

UI BENEFITS
DATA VALIDATION HANDBOOK
DRAFT

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INTRODUCTION

A. OBJECTIVES

States report to the U.S. Department of Labor (DOL) on a monthly and quarterly basis under the Unemployment Insurance Required Reports (UIRR) system. The comprehensive data validation program described in this handbook is necessary to ensure the accuracy of the UIRR data. UIRR data are used for economic statistics, to allocate UI administrative funding based on state workload, to measure state claimant eligibility criteria and performance in providing benefits, and to account for fund utilization. It is therefore essential that states report UIRR data accurately and uniformly.

Two principles underlie a comprehensive approach to benefits data validation:

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

States themselves conduct the validation and report the results to the Employment Training Administration (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.

Table A (next page) shows the general types of UIRR data to be validated, the federal ETA reports on which the data appear, and uses of the data.

States are required to validate reported data every third year, except for data elements used to calculate Government Performance and Results Act (GPRA) measures. GPRA data are validated annually. The “validation year” will coincide with the State Quality Service Plan (SQSP) performance year. Validation of any reporting period during the twelve months beginning April 1 and ending March 31 will be considered part of the validation year. The SQSP is the vehicle through which states submit plans to implement validation or to revalidate failed items.

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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 ¹	5159 218 586	X	X		X	X
Payments	5159 586 9050 9051			X		X
Nonmonetary Determinations/ Redeterminations	207 9052 9053		X	X	X	
Appeals	5130 9054 9055		X	X	X	
Overpayments	227			X		X
Tax	581	X	X	X		

¹The 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 if 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.

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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.

- X **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) transactions which are misclassified.* 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 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 retrieval code or calculation specification or staff retraining on a corrected definition or procedure will usually correct systematic errors.

- X **Random errors** are addressed through validation by evaluating the accuracy of data elements stored in the database for a random sample of transactions. Random errors tend to be variable, and are always 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) improper state definitions or procedures.*

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

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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 statistical 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. They do so regardless of whether the federal reports are produced directly from the benefits database, from a database extract or statistical file, or from a combination of these sources.

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 benefits database. For cost reasons and to minimize changes in data over time, some states prefer to use daily, weekly, or monthly statistical files instead. When statistical files are used, system errors may occur: reportable transactions may be improperly excluded from the master file, or the statistical file may contain corrupt data. The only way to test for 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. The way to do this is to recreate the logic used to produce the federal reports. This handbook includes a validation tool, “independent count validation,” specifically for this purpose. The specific type of independent count (simple query, multiple queries, cross tabulation) must be determined by state programming staff.²

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 state validator or federal representative should identify the state’s reporting and validation sources for each population.

²There is no way to accurately reconstruct the report 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
VARIATIONS IN VALIDATION METHODOLOGIES
BASED ON STATE APPROACHES TO REPORTING AND RECONSTRUCTION

Scenario	Transactions Overwritten on Database	Benefits UIRR Reports			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.

* Snapshot on last day of reporting period

** Detailed Record Extract (DRE)

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D. BASIC VALIDATION APPROACH

The comprehensive validation methodology outlined in this handbook is necessary to ensure the accuracy of UIRR data. It meets the objective described earlier by validating most items on the UI required reports through processes that minimize validator time and state burden. The data validation methodology is highly automated and complements existing quality components (such as the nonmonetary determinations quality review). States themselves conduct the validation and report the results to ETA. Sun-based DV software processes state data extract files and generates all required validation worksheets and reports.

The validation 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 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 in 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 Sun-based DV software then sorts the payments into groups that are used to reconstruct the counts in the appropriate items of the ETA 5159 and 9050 reports. Report validation is discussed in detail in Module 1.

The DV software also draws a sample of transactions from the reconstruction file and displays the sample on worksheets. Validators then subject the sampled transactions to a series of logic tests (“rules”), 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). DEV is addressed in detail in Module 2.

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E. RECONSTRUCTING FEDERAL REPORT ITEMS

Given that there are 13 UIRR 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, which match to one or more items on the federal reports. Specifically, there are fifteen types of benefits transactions and five types of tax transactions and statuses (referred to as populations), which are composed of 399 mutually exclusive groups (subpopulations). Each subpopulation represents a unique set of data elements or characteristics.

The first column of Table C (see next page) 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*. For the validation of the ETA 581 report, all populations are reconstructed 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.

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TABLE C

ETA REPORTS, BY TRANSACTION POPULATION

Transaction Population	ETA Report	Reconstruction Period	Number of Report Items	Number of Subpopulations
Benefits Populations				
1 Weeks Claimed	5159	Month	9	9
2 Final Payments	5159 218	Quarter	3 1	4
3/3a Claims and Claims Status, and Monetary Determinations	5159 218 586	Quarter	19 2 20	54
4 Payments	5159 9050 9051	Month	14 2 204	51
	586	Quarter	32	
5 Nonmonetary Determinations and Redeterminations	207 9052 9053	Quarter	36 228 228	70
6 Appeals Filed, Lower Authority	5130	Month	2	2
7 Appeals Filed, Higher Authority	5130	Month	2	2
8 Appeals Decisions, Lower Authority	5130 9054	Month	17 24	55
	5130 9054		10 45	
10 Appeals Case Aging, Lower Authority	9055	Month	8	7
11 Appeals Case Aging, Higher Authority	9055	Month	7	6
12 Overpayments Established	227	Quarter	39	16
13 Overpayment Reconciliation Activities	227	Quarter	38	34
14 Age of Overpayments	227	Quarter	16	16
SUBTOTAL BENEFITS			1,006	349

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TABLE C (continued)

Transaction Population	ETA Report	Reconstruction Period	Number of Report Items	Number of Subpopulations
Tax Populations				
1 Active Employers	581	Quarter	3	2
2 Report Filing	581	Quarter	6	16
3 Status Determinations	581	Quarter	7	8
4 Accounts Receivable	581	Quarter	22	16
5 Field Audits	581	Quarter	11	4
Wage Items	581	Quarter	1	NA
SUBTOTAL TAX			50	46
TOTAL			1,056	395

Notes: When populations relate to both monthly and quarterly reports (benefits 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.

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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 Sun-based DV software processes validation files and generates all validation worksheets and reports.

Table D (see next page) 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 or computer records, or images. Source documentation is important for identifying human errors involving interpretational and input errors.

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TABLE D

VALIDATION TECHNIQUES, BY TRANSACTION POPULATION

Transaction Population	Review History Screens	Review Source Documentation
Benefits Populations		
1 Weeks Claimed	X	
2 Final Payments	X	
3/3a Claims, Claims Status, and Monetary Determinations	X	
4 Payments	X	
5 Nonmonetary Determinations and Redeterminations	X	X ¹
6 Appeals Filed, Lower Authority	X	
7 Appeals Filed, Higher Authority	X	
8 Appeals Decisions, Lower Authority	X	X
9 Appeals Decisions, Higher Authority	X	X
10 Appeals Case Aging, Lower Authority	X	
11 Appeals Case Aging, Higher Authority	X	
12 Overpayments Established	X	X
13 Overpayment Reconciliation Transactions	X	X
14 Age of Overpayments	X	
Tax Populations²		
1 Active Employers	X	
2 Report Filing	X	
3 Status Determinations	X	
4 Accounts Receivable	X	
5 Field Audits	X	

¹Examination of nonmonetary determination folders is accomplished through the quality review process.

²For tax validation, only two transactions per subpopulation are compared to history screens.

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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 Amodules≅ have been developed. These modules include various tools to use in validating 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. The Sun-based DV software systematically processes reconstruction files and compares the count in each federal report item with the count of the corresponding subpopulations. The validator examines transactions that were rejected by the software as invalid and determines if it is necessary to regenerate or reload the validation files.

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

Module 2 validates that the data elements used in report validation are correct. The validator examines samples of individual transactions to determine the accuracy of both the state reporting programs and the data elements used to classify the transactions. 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**

Module 3 provides the actual state-specific set of instructions that the validator uses in data element validation. 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 which impact validation are also documented to help state and federal staff interpret the validation results and improve procedures.

- **Module 4--Quality Sample Validation**

Module 4 ensures 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

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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 File Specifications**

Appendix A includes specifications for the 15 benefