each transaction or element being validated.

The validator begins the validation by looking at the first transaction (first row) on the worksheet and then by looking at the first step listed in the column header at the top of the worksheet. The validator then locates that step in the state-specific instructions in Module 3.

If there are substeps, but the substep is not specified in the column heading, the first page for the step number will direct the validator to the appropriate substep.

**Note:** Some steps in Module 3 indicate that they do not require validation or they are no longer required. The step numbers, however, have been retained in Module 3 to document the states' procedures for these steps.

**Table 3.1**  
**Data Element Validation Steps and Substeps**

<b>Step</b>	<b>Substep A</b>	<b>Substep B</b>	<b>Substep C</b>	<b>Substep D</b>	<b>Substep E</b>
1. Match	Active Employers	Employer Report Filing	Status Determinations	Accounts Receivable	Field Audits
2. Employer Type	Contributory	Reimbursable			
3. Employer Status	Active	Inactive/ Terminated			
4. Liability Date	Initial	Reopen			
5. Inactive/Terminated as of Date					
6. Inactivation and Termination Processing Dates	Combined	Inactivation	Termination		
7. Wages	Quarterly Wages	Number of Liable Quarters			
8. Employer Report Filing	Timely	Secured	Resolved		
9. Received Date					
10. Final Assessment Date					
11. Status Determination Type	New	Successor	Inactivation	Termination	
12. Status Determination Time Lapse					
13. Status Determination Date					
14. End of Liable Quarter					
15. Activation Processing Date					
16. Reactivation Processing Date					
17. Successorship Processing Date					
18. Predecessor Account Number					
19. Receivable Dates	Transaction Date	Established Date			
20. Due Date					
21. Type of Transaction	Receivable Established	Receivable Liquidated	Declared Uncollectible		
22. Established Amount					
23. Liquidated Amount					
24. Amount Declared Uncollectible					
25. Amount Removed					
26. Balance at End of Quarter					

<b>Step</b>	<b>Substep A</b>	<b>Substep B</b>	<b>Substep C</b>	<b>Substep D</b>	<b>Substep E</b>
<b>27. Age of Receivable</b>	Contributory	Reimbursable			
<b>28. Employer Size</b>	Large	Not Large			
<b>29. Change Audit Type</b>	Change	No Change			
<b>30. Audit Completion Date</b>					
<b>31. Total Wages</b>	Pre-Audit	Post-Audit	Under Reported	Over Reported	Reconciled
<b>32. Taxable Wages</b>	Pre-Audit	Post-Audit	Under Reported	Over Reported	Reconciled
<b>33. Contributions</b>	Pre-Audit	Post-Audit	Under Reported	Over Reported	Reconciled

Table 3.2

**Relevant Data Element Validation Steps, by Population**

<b>Population</b>	<b>Relevant Data Element Validation Steps<sup>a</sup></b>
1. Active Employers	1, 2, 3, 5, 7, 14, 15, and 16
2. Report Filing	1, 2, 4, 5, 6, 8, 9, 10, and 14
3. Status Determinations	1, 2, 6, 11, 12, 13, 14, 15, 16, 17, and 18
4. Accounts Receivable	1, 2, 19, 20, 21, 22, 23, 24, 25, 26, and 27
5. Field Audits	1, 28, 29, 30, 31, 32, and 33

<sup>a</sup> The population tables in Appendix A specify the appropriate substeps for each population.

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**MODULE 4**  
*Tax*

QUALITY SAMPLE VALIDATION

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## MODULE 4

### A. Introduction

One of the Tax Validation responsibilities is to review the integrity of four key Tax Performance System (TPS) acceptance samples: the three Status Determination samples and the Field Audit sample. The objective of the DV reviews is to ensure that the samples are drawn randomly from the correct population or universe. The validator (a) reviews how the sample was selected and (b) compares the universe from which the sample is drawn to a reference count—ideally the *validated* reference count—from the ETA 581 report. To ensure that only random acceptance samples are investigated, the randomness of each TPS sample should be validated before the cases are given to the TPS reviewer for investigation. To keep from delaying the case investigations, do (a) as soon as the sample is drawn, as it does not depend on the 581 reference data. Comparing the universe count with the 581 reference count, (b), can be done later, when 581 data are submitted. That will be approximately February 20 for the Status Determination samples and November 20 or February 20 for the Field Audit sample (per UIPL 13-10, states have discretion in the review period for the Field Audit sample.)

States may select their TPS samples in either of two ways. The first is a conventional interval sample: the programmer (or a utility program) divides the size of the desired sample (say 30) into the size of the population (say 300) and derives the sample interval (every 10th observation). A random start point—in this instance between 1 and 10—is then applied, and the program selects every tenth case from that point. The National Office provides states with random start numbers for all TPS samples in December for the upcoming calendar year. States may also use a sampling utility program that randomizes the file and selects the first 30 observations. This approach is somewhat more difficult to validate, but could involve reviewing the sample against the source file (see Step 2 below) or reviewing the utility program specifications.

### B. Procedures

#### Task 1: Compare Universe Counts

From IS staff the validator should obtain copies of the universe files for Status Determinations and Field Audits. For status determinations there will be three TPS universes: (1) New, (2) Successor, and (3) Inactive/Terminated. The universe listings should cover all quarters for which the actual acceptance sample was drawn. These are as follows:

- Status Determinations: the four quarters of the calendar year
- Field Audits: Give period used for acceptance sample.
  - UIPL 13-10 changed period from first three calendar-year quarters to four quarters, but state may select either four calendar-year or four Federal fiscal-year quarters, e.g., 1/1/2010 – 12/31/2010 or 10/1/2009 – 9/30/2010.

Compare the count of each status determination universe and the field audit universe to the reference count reported on the ETA 581 (see below) for the same period. If the universe is within  $\pm 2\%$  of the reference count, this indicates that the correct universe was used. Please note

that you may need to adjust the TPS universe count of Inactivation/Termination determinations to make a proper comparison with the 581 reference count. The TPS universe includes all inactivation/termination transactions actually entered on the state's system. In some states, there may be differences from the counts required to meet ETA 581 reporting requirements.

Reference Counts by line and UIDB cell number:

- New Status Determinations: ETA 581 line 301, column 14 (c11)
- Successor Determinations: ETA 581 line 301, column 17 (c68)
- Inactivations/Terminations: ETA 581 line 301, column 20 (c63)
- Field Audits: ETA 581, line 501, column 47 (c256)

NOTE: The TPS universe is to include all actual determinations to inactivate and/or terminate accounts during a calendar year. Federal reporting instructions may require different counts for Inactivations/Terminations on the 581; for example:

- An account that was first inactivated and later terminated would appear twice in the TPS universe, but would only be counted once on the 581 (581 instructions allow only the inactivation/termination of an *active* account).
- The 581 instructions also stipulate that the count of active employer accounts cannot include employers that have not reported wages for eight consecutive calendar quarters. However, some states' policies do not allow accounts to be inactivated until additional steps occur beyond the Federal eight-quarter rule. Since it is the state's actual determination to terminate or inactivate an account that adds it to the TPS universe, such accounts are included in the 581 count of Inactivations/Terminations, but will not appear in the TPS universe until the actual inactivation or termination decision is issued.
- If such discrepancies arise, adjustments need to be made to the counts before comparison can be made. If the adjusted TPS universe is within  $\pm 2\%$  of the 581 count, the TPS universe will be considered to contain the correct transactions.

## Task 2: Review Sample Selection

Determine whether an interval sample was drawn (and how it was drawn) or whether the file was randomized such that the first set of cases could be selected without establishing intervals.

If an interval sample was drawn, check to see that the correct random start number was used and that proper cases were selected (for example, if the random start was 10 and the interval was every 40th case, check to see that cases 50, 90, 130, and so forth were selected).

If the sample was drawn from a randomized file, print the file and ensure that it was not ordered by date, employer, or some other nonrandom means. The validator can compare the printout with the way the file was ordered prior to randomization to ensure that the file was randomly reordered.

**Task 3: Record Findings on the Template**

The Sun-based software does not include a screen for forwarding the results of the quality reviews. Results of the quality review validation should be documented in a Word® file using the format below and sent via email to the National Office to [dvrpts@uis.doleta.gov](mailto:dvrpts@uis.doleta.gov). Note any problems in the Comments field.

**State:**

New Status Determinations (Tax Pop 3)

Calendar Year:        YYYY  
 Universe:        XXX,XXX  
 581 Count:        XXX,XXX  
 Difference as % of 581 Count:  
 Sampling Method: (Interval or Randomized File)  
 Problems/Comments:

**State:**

Successor Status Determinations (Tax Pop 3)

Calendar Year:        YYYY  
 Universe:        XXX,XXX  
 581 Count:        XXX,XXX  
 Difference as % of 581 Count:  
 Sampling Method: (Interval or Randomized File)  
 Problems/Comments:

**State:**

Terminations/Inactivation Status Determinations (Tax Pop 3)

Calendar Year:        YYYY  
 Universe:        XXX,XXX  
 Adjustments        XXX,XXX  
 Adj Universe        XXX,XXX  
 581 Count:        XXX,XXX  
 Difference as % of 581 Count:  
 Sampling Method: (Interval or Randomized File)

Problems/Comments:

**State:**

Field Audit Quality (Tax Population 5)

Four Quarters Ending : YYYYQ

Universe:     XXX,XXX

581 Count:         XXX,XXX

Difference as % of 581 Count:

Sampling Method: (Interval or Randomized File)

Problems/Comments:

### **C. Results and Actions**

If the sampling method was not correct or was not implemented properly, the validator should ensure that the sample is redrawn and is random before it is given to the TPS reviewer. The problems should be discussed with the programmer to ensure that next year's sample is drawn randomly. If the programmer confirms that the process was incorrect, the validator should record the problems in the comments section of the template.

If the universe for any TPS acceptance sample differs from the 581 reference count by more than  $\pm 2\%$ , the review must be repeated the following year. Otherwise, the review need not be repeated for three years.

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**MODULE 5**  
*Tax*

WAGE ITEM VALIDATION

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## MODULE 5

### A. Purpose

Each quarter, employers report to the state agency employee wages on a wage report (WR) and summary wage and contributions data on a contribution report (CR) on various media, including paper, magnetic tapes, diskettes, CD-ROMs, or files transmitted over the Internet. A WR includes a wage record for each employee: the individual's name, social security number (SSN) and earnings in covered employment during the quarter. The agency creates a record in its files--called a wage item--that identifies the individual, his employer, and the individual's earnings for the quarter. The agency reports the number of wage items on the ETA 581 report; this count is one of the workload items used to allocate UI administrative funds. Wage item validation assesses the accuracy of the count of wage items reported on the 581, and alerts the state to correct any inaccuracies. This helps ensure equitable funding for this state workload activity. The following box gives a typical flow for processing reports and contributions.

It would be ideal to validate the count of wage items by building a reconstruction file as is done for the five Tax Populations. This is impractical for two reasons: (1) size of the extract file--California's file would contain over 18 million records--and (2) inability to conduct Data Element Validation (employers, not the agency, have the original wage information). Instead, validators recount small samples of wage records before they're processed, recount them, and compare this count with the count after those same records have been processed into wage items. In this process, DV makes an inference about the accuracy of the 581 count from those sample recounts.

In this recount, validators make sure that (a) every wage record was included as a wage item, and (b) that wage items did not include any:

- *Corrections* (the system must be able to process corrections without double counting the item); or
- *Incomplete wage records* (for example, if the identifier or wage amount is missing or 0 for the employee); or
- *Duplicate records*.

This approach allows states to validate wage items at any time as long as the original wage records can be retrieved. The validation approach involves selecting samples of wage records for a particular quarter that contains all modes through which employers have been submitting wage records to the state. The validator then manually determines how many of them should have been processed as wage items, and compares the count with the wage items the state obtained when it processed the same wage records. The relationship between the original count and the validated count is used to infer the accuracy of the state's 581 wage item count for that quarter.

In general, states process Wage Records into Wage Items and count them for reporting on the 581 as follows:

- State or Bank Lockbox receives quarterly Contribution and Wage Reports, and aggregates reports into batches based on how they will be processed. The first stage in the process for all reports is to separate and deposit money from the report, and then process the wage records.
  - Money → Deposit
  - Contribution Reports → Processing
- Wage records are processed and counted as follows:
  - Processing
    - *Received in Electronically Readable form* (disk, tape, EFT, Internet, etc.),
      - Send directly through front-end computer edits
        - Pass edits: add to Wage Record Database (WRD) as Wage Items
        - Fail edits: return to employer for correction
          - (see Corrected Records, below)
    - *Received as Paper reports and other media needing data entry*
      - Scan and OCR data
        - Pass edits: Add to WRD
        - Fail edits: data enter manually or reject
      - Send for data entry
        - Send data-entered records through front-end computer edits
          - Pass edits: add to WRD as Wage Items
          - Fail edits: return to employer for correction
            - (see Corrected Records, below)
    - *Corrected Records*
      - Send through front-end computer edits
        - Pass edits: add to WRD as Wage Items
          - Fail edits: reject
  - Options for obtaining 581 Reported Count
    - Take running count as items are processed
    - Sum wage items by batch
      - Aggregate batches to get to 581 count
    - Obtain 581 count as a snapshot of the MIS system for the quarter

## B. Methodology

**Task 1: Determine the modes the state uses to receive wage records, how each mode is processed, and how the 581 count is obtained.**

- *Modes.* Identify the specific modes your state uses to receive or “capture” wage records.
- *Processing.* It is essential to understand the process your state uses to enter the records of each mode into your system as wage items and corrections. It may be helpful to build a simple flowchart, along the lines of the model above, of how wage records are received, processed into wage items and counted for the 581.

- *How does your state process wage records?*
  - If wage records are received on paper, how are they data-entered?
  - For records that are batch-processed, are the totals for wage items indicated for each batch, so that a recount of the batch can be compared with the original count of wage items?
  - Are items received subjected to front-end edits to look for probable SSN errors (less than 9 digits, impossible sequences), missing wages, missing names, etc.?
  - How are corrections handled and recorded so that you as a validator can note corrections?
- *Counting.* How is the 581 count taken?
  - Built up as a sum of counts of items from each batch?
  - As a snapshot of the wage file at the end of the report quarter?
  - Other?

### **Task 2. Set up the Worksheet in the Tax Validation Software**

Establish a row on the Wage Item Validation Worksheet in the UI Tax Data Validation software for each mode in which your state receives wage items. See Figure 5.1 below and DV Operations Guide.

### **Task 3: Select Samples**

States typically group or “batch” wage and contribution reports, by mode received, to process them and organize their accounting records. The definition of a “batch” may vary depending on the size of reports and how they are received. For example, you may batch paper wage reports in groups of 50 or 100 documents with a batch number identifier and summary transaction totals. Or, you may process a large wage file from a tape or an FTP transmission, each of which could be a single batch of thousands of records.

It has been determined that a sample of 150 records from each mode, investigated in two stages, will allow a sufficiently precise inference to be made about the accuracy of processing wage records into wage items. Stage 1 is a random set of 50 of the 150 records, and if necessary, Stage 2 is the remaining 100 records. On the basis of your study and flowcharting of wage record processing, select a point at which you can identify at least 150 wage records obtained by each mode of receipt.

- *For Each Mode:*
  - Pick a Batch of Wage Reports containing at least 150 wage records.
  - Randomly select 150 records of these records
  - Divide the 150 records into a Stage 1 set of 50 records and Stage 2 set of the remaining 100 records in such a way that the division between Stage 1 and Stage 2 is also random.
  - In a spreadsheet program such as Excel or a database, set up a means to track results of your investigations of the wage records.

### **Task 4: Review Sampled Records for Each Mode and Compare Count with Wage Items**

#### **Task 4a: Review and Compare Count for First 50 Records in each Mode**



The validator must count only wage items that are complete. This means each countable entry must include each of the following elements:

- Employee Identifier (Name or SSN)
- Employer Identifier (Name or EAN)
- Wage dollar amount

Ensure that only complete records are counted, including corrected records. Enter the recount for each mode on your tracking worksheet.

#### **Task 4b: Obtain the System Wage Item Count**

How this is done will depend on how your state counts wage items.

- *Batch cumulating of Wage Items.* If your state obtains its 581 count by cumulating batch counts, and you have the original records with an indication of whether they were included as wage items or not, you can compare your results with those originals.
  - It may be easier to retrieve your wage history files to see which of the records in your set were counted.
- *Snapshot counting of Wage Items.* Ask the programmer to extract and count all wage items from your system for the validated quarter that have the combination of EAN and SSN included in your mode samples.

Enter this count as the “581 count for batch” on your worksheet.

#### **Task 4c: Identify and Count Erroneous Records**

If there are any discrepancies between your sample recounts and the 581 counts from the system, search for duplicates—including corrections counted as records—and incomplete records among the extracted records.

#### **Task 4d: Determine Whether Stage 2 Investigation is needed**

Proceed as follows at this point:

- If difference between your recount and 581 count is
  - = 0, the mode passes at Stage 1. The mode is done.
  - $\geq 4$ , the mode fails at stage 1. The mode is done.
  - = 1, 2, or 3, review remaining 100 cases for the mode, following Steps 4a-4c.
  
- Even though the mode fails at stage 1, you may also want to review the remaining 100 cases to estimate the error rate in wage item processing for the mode.

**Task 4e: Combine Results for Stages 1 and 2 if second stage was investigated.**

**Task 5: Enter Combined Results in Wage Item Validation Worksheet**

From your tracking worksheet, enter the total number of valid wage items in the “Recount for Batch” column on the *Wage Item Validation Worksheet* on the DV software. If any duplicates or other errors have been identified, enter the count by type in the appropriate columns on the worksheet.

**Task 6: UI Tax Validation Software**

The UI Tax Data Validation software calculates the difference between the recount and reported counts for the validated sample of wage items. Wage Item Validation passes if, based on the sample results, each mode is likely to contain no more than 2% errors. Pass and fail for a mode is determined as follows:

- **Pass:**
  - The Stage 1 sample of 50 wage records contains no errors.
  - The full sample of 150 wage records contains no more than 6 errors.
- **Fail:**
  - The Stage 1 sample of 50 wage records 4 or more errors.
  - The full sample of 150 wage records contains 7 or more errors.

To pass Wage Item Validation, every mode must pass. If it passes, WIV does not need to be repeated for three years; if at least one mode fails, WIV must be repeated the following year.

- Note: Some modes may contain fewer than 150 records. In that case use the following table to determine pass and fail:

Sample	Max Failures To Pass
< 20	0
20 - 29	1
30 – 59	2
60 – 89	3
90 – 119	4
120 – 140	5
141 – 149	6

**Task 7: Submitting and Saving Wage Item Validation Results**

Submit Wage Item Validation results by clicking the “Transmit” button at the bottom of the Worksheet (Figure 5.1). Results for a validation year must be submitted by June 10. Because

the software only retains these results until the next validation or a reload of the software, it is recommended that the results be saved by taking a screen print or doing Save As.

**Task 8: Following Up on Wage Item Validation Errors**

If the wage item validation identifies errors, the validator should discuss the errors with the programmer or individual responsible for wage item processing, and the state should determine whether the error affects other batches of wage items as well.

**Example of a Wage Item Validation Worksheet**

Figure 5.1 shows an example of a Wage Item Validation Worksheet. The first column lists the state's modes for receiving wage records. The second column shows the dates of the batches from which samples of 150 wage records were drawn. The number of Cases Reviewed out of the 150 drawn depends on the results at Stage 1. The column labeled "581 Count" indicates how many of the reviewed wage records were counted as wage items and included in the ETA 581 count during the quarter. The validator's recount of those same wage records is entered in the column labeled "Recount for Batch." Pass and fail are based on the difference between the two counts and depend on the allowable errors explained in 4d above. In this example, the Fax mode passes with one error after all 150 cases were reviewed because the discrepancy was discovered at Stage 1. Internet, Magnetic Tape, and Diskette all pass with 0 differences in the 50 cases reviewed at Stage 1, but Paper failed with 5 errors out of 50 cases reviewed at Stage 1, and Scans failed with 7 errors out of 150 cases reviewed. The analysis of errors provides guidance for the corrective action process.

**Figure 5.1**

**Wage Item Validation Worksheet**

<b>WAGE ITEM VALIDATION</b>										
<b>Validation Worksheet</b>										
Mode	Date Received	Cases Reviewed	581 Count	Recount	Difference	Pass/Fail	Analysis of Errors			Delete Mode?
							ID missing	Amt Missing	Duplicate	
Fax	12/31/2008	150	148	147	1	Pass	1			
Internet	11/29/2008	50	50	50	0	Pass				Delete
Magnetic Tape	11/29/2008	50	49	49	0	Pass				Delete
Diskette	11/29/2008	50	48	48	0	Pass				Delete
paper	11/29/2008	50	49	44	5	Fail	2	3		Delete
Scans	12/8/2008	150	149	142	7	Fail	2	2	3	Delete
<b>Overall Validation Score: Fail</b>										

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**APPENDIX A**  
*Tax*

SUBPOPULATION SPECIFICATIONS

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## APPENDIX A

### A. Introduction

As described in Module 1 of the handbook, the first step in the data validation process is to create report validation (RV) files, also referred to as extract or reconstruction files. These files list records of all transactions and account statuses that should be reported on the ETA 581 report. Each record is assigned to a single population and to only one subpopulation within the population.

Appendix A specifies how the populations are divided into subpopulations. Each row of a population table is the specification for a single, mutually exclusive subpopulation. Following each table is a written descriptions of each subpopulation which will help readers orient themselves to the information in the table.

Each column header includes a step number that refers to Module 3, the state-specific portion of the handbook. Validators and programmers should refer to the indicated step number for the definition of the data element and detailed instructions on how to validate it. Each population table includes a column or row entitled “Reported in ETA 581 Item #s;” it indicates the item number (ETA 581 report cell) that the count or dollar amount in the column or row is used to validate on the RV summary report.

States should reconstruct each population as specified for a recent ETA 581 report quarter (RQ). In addition, states that administer unemployment insurance together with other taxes should capture tax type, to distinguish between the taxes being validated on the ETA 581 and others which are not countable on the report.<sup>6</sup>

### B. Report Quarter Terminology

The specifications in this appendix use a shorthand terminology to refer to report quarters. Figure A.1 is a time line illustrating how terms and symbols are used.

- The **Report Quarter (RQ)** is the time period shown on the ETA 581 in the block labeled “A. Report for quarter ended.” This means that the ETA 581 report is showing transactions that occurred during this quarter or the status of accounts at the end of this quarter. For example, the ETA 581 report includes items such as the number of active employers at the end of the RQ and the number of timely employer reports received during the RQ. The RQ ends at point A in Figure A.1. (Point A is also the time when the

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<sup>6</sup> Some states may have other unique types of data elements that should be captured in the reconstruction file to facilitate validation. For example, some states may have an indicator for seasonal employers, which would be helpful in validating subpopulations 2.7 and 2.15 in population 2. This could be used as a secondary code for Employer Type; and the software will identify all employers with the seasonal code for further examination when the state runs Sort 2.4.

state runs programs to download data for both the ETA 581 counts and the data validation reconstruction files.) The ETA report that relates to the RQ is due at the hash mark labeled “ETA 581 Due” in Figure A.1.

- Contribution and wage reports received from employers during the RQ reflect employer activity--payment of wages--that occurred during the quarter before the RQ, designated as **RQ-1**. (Because this prior quarter is the subject of employer reports received during the RQ, RQ-1 is often referred to as the **Employer Report Quarter, or ERQ**).
- When specifications need to refer to quarters before or after the RQ, they extend the basic convention of numbering relative to the RQ. The quarter prior to RQ-1 is RQ-2, the quarter prior to that is RQ-3, and so on. Similarly, the specifications refer to the quarter after the RQ using the term **RQ+1**. This term is used most often for population 2, report filing, where states have through RQ+1 to resolve reports due in the RQ.



<b>Figure A.1 Quarterly Timeline</b>											
<b>2010</b>											
<b>1</b>			<b>2</b>			<b>3</b>			<b>4</b>		
<b>Jan</b>	<b>Feb</b>	<b>Mar</b>	<b>Apr</b>	<b>May</b>	<b>June</b>	<b>July</b>	<b>Aug</b>	<b>Sept</b>	<b>Oct</b>	<b>Nov</b>	<b>Dec</b>
<b>RQ-1 (ERQ)</b> <ul style="list-style-type: none"> <li>contribution reports covering employer activity in this quarter can be resolved by RQ+1</li> </ul>			<b>RQ: Report Quarter</b> States: <ul style="list-style-type: none"> <li>register employers</li> <li>determine their liability status</li> <li>receive contribution reports on employer activity in RQ-</li> <li>pursue delinquent reports</li> <li>establish, liquidate, and write off receivables</li> <li>complete field audits</li> </ul>			<b>RQ+1</b> States: <ul style="list-style-type: none"> <li>receive contribution reports on employer activity in RQ</li> <li>resolve contribution reports due in RQ on employer activities in RQ-1</li> </ul>					
<b>Employer Reports Due (for RQ-2)</b>			<b>Employer Reports Due (for RQ-1)</b>			<b>ETA 581 Due (for RQ)</b>			<b>ETA 581 Due (for RQ+1)</b>		
			<b>A</b>			<b>B</b>					
<b>A</b> <b>IS Staff: Produce Report Counts Prepare Validation Extract Files (except for Population 2) Prepare Screen Prints</b>											
<b>B</b> <b>IS Staff: Produce extract file for Population 2, as soon as all reports received during RQ+1 are posted</b>											

The file specifications use the following abbreviations and terminology:

- RQ**      ETA 581 report quarter
- ERQ**     Employer Report Quarter (quarter covered by employer’s contribution report)
- FDRQ**    First day of the report quarter
- LDRQ**    Last day of the report quarter
- (RQ+1)**   Quarter after the report quarter
- (RQ-1)**   Quarter before the report quarter
- (RQ+n)**    $n^{\text{th}}$  quarter after the report quarter
- (RQ-n)**    $n^{\text{th}}$  quarter prior to the report quarter
- DD**      Due date for employer contribution reports
- A**        Active
- C**        Contributory Employer
- R**        Reimbursing Employer
- OBS**     Observation number
- >**        After the date or quarter specified, e.g., “> RQ” means “after the report quarter.”
- <**        Before the date or quarter specified, e.g., “< RQ” means “before the report quarter.”
- ≥**        During or after the date or quarter specified, e.g. “≥ RQ” means “during or after the report quarter.”
- ≤**        Before or during the date or quarter specified, e.g. “≤ RQ” means “before or during the report quarter.”

### C. Validation Timelines

Each population on the ETA 581, and therefore each population file for validation, represents a particular timeline of UI tax operations activity. Populations 1, 3, and 5 are fairly straightforward — these populations are primarily focused on activities during or statuses at the end of the RQ. Populations 2 and 4 are more complex and require the validator to look back as far as eight quarters prior to the RQ, and forward as far as two quarters after the RQ. In Figure A.2 below, the RQ being validated is the second quarter of 2010, which means RQ-8 is the second quarter of 2008 and RQ+2 is the fourth quarter of 2010. Once the state has selected the quarters to be validated for populations 2 and 4, the validator should prepare a full timeline based on Figure A.2, identifying the eight quarters prior and two quarters after the selected RQ.

**Figure A.2**

#### Sample Timeline for Report Quarter 201002 (Second Quarter of 2010)

2008 Q2	2008 Q3	2008 Q4	2009 Q1	2009 Q2	2009 Q3	2009 Q4	2010 Q1	2010 Q2	2010 Q3	2010 Q4
RQ-8	RQ-7	RQ-6	RQ-5	RQ-4	RQ-3	RQ-2	RQ-1 (ERQ)	RQ	RQ+1	RQ+2

### Overview of Populations

The ETA 581 for the second report quarter of 2010, which is due in August of 2010, contains the following information and is validated as follows:

#### Population 1

- The ETA 581 includes active employer information as of June 30, 2010.
- This report information is validated by building a Population 1 extract file for the second quarter of 2010. Population 1 should include a record for each employer who was active on the last day of the RQ.
- The DVWS filters pending employers out of the active employers count, in accordance with the Department of Labor's Change 12 to the ET 401 handbook. Specifically, the software will not include employers with a met-threshold date after 12/31/2002 in the count if their activation or reactivation processing date precedes the met-threshold date.
- Figure A.1, Point A, shows when the Population 1 validation file should be constructed.

**Population 2**

- The ETA 581 includes employer reports received on time and secured during the second quarter of 2010 that relate to employer activity during the first quarter of 2010, and resolved reports that were due during the first quarter of 2010 and relate to employer activity in the fourth quarter of 2009.
  - Population 2 should include all employers owing contributions or required reports for the same ERQ, due during the RQ, which were received on time or secured during the RQ or reported as resolved during RQ+1.
  - Timely, secured, and resolved counts for the same ERQ (e.g., 201001) are validated at the same time by building a Population 2 file that is extracted at the end of the third quarter of 2010. This Population 2 extract file validates timely and secured counts that are reported on the ETA 581 report for the second report quarter of 2010 and resolved counts that are reported on the ETA 581 report for the third quarter of 2010.
  - Note that timely, secured, and resolved are defined as discrete filing statuses for validation purposes, whereas on the ETA 581, secured includes timely and resolved includes both timely and secured.

The received date of the contributions report is used to assign records to subpopulations 2.1, 2.2, 2.3, 2.9, 2.10, and 2.11. Because the received date of a given contributions report does not change once it is entered into the state system, the validation records for timely and secured reports do not need to be extracted at the end of the RQ. Instead, the entire population extract can be run as soon as resolved report records for RQ+1 are available. The validation counts in subpopulations 2.1, 2.2, 2.9, and 2.10 are compared with ETA 581 counts for the RQ; all subpopulation validation counts are compared with reported counts for RQ+1 (see 581 Item # references in the population tables on pages A.16 and A.17).

- In preparing the Population 2 extract file, states will need to account for annual filers. According to DOL, annual filers must be counted as timely for the quarters in which their reports are not due, and as timely, secured or resolved, as appropriate for the quarters in which their reports are due. States will need to enter a default employer report quarter and default received date for annual employers for the quarterly reports that are not due, and either a received date, final assessment date, or appropriate resolved date for annual employers for the quarterly reports that are due. This should ensure that the quarterly reports that are not due are counted as timely, and that the quarterly reports that are due are counted appropriately as timely, secured or resolved.
- Figure A.1, Point B, shows when the Population 2 validation file should be constructed.

**Population 3**

- The ETA 581 includes status determination activities that occurred during the second quarter of 2010.
  - This report information is validated by building a Population 3 extract file for the second quarter of 2010. Population 3 includes a record for each status determination the state made during the RQ; multiple determinations for the same employer are countable and should be included in the file as separate records.
  - States that overwrite status determinations on their master tax file may use the TPS universe for reconstruction. Programmers and validators should note that time-lapse categories are discrete subpopulations, whereas the ETA 581 reports time lapse cumulatively.
  - The pending employer filter also applies to subpopulations 3.1 to 3.3, which are for new status determinations.
  - Figure A.1, Point A, shows when the Population 3 validation file should be constructed.

**Population 4**

- The ETA 581 includes receivables activity that occurred during the second quarter of 2010 related to wage reports and contributions that are past due from the ERQ of the first quarter of 2010 and previous quarters. This includes receivables established, liquidated, declared uncollectible and removed during the second quarter of 2010.
  - This report information is validated by building a Population 4 extract file for the second quarter of 2010. Population 4 includes all accounting transactions made during the RQ that establish or modify a receivable on an employer account, as well as balances due at the end of the quarter.
  - Receivables records need both the ERQ and the established date to be properly assigned to Subpopulations 4.4, 4.5, 4.6 and 4.8 (contributory employers), and both the due date and the established date to be properly assigned to Subpopulations 4.12, 4.13, 4.14 and 4.16 (reimbursing employers).
  - Occasionally, receivable balances due to be removed in the RQ are declared Uncollectible in the RQ. These should be reported as uncollectible on the ETA 581 and classified as uncollectible (code U) when the extract file is built. When the validation software encounters Uncollectible records that could be removed on the basis of their established dates and ERQs, it parses them as uncollectible records.

- For Population 4, Subpopulations 4.7, 4.8, 4.15 and 4.16, programmers should generate separate balance records for a single employer, for each ERQ where there is a balance at the end of the RQ.
- Figure A.1, Point A, shows when the Population 4 validation file should be constructed.

### **Population 5**

- The ETA 581 includes audit activity (for example, audit completions) reported during the second quarter of 2010.
  - This report information is validated by building a Population 5 extract file for the second quarter of 2010 that includes all field audits completed during the RQ.
  - Data elements specified on the record layout may not be captured on the state's system when they are not reported on the 581. They are however included in the auditor's paper files during the validation for the cases sampled for FIV. When states cannot capture such information automatically, the column can be completed from the auditor's paper files during the validation for the selected cases.
  - Some states do not consider an audit to be a change audit until Post-versus-Pre amounts exceed some dollar threshold or tolerance, e.g., \$1 or \$10. The DV software considers an audit to be a change audit if any Pre-Post difference is \$0.01 or more. If this difference in approach causes the state to fail validation, the state should note and document this fact in the Comments field on the RV screen, and apprise the National Office so that it can manually change the validation to Pass.
  - Figure A.1, Point A, shows when the Population 5 validation file should be constructed.

## **D. Population Table Specifications**

### **Explanation of UI TAX data formats**

Appendix A and Appendix B of the ETA Operations Guide 411 refer to 6 types of data formats.

1. **Required.** These fields cannot be blank. They may be mandatory codes, dates or dollar values. Required cells in Appendix A tables indicate the required code, date, or dollar value parameters, or display the word "Required." (Appendix F indicates constraint is NOT NULL.)

Required text fields have code values that must be entered, such as A, C, R, etc. All of the allowable generic values for each field are listed in the Data Type/Format column on the record layout. The generic values must be followed by a dash and the corresponding state-specific value.

2. **Conditionally required.** Data are included in these fields if the data are present in the state's system. Applies to date and wages fields.
3. **Optional.** These fields are gray in Appendix A and the word "Optional" is displayed. The software does not look at these fields at all. Any values can be entered or they can be left blank.
4. **Must be blank.** These are text or date fields where the presence of data indicates an error. Therefore, they must be left blank (such as population 4 transaction date for balance subpopulations 4.7, 4.8, 4.15, and 4.16).
5. **Must be blank or 0.** These are numeric fields where the presence of data other than 0 indicates an error. In tax these are primarily wages fields in populations 4 and 5.
6. **System generated.** These fields are generated by the DV software and data should not be placed in these fields in the extract files. These fields are primarily time lapse and age fields.

Some values are abbreviated in the record layouts (Appendix F) but are shown in the report validation specifications (Appendix A) in their entirety for informational purposes. ***Follow the record layout when building the extract file.***

Notes:

For most steps referenced in Appendix A column headers, Rule 1 is the indicator in the state system. However, if a state does not maintain the indicator specified in Rule 1, then the state programmer must apply the logic of the other rules in that step in order to develop the indicator for the extract file .

The extract file type is ASCII, comma delimited. Data must be in the order listed in the record layouts.

**Population Tables**

**Table A.1  
Population 1 Subpopulations  
Active Employers**

		<b>2</b> <i>(Step 1A)</i>	<b>3</b> <i>(Step 3A)</i>	<b>4</b> <i>(Step 2A)</i> <i>(Step 2B)</i>	<b>5</b> <i>(Step 14)</i>	<b>6</b> <i>(Step 16)</i>	<b>7</b> <i>(Step 5)</i>	<b>8</b> <i>(Step 15)</i>	<b>9</b> <i>(Step 7B)</i>	<b>10</b> <i>(Step 7A)</i>
Subpopulation	Reported in ETA 581 Item #'s	EAN	Employer Status Indicator	Employer Type	Liability Date (Met Threshold)	Reactivation Processing Date	Inactive/Terminated "as of" Date	Activation Processing Date	Number of Liable Quarters	Sum of Wages (Last 8 Q's)
1.1	1	Required	A	C	$\leq$ RQ and ( $\leq$ activation date or $\leq$ reactivation processing date, if present) <sup>1</sup>	( $\geq$ liability date met threshold) <sup>1</sup> and $\leq$ RQ and $>$ activation processing date, or blank	$>$ RQ, or $<$ liability date met threshold, or blank	$\leq$ RQ	If = 0, then activation processing date, or reactivation processing date, if present, must be in RQ	(If Col. 9 = 8) $>$ \$0
1.2	2	Required	A	R	$\leq$ RQ and ( $\leq$ activation date or $\leq$ reactivation processing date, if present) <sup>1</sup>	( $\geq$ liability date met threshold) <sup>1</sup> and $\leq$ RQ and $>$ activation processing date, or blank	$>$ RQ, or $<$ liability date met threshold, or blank	$\leq$ RQ	If = 0, then activation processing date, or reactivation processing date, if present, must be in RQ	(If Col. 9 = 8) $>$ \$0

**Notes**

- 1) Column 9 reports the consecutive number of liable quarters ending with RQ-1. If the number is greater than 8, simply list 8. An account newly activated or reactivated in the quarter will have 0 liable quarters.
- 2) Column 10 sums the reported wages for the 8 quarters ending with RQ-1. The record layout for the software specifies that the states provide data for all 8 quarters if available. The software detects non-zero values for wages across quarters.

<sup>1</sup> Condition applicable for liability (met threshold) dates after 12/31/2002.



Subpopulation descriptions:

- 1.1 Active contributory employers liable by the end of the report quarter.
- 1.2 Active reimbursable employers liable by the end of the report quarter.

<p align="center"><b>Table A.2</b>  <b>Population 2 Subpopulations</b>  <b>Report Filing</b></p>											
		<b>2</b> <i>(Step 1B)</i>	<b>3</b> <i>(Step 1B)</i>	<b>4</b> <i>(Step 2A)</i> <i>(Step 2B)</i>	<b>5</b> <i>(Step 9)</i>	<b>6</b> <i>(Step 10)</i>	<b>7</b> <i>(Step 4A)</i> <i>(Step 4B)</i>	<b>8</b> <i>(Step 14)</i>	<b>9</b> <i>(Step 5)</i>	<b>10</b> <i>(Step 5)</i>	<b>11</b> <i>(Step 6A)</i> <i>(Step 6B)</i> <i>(Step 6C)</i>
Subpopulation	Reported in ETA 581 Item #'s	EAN	Employer Report Quarter (ERQ)	Employer Type	Received Date	Final Assessment Date	Liability Date (Initial or Reopen)	Liability Date (Met Threshold)	Inactive/ Terminated "as of" Date	Suspended "as of" Quarter	Inactivation/ Termination Processing Date
2.1	6, 7, (8 in RQ + 1)	Required	RQ - 1	C	≤ DD	Required if Date Exists	Required if Date Exists	Required if Date Exists	Required if Date Exists	Must be blank	Required if Date Exists
2.2	7, (8 in RQ + 1)	Required	RQ - 1	C	> DD but within RQ	Required if Date Exists	Required if Date Exists	Required if Date Exists	Required if Date Exists	Must be blank	Required if Date Exists
2.3	8 in RQ + 1	Required	RQ - 1	C	RQ + 1	Required if Date Exists	Required if Date Exists	Required if Date Exists	Required if Date Exists	Must be blank	Required if Date Exists
2.4	8 in RQ + 1	Required	RQ - 1	C	Required if Date Exists	RQ or RQ + 1	Required if Date Exists	Required if Date Exists	Required if Date Exists	Must be blank	Required if Date Exists
2.5	8 in RQ + 1	Required	RQ - 1	C	Must be blank	Required if Date Exists	Required if Date Exists	Required if Date Exists	< RQ - 1	Must be blank	RQ or RQ + 1
2.6	8 in RQ + 1	Required	RQ - 1	C	Must be blank	Required if Date Exists	Required if Date Exists	≥ RQ	> RQ and > liability date (met threshold), or blank	Must be blank	Required if Date Exists
2.7	8 in RQ + 1	Required	RQ - 1	C	Must be blank	Required if Date Exists	Required if Date Exists	Required if Date Exists	Required if Date Exists	RQ - 1	Required if Date Exists
2.8	8 in RQ + 1	Required	RQ - 1	C	Must be blank	Required if Date Exists	= Col. 9 date	Required if Date Exists	= Col. 7 date	Must be blank	RQ or RQ + 1

<p align="center"><b>Table A.2</b> <b>Population 2 Subpopulations</b> <b>Report Filing</b></p>											
		<b>2</b> <i>(Step 1B)</i>	<b>3</b> <i>(Step 1B)</i>	<b>4</b> <i>(Step 2A)</i> <i>(Step 2B)</i>	<b>5</b> <i>(Step 9)</i>	<b>6</b> <i>(Step 10)</i>	<b>7</b> <i>(Step 4A)</i> <i>(Step 4B)</i>	<b>8</b> <i>(Step 14)</i>	<b>9</b> <i>(Step 5)</i>	<b>10</b> <i>(Step 5)</i>	<b>11</b> <i>(Step 6A)</i> <i>(Step 6B)</i> <i>(Step 6C)</i>
Subpopulation	Reported in ETA 581 Item #'s	EAN	Employer Report Quarter (ERQ)	Employer Type	Received Date	Final Assessment Date	Liability Date (Initial or Reopen)	Liability Date (Met Threshold)	Inactive/ Terminated "as of" Date	Suspended "as of" Quarter	Inactivation/ Termination Processing Date
2.9	9, 10, (11 in RQ + 1)	Required	RQ - 1	R	≤ DD	Required if Date Exists	Required if Date Exists	Required if Date Exists	Required if Date Exists	Must be blank	Required if Date Exists
2.10	10, (11 in RQ + 1)	Required	RQ - 1	R	> DD but within RQ	Required if Date Exists	Required if Date Exists	Required if Date Exists	Required if Date Exists	Must be blank	Required if Date Exists
2.11	11 in RQ + 1	Required	RQ - 1	R	RQ + 1	Required if Date Exists	Required if Date Exists	Required if Date Exists	Required if Date Exists	Must be blank	Required if Date Exists
2.12	11 in RQ + 1	Required	RQ - 1	R	Required if Date Exists	RQ or RQ + 1	Required if Date Exists	Required if Date Exists	Required if Date Exists	Must be blank	Required if Date Exists
2.13	11 in RQ + 1	Required	RQ - 1	R	Must be blank	Required if Date Exists	Required if Date Exists	Required if Date Exists	< RQ-1	Must be blank	RQ or RQ + 1
2.14	11 in RQ + 1	Required	RQ - 1	R	Must be blank	Required if Date Exists	Required if Date Exists	≥ RQ	> RQ and > liability date (met threshold), or blank	Must be blank	Required if Date Exists
2.15	11 in RQ + 1	Required	RQ - 1	R	Must be blank	Required if Date Exists	Required if Date Exists	Required if Date Exists	Required if Date Exists	RQ - 1	Required if Date Exists
2.16	11 in RQ + 1	Required	RQ - 1	R	Must be blank	Required if Date Exists	= Col. 9 date	Required if Date Exists	= Col. 7 date	Must be blank	RQ or RQ + 1

**Notes:**

1) A few states resolve reports for seasonal employers by suspending the report filing requirement in off seasons (subpopulations 2.7 and 2.15). Most states will not have values for "suspended as of quarter."

- 2) States should identify all contributory and reimbursing employers who, on the last day of the quarter prior to the ETA 581 report quarter, are required to file a report covering that quarter in the ETA 581 report quarter. That data file can then be used in the validation reconstruction, even though not every report owed will be resolved. (If this approach is workable for states, it can also be done every quarter to program the ETA 581.)
- 3) Some states may use a delinquency flag instead of the preferred received date; this creates audit trail issues to be reviewed on a state-specific basis.
- 4) If an employer has more than one resolved date under columns 5, 6, 9, or 10, the software assigns the record to the first subpopulation for which it meets the criteria.

Subpopulation descriptions:

The software assigns a record to the first subpopulation for which it meets the subpopulation criteria. Each record is compared to the requirements for subpopulation 1 and the software determines whether the record meets those criteria. If it does, the record is assigned to subpopulation 1. If it does not, the software then compares the record to the requirements for subpopulation 2 and determines whether the record meets those criteria. This process continues as necessary comparing each record to the requirements for each successive subpopulation.

- 2.1 Contributory employers owing contributions reports for activities in RQ - 1, who filed contribution reports by the due date (timely).
- 2.2 Contributory employers owing contributions reports for activities in RQ - 1, who filed untimely contribution reports by the end of RQ (secured, but not timely).
- 2.3 Contributory employers owing contributions reports for activities in RQ - 1, who filed contribution reports during RQ + 1 (resolved, neither secured nor timely).
- 2.4 Contributory employers owing contributions reports for activities in RQ - 1, who received a legally due and collectible enforcement (final assessment) by the end of RQ + 1 (resolved, neither secured nor timely).
- 2.5 Contributory employers owing contributions reports for activities in RQ - 1, who were made inactive during RQ or during RQ + 1 (resolved, neither secured nor timely), and whose inactivation was effective prior to the ERQ.
- 2.6 Contributory employers owing contributions reports for activities in the RQ - 1, whose liability date (met threshold) was changed from prior to the RQ, to during or after RQ (resolved, neither secured nor timely).

2.7 Contributory employers owing contributions reports for activities in RQ - 1, who were suspended from filing contribution reports due in RQ by virtue of being seasonal employers, an administrative decision not to pursue report filing, or for other reasons (resolved, neither secured nor timely).

2.8 Contributory employers owing contributions reports for activities in RQ - 1, whose accounts were withdrawn by making the liability date and the inactive/terminated “as of” date equal (resolved, neither secured nor timely). This includes canceled, withdrawn, closed, dropped, etc., accounts.

2.9 Reimbursable employers owing required reports for activities in RQ - 1, who filed required reports by the due date (timely).

2.10 Reimbursable employers owing required reports for activities in RQ - 1, who filed untimely required reports by the end of the RQ (secured, but not timely).

2.11 Reimbursable employers owing required reports for activities in RQ - 1, who filed required reports during RQ + 1 (resolved, neither secured nor timely).

2.12 Reimbursable employers owing required reports for activities in RQ - 1, who received a legally due and collectible enforcement (final assessment) by the end of RQ + 1 (resolved, neither secured nor timely).

2.13 Reimbursable employers owing required reports for activities in RQ - 1, who were made inactive during the RQ or during RQ + 1 (resolved, neither secured nor timely), and whose inactivation was effective prior to the ERQ.

2.14 Reimbursable employers owing required reports for activities in RQ - 1, whose liability date (met threshold) was changed from prior to the RQ to during or after the RQ (resolved, neither secured nor timely).

2.15 Reimbursable employers owing required reports for activities in RQ - 1, who were suspended from filing required reports due in the RQ by virtue of being seasonal employers, an administrative decision not to pursue report filing, or for other reasons (resolved, neither secured nor timely).

2.16 Reimbursable employers owing required reports for activities in RQ - 1, whose accounts were withdrawn by making the liability date and the inactive/terminated “as of” date equal (resolved, neither secured nor timely). This includes canceled, withdrawn, closed, dropped, etc., accounts.

**Table A.3  
Population 3 Subpopulations  
Status Determinations**

		2 (Step 1C)	3 (Step 2A) (Step 2B)	4 (Step 11A) (Step 11B) (Step 11C) (Step 11D)	5 (Step 12)	6 (Step 13)	7 (Step 14)	8 (Step 14)	9 (Step 15)	10 (Step 16)	11 (Step 17)	12 (Step 18)	13 (Step 6A) or (Step 6B)	14 (Step 6A) or (Step 6C)
Sub-population	Reported in ETA 581 Item #'s	EAN	Employer Type	Status Determin. Type Indicator	Time Lapse	Status Determin. Date	Liability Date (Met Threshold)	End of Liable Quarter	Activation Processing Date	Reactivation Processing Date	Successorship Processing Date	Predecessor Account Number	Inactivation Processing Date	Termination Processing Date
3.1	14, 15, 16	Required	C or R	New*	≤ 90 days	RQ	≤ activation processing date or ≤ reactivation processing date if present	Required if Date Exists	RQ or < Col. 10 date	RQ or blank	Optional	Optional	Optional	Optional
3.2	14, 16	Required	C or R	New*	≥ 91 but ≤ 180 days	RQ	≤ activation processing date or ≤ reactivation processing date if present	Required if Date Exists	RQ or < Col. 10 date	RQ or blank	Optional	Optional	Optional	Optional
3.3	14	Required	C or R	New*	≥ 181 days	RQ	≤ activation processing date or ≤ reactivation processing date if present	Required if Date Exists	RQ or < Col. 10 date	RQ or blank	Optional	Optional	Optional	Optional
3.4	17, 18, 19	Required	C or R	Successor*	≤ 90 days	RQ	≤ successorship date	Required if Date Exists	≤ successorship date	≤ successorship date, or blank	RQ	Required	Optional	Optional
3.5	17, 19	Required	C or R	Successor*	≥ 91 but ≤ 180 days	RQ	≤ successorship date	Required if Date Exists	≤ successorship date	≤ successorship date, or blank	RQ	Required	Optional	Optional
3.6	17	Required	C or R	Successor*	≥ 181 days	RQ	≤ successorship date	Required if Date Exists	≤ successorship date	≤ successorship date, or blank	RQ	Required	Optional	Optional
3.7	20	Required	C or R	Inactivations*	Optional	RQ	Required	Required if Date Exists	Optional	Optional	Optional	Optional	RQ <sup>a</sup>	Optional
3.8	20	Required	C or R	Terminations*	Optional	RQ	Required	Required if Date Exists	Optional	Optional	Optional	Optional	Optional	RQ

<sup>a</sup> There is the same issue as under Population #1, where the employer could be inactive based on 8 quarters of no wages (or fewer depending on the state’s threshold), but for some reason the inactivation date/flag was not triggered. We may be able to cross-reference by EAN (by

programming or on the printout) the employers identified as falling in this category from the Population #1 specifications, since they are identical, as long as the same RQ is validated.

\* These values are abbreviated in the record layout.

Notes:

1) States that prefer to validate contributory and reimbursing employer status determinations separately for their own purposes may do so by replicating the eight subpopulations (one set of eight subpopulations for each type of employer). States may prefer to validate the two types of employers separately if they are processed in very different ways. However, such states must still submit a single RV summary to the National Office with the combined results.

Subpopulation Descriptions:

3.1 Status determinations of new and reactivated employers made during the RQ, which were made within 90 days of the end of the quarter in which the employer became liable. (Subpopulations 3.1 - 3.3 include employers changing from contributory to reimbursing status or vice versa.)

3.2 Status determinations of new and reactivated employers made during the RQ, which were made between 91 and 180 days of the end of the quarter in which the employer became liable.

3.3 Status determinations of new and reactivated employers made during the RQ, which were made 181 days or later from the end of the quarter in which the employer became liable.

3.4 Status determinations of successor employers made during the RQ, which were made within 90 days of the end of the quarter in which the employer became liable.

3.5 Status determinations of successor employers made during the RQ, which were made between 91 and 180 days of the end of the quarter in which the employer became liable.

3.6 Status determinations of successor employers made during the RQ, which were made 181 days or later from the end of the quarter in which the employer became liable.

3.7 Inactivations of employers made during the RQ.

3.8 Terminations of employers made during the RQ.

**Table A. 4  
Population 4 Subpopulations  
Accounts Receivable**

	<b>2</b> <i>(Step 1D)</i>	<b>3</b> <i>(Step 2A)</i> <i>(Step 2B)</i>	<b>4</b> <i>(Step 19A)</i>	<b>5</b> <i>(Step 19B)</i>	<b>6</b> <i>(Step 1D)</i>	<b>7</b> <i>(Step 20)</i>	<b>8</b> <i>(Step 21A)</i> <i>(Step 21B)</i> <i>(Step 21C)</i>	<b>9</b> <i>(Step 22)</i>	<b>10</b> <i>(Step 23)</i>	<b>11</b> <i>(Step 24)</i>	<b>12</b> <i>(Step 25)</i>	<b>13</b> <i>(Step 26)</i>	<b>14</b> <i>(Step 27A)</i> <i>(Step 27B)</i>
Sub-population	EAN	Employer Type	Transaction Date	Established Q/Date	Employer Report Quarter (ERQ)	Due Date	Transaction Type/Indicator	Amount Established in RQ	Amount Liquidated	Amount Uncollectible	Amount Removed	Balance at End of RQ	Age of Receivable
4.1	Required	C	RQ	RQ	Required	Optional	E	> 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Optional
4.2	Required	C	RQ	Required	Required	Optional	L	Must be blank or 0	> 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Optional
4.3	Required	C	RQ	Required	> RQ - 8	Optional	U	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Must be blank or 0	Optional
4.4	Required	C	RQ	> RQ - 3	≤ RQ - 8	Optional	U	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Must be blank or 0	Optional
4.5	Required	C	Optional	< RQ - 2	RQ - 8	Optional	R	Must be blank or 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Optional
4.6	Required	C	Optional	RQ - 2	≤ RQ - 8	Optional	R	Must be blank or 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Optional
4.7	Required	C	Must be blank	Required	> RQ - 8	Optional	B	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	> 0	Optional
4.8	Required	C	Must be blank	> RQ - 2	≤ RQ - 8	Optional	B	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	> 0	Optional
Reported in ETA 581 Item #'s								22	23	24	25	26	



**Table A. 4  
Population 4 Subpopulations  
Accounts Receivable**

	<b>1</b> <i>(Step 1D)</i>	<b>2</b> <i>(Step 2A)</i> <i>(Step 2B)</i>	<b>3</b> <i>(Step 19A)</i>	<b>4</b> <i>(Step 19B)</i>	<b>5</b> <i>(Step 1D)</i>	<b>6</b> <i>(Step 20)</i>	<b>7</b> <i>(Step 21A)</i> <i>(Step 21B)</i> <i>(Step 21C)</i>	<b>8</b> <i>(Step 22)</i>	<b>9</b> <i>(Step 23)</i>	<b>10</b> <i>(Step 24)</i>	<b>11</b> <i>(Step 25)</i>	<b>12</b> <i>(Step 26)</i>	<b>13</b> <i>(Step 27A)</i> <i>(Step 27B)</i>
Sub-population	EAN	Employer Type	Transaction Date	Established Q/Date	Employer Report Quarter (ERQ)	Due Date	Transaction Type/Indicator	Amount Established in RQ	Amount Liquidated	Amount Uncollectible	Amount Removed	Balance at End of RQ	Age of Receivable
4.9	Required	R	RQ	RQ	Optional	Required	E	> 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Optional
4.10	Required	R	RQ	Required	Optional	Required	L	Must be blank or 0	> 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Optional
4.11	Required	R	RQ	Required	Optional	> RQ - 7	U	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Must be blank or 0	Optional
4.12	Required	R	RQ	> RQ - 3	Optional	≤RQ - 7	U	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Must be blank or 0	Optional
4.13	Required	R	Optional	< RQ - 2	Optional	RQ - 7	R	Must be blank or 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Optional
4.14	Required	R	Optional	RQ - 2	Optional	≤RQ - 7	R	Must be blank or 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Optional
4.15	Required	R	Must be blank	Required	Optional	> RQ - 7	B	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	> 0	Optional
4.16	Required	R	Must be blank	> RQ - 2	Optional	≤RQ - 7	B	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	> 0	Optional
Reported in ETA 581 Item #'s								34	35	36	37	38	

Notes:

Values in column 8 for all observations in subpopulation 4.1 should be totaled, for comparison to ETA Item #22.

Values in column 9 for all observations in subpopulation 4.2 should be totaled, for comparison to ETA Item #23.  
Values in column 10 for all observations in subpopulations 4.3 - 4.4 should be totaled, for comparison to ETA Item #24.  
Values in column 11 for all observations in subpopulations 4.5 - 4.6 should be totaled, for comparison to ETA Item #25.  
Values in column 12 for all observations in subpopulations 4.7 - 4.8 should be totaled, for comparison to ETA Item #26.  
Values in column 8 for all observations in subpopulation 4.9 should be totaled, for comparison to ETA Item #34.  
Values in column 9 for all observations in subpopulation 4.10 should be totaled, for comparison to ETA Item #35.  
Values in column 10 for all observations in subpopulations 4.11 - 4.12 should be totaled, for comparison to ETA Item #36.  
Values in column 11 for all observations in subpopulations 4.13 - 4.14 should be totaled, for comparison to ETA Item #37.  
Values in column 12 for all observations in subpopulations 4.15 - 4.16 should be totaled, for comparison to ETA Item #38.

- 1) There must be one record for each ERQ balance for an EAN to calculate aging.
- 2) If states bill reimbursing employers on a monthly basis, then they may have up to three records for a receivable establishment in the RQ.
- 3) States should not include negative values in individual transactions for report items. If a transaction made in one quarter is fully or partially adjusted in a subsequent quarter, the adjustment should be reported using a positive entry to an appropriate adjustment category on the report. For transactions made to an account that are fully or partially adjusted within the same quarter, states may report the net result. To ensure a proper audit trail for validation purposes, adjustments should only be netted when they actually *occur and are discovered* within the same RQ. In these same-quarter situations, states may net adjustments but are not required to net if they prefer to maintain records of each transaction. The following table gives examples of how to report and validate various types of receivables adjustments.

<i>Adjustment</i>	<i>ETA 581</i>
Error in new receivable identified and corrected within same reporting period	Report net result in Determined Receivable
\$100 overstatement of new receivable identified and corrected in following quarter	+\$100 Liquidation in next quarter's report
\$500 check received in RQ, returned by bank for non-sufficient funds in same quarter	Report net result (\$0) in Liquidated
\$500 check received in RQ, returned by bank for non-sufficient funds in following quarter	+\$500 Liquidated in RQ +\$500 Determined Receivable in report for RQ+1

Subpopulation descriptions:

- 4.1 Receivable amounts established as past due in the RQ for contributory employers.
- 4.2 Receivable amounts liquidated during the RQ for contributory employers.
- 4.3 Receivable amounts declared uncollectible during the RQ for contributory employers where the receivable is less than eight quarters old.
- 4.4 Receivable amounts declared uncollectible during the RQ for contributory employers where the receivable is at least eight quarters old but was established within the RQ or the two preceding quarters. The establishment date parameter is used to confirm that these transactions have not yet been removed.
- 4.5 Receivable amounts removed during the RQ for contributory employers where the receivable is eight quarters old and was established prior to two quarters before the RQ.
- 4.6 Receivable amounts removed during the RQ for contributory employers where the receivable was at least eight quarters old and was established two quarters prior to the RQ.
- 4.7 Receivable balances at the end of the RQ for contributory employers which were less than eight quarters old. (The receivable was not yet old enough to be removed.)
- 4.8 Receivable balances at the end of the RQ for contributory employers which were at least eight quarters old but which were established within the RQ or the preceding quarter. (The receivable is old enough to be removed but is not removed because it has not yet sat for 2 quarters in the 'greater than 15 months' aging category.)
- 4.9 Receivable amounts established as past due in the RQ for reimbursable employers.
- 4.10 Receivable amounts liquidated during the RQ for reimbursable employers.
- 4.11 Receivable amounts declared uncollectible during the RQ for reimbursable employers where the receivable is less than seven quarters old based on the due date.

- 4.12 Receivable amounts declared uncollectible during the RQ for reimbursable employers where the receivable is at least seven quarters old based on the due date but was established within the RQ or the two preceding quarters.
- 4.13 Receivable amounts removed during the RQ for reimbursable employers where the receivable is seven quarters old based on the due date and was established prior to two quarters before the RQ.
- 4.14 Receivable amounts removed during the RQ for reimbursable employers where the receivable was at least seven quarters old based on the due date and was established two quarters prior to the RQ.
- 4.15 Receivable balances at the end of the RQ for reimbursable employers which were less than seven quarters old based on the due date. (The receivable was not yet old enough to be removed.)
- 4.16 Receivable balances at the end of the RQ for reimbursable employers which were at least seven quarters old based on the due date but which were established within the RQ or the preceding quarter. (The receivable is old enough to be removed but is not removed because it has not yet sat for 2 quarters in the 'greater than 15 months' aging category.)

**Table A.5  
Population 5 Subpopulations  
Field Audits**

Table A.5 Population 5 Subpopulations Field Audits																						
							Total Wages					Taxable Wages					Contributions					
		2 (Step 1E)	3 (Step 1E)	4 (Step 28A) (Step 28B)	5 (Step 29A) (Step 29B)	6 (Step 30)	7 (Step 31A)	8 (Step 31B)	9 (Step 31C)	10 (Step 31D)	11 (Step 31E)	12 (Step 32A)	13 (Step 32B)	14 (Step 32C)	15 (Step 32D)	16 (Step 32E)	17 (Step 33A)	18 (Step 33B)	19 (Step 33C)	20 (Step 33D)	21 (Step 33E)	
Sub-population	Reported in ETA 581 Items #'s	EAN	Audit ID #	Employer Size	Change Audit	Audit Completion Date	Pre-Audit (T1)	Post-Audit (T2)	Under-Reported (T3)	Over-Reported (T4)	Reconciliation Amount (System Generated)	Pre-Audit (X1)	Post-Audit (X2)	Under-Reported (X3)	Over-Reported (X4)	Reconciliation Amount (System Generated)	Pre-Audit (C1)	Post-Audit (C2)	Under-Reported (C3)	Over-Reported (C4)	Reconciliation Amount (System Generated)	
5.1	45, 46, 47	Required	Required	L	Y	RQ	Required	Required	Must be > 0 if Cols. 10, 14, 15, 19, 20 all = 0	Must be > 0 if Cols. 9, 14, 15, 19, 20 all = 0	Must be blank or 0	Optional	Optional	Must be > 0 if Cols. 9, 10, 15, 19, 20 all = 0	Must be > 0 if Cols. 9, 10, 14, 19, 20 all = 0	Must be blank or 0	Optional	Optional	Must be > 0 if Cols. 9, 10, 14, 15, 20 all = 0	Must be > 0 if Cols. 9, 10, 14, 15, 19 all = 0	Must be blank or 0	
5.2	45, 47	Required	Required	L	N	RQ	Required	Required	Must be blank or 0	Must be blank or 0	Must be blank or 0	Optional	Optional	Must be blank or 0	Must be blank or 0	Must be blank or 0	Optional	Optional	Must be blank or 0	Must be blank or 0	Must be blank or 0	
5.3	46, 47	Required	Required	S	Y	RQ	Required	Required	Must be > 0 if Cols. 10, 14, 15, 19, 20 all = 0	Must be > 0 if Cols. 9, 14, 15, 19, 20 all = 0	Must be blank or 0	Optional	Optional	Must be > 0 if Cols. 9, 10, 15, 19, 20 all = 0	Must be > 0 if Cols. 9, 10, 14, 19, 20 all = 0	Must be blank or 0	Optional	Optional	Must be > 0 if Cols. 9, 10, 14, 15, 20 all = 0	Must be > 0 if Cols. 9, 10, 14, 15, 19 all = 0	Must be blank or 0	
5.4	47	Required	Required	S	N	RQ	Required	Required	Must be blank or 0	Must be blank or 0	Must be blank or 0	Optional	Optional	Must be blank or 0	Must be blank or 0	Must be blank or 0	Optional	Optional	Must be blank or 0	Must be blank or 0	Must be blank or 0	
Reported in ETA 581 Item #'s							49	50	53	56				54	57					55	58	

Notes:

1) Some states may want to capture and store in the validation file the pre- and post-audit number of employees. Some states allocate a percentage of their UI receipts to special funds or programs; if so, the employer's discount rate and amount discounted should be included in the file.

2) Post-audit figures for total wages, taxable wages and contributions reflect the net increase or decrease of under- and over-reporting identified during the audit, even though the netted figures are not reportable on the ETA 581. Referring to the report validation file specification column headers:

Subtract the positive net of (T3 - T4) from the positive net of (T1 - T2). The result in column 11 should be zero.

Subtract the positive net of (X3 - X4) from the positive net of (X1 - X2). The result in column 16 should be zero.

Subtract the positive net of (C3 - C4) from the positive net of (C1 - C2). The result in column 21 should be zero.

For example, if Employer A under reported total wages by \$5,000 and also over reported total wages by \$1,000, the Employer's post-audit total wages would increase by \$4,000. So, if the validator nets the under and over reported wages the result is \$4,000, and nets pre- and post-audit wages the result is \$4,000. These two results should always reconcile to zero. Referring again to the specification: If  $TI = \$10,000$ ,  $T2 = \$14,000$ ,  $T3 = \$5,000$ ,  $T4 = \$1,000$ , then  $(\$10,000 - \$14,000) - (\$5,000 - \$1,000) = 0$ .

Also, if  $TI = \$10,000$ ,  $T2 = \$6,000$ ,  $T3 = \$1,000$ ,  $T4 = \$5,000$ , then  $(\$10,000 - \$6,000) - (\$1,000 - \$5,000) = 0$ .

The validation software will reject records if the *total wages reconciliation* amount is not zero. However, the software does not reject records if the taxable wages or contributions reconciliation amounts are not zero.

3) The number of observations in all four subpopulations should be totaled, for comparison to ETA Item #47.

Dollar values in column 6 for all observations in all four subpopulations should be totaled, for comparison to ETA Item #49.

Dollar values in column 7 for all observations in all four subpopulations should be totaled, for comparison to ETA Item #50.

Dollar values in column 8 for all observations in all four subpopulations should be totaled, for comparison to ETA Item #53.

Dollar values in column 9 for all observations in all four subpopulations should be totaled, for comparison to ETA Item #56.

Dollar values in column 13 for all observations in all four subpopulations should be totaled, for comparison to ETA Item #54.

Dollar values in column 14 for all observations in all four subpopulations should be totaled, for comparison to ETA Item #57.

Dollar values in column 18 for all observations in all four subpopulations should be totaled, for comparison to ETA Item #55.

Dollar values in column 19 for all observations in all four subpopulations should be totaled, for comparison to ETA Item #58.

#### Subpopulation descriptions:

5.1 Large employer audits completed during the RQ, which were change audits.

5.2 Large employer audits completed during the RQ, which were not change audits.

5.3 Small employer audits completed during the RQ, which were change audits.

5.4 Small employer audits completed during the RQ, which were not change audits.

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**APPENDIX B**

*Tax*

INDEPENDENT COUNT

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## APPENDIX B

### A. Purpose

The validation procedures described in Modules 1 and 2 address the validation of all UI contributions transactions that have been *included* in the ETA 581 report. However, it is also important to confirm that no transactions have been improperly or systematically *excluded* from the Federal report. Although this problem is a difficult one, it is important to ensure that funding, economic statistics, and performance outcomes are not biased by the systematic elimination of particular types of transactions.

*This Appendix is only applicable to populations for which the state has produced the RV file from the same extract files used to produce the ETA 581 report.* It is not applicable when states produce the RV file directly from the employer contributions database, because the RV process itself constitutes an independent count through the process of reconstruction. When the RV file is produced from the same file used to produce the ETA 581 report, however, it is necessary to conduct an independent count in order to identify any errors that may have occurred in the ETA 581 report since these errors will be duplicated in the reconstruction file.

*It is not possible to perform an independent count when the database does not contain all of the reported transactions. In these circumstances, the statistical file is the only source of data to reconstruct reported counts on the ETA 581 report. For the reasons given in Table B.2 below, it is unlikely that any state will need to perform an independent count for 581 validation. It is expected to be relevant only to validating Federal benefits reports. Nevertheless, the procedure is included in this handbook to ensure that states are aware of the possible problems with using statistical files for both reporting and validation when database files could be used.*

### B. Procedures

IS staff create independent total counts of transactions from the main database for comparison with counts generated on the extract files used to create the ETA 581. In general, the independent count is created opposite to the way the RV file is created. The RV file should be programmed from the bottom up, by selecting only the codes and criteria indicated on the file specification in Appendix A. However, the independent count should be programmed from the top down, by including all codes relevant to a population and then subtracting observations that do not match the population and subpopulation specifications. State programming staff must determine the specific type of independent count (simple query, multiple queries, cross tabulation).

Table B.1 indicates when independent count validation is required. There are six typical scenarios for how states produce the ETA 581 report and reconstruct counts for validation. The ETA 581 Source column indicates for each scenario the source files that states use to generate report counts. States may use different source files for different types of transactions. The Data

Validation Source column indicates for each scenario the source files that states use to reconstruct lists of transactions for validation.

The Independent Count Required column of Table B.1 indicates whether the state should conduct independent count validation for populations that match the report and validation scenario.

Table B.2 describes independent count criteria for each population.

Table B.1 ETA 581 Reporting and Validation Configurations								
Scenario	Transactions Overwritten on Database	ETA 581			Data Validation			Independent Count Required
		Program Type	Source	Timing	Program Type	Source	Timing	
1	No	Count	Database	Snapshot (for reporting period)	Detail Record Extract (DRE)	Database	Snapshot	No
2	No	Count	Stat file	Daily	DRE	Database	Snapshot	No
3	No	DRE	Database	Snapshot (for reporting period)	DRE	Database	Snapshot	Yes
4	No	DRE	Stat file	Daily	DRE	Stat file	Daily	Yes
5	Yes	DRE	Stat file	Daily	DRE	Stat file	Daily	NA
6	Yes	Count	Stat file	Daily	Must create a daily extract	NA	NA	NA

<b>Table B.2</b>	
<b>Independent Count Criteria by Population (Using Query Capability)</b>	
<b>Population Description</b>	<b>Independent Count Criteria</b>
1. Active Employers	States should not use statistical files to validate active employers because the count should be taken from the database as a snapshot at the end of the month. If states do not use this approach for reporting--if they instead derive the number from changes in status over the quarter--they must use it for validation (they cannot recreate the active employer population from the status changes). Therefore, there is no situation that would require an independent count.
2. Report Filing	States generally use data files containing a record for each employer for both reporting and reconstructing counts of employer report statuses. Therefore, there is not likely to be a situation where statistical files are used for reporting or validation. If a state uses a statistical file for validation, it should create a frequency distribution of received dates for every employer with a received date for the quarter being validated. This count can be used to validate that the statistical file data matches the data base for all timely and secured reports and for all reports which are resolved by receipt of a report. This will validate subpopulations 2.1, 2.2, 2.3, 2.9, 2.10 and 2.11, which will be sufficient to demonstrate that the statistical file is valid.
3. Status Determinations	States often use statistical files for reporting status determinations when their system stores only the most recent status determination for each employer account and thus overwrites previous status determinations. These statistical files are often called RQC or TPS files because they were developed to provide a universe of determinations from which to derive the Revenue Quality Control (now Tax Performance System) sample. These states cannot perform an independent count from the database to validate the statistical file because the database will not contain records for all of the status determinations. Therefore, an independent count is not required for status determinations, because it is not possible to create such a count in states that use statistical files.

4. Accounts Receivable	<p>All states must use a transaction history file or audit trail to correctly reconstruct payments (amounts liquidated), because only such files show the date that each payment was made. Transaction history files are also the source for receivable amounts established and amounts declared uncollectible in some states. There is only one source file for such transactions, so an independent count is not relevant.</p> <p>All states must use employer quarter files to reconstruct balances for reporting amounts removed and amounts outstanding at the end of the quarter. Some states use such balances for reporting amounts declared uncollectible. These balances are always captured as a snapshot at the end of the quarter from the database, so an independent count is not relevant.</p>
5. Field Audits	<p>States do not maintain more than one file with field audit results, thus an independent count is not relevant.</p>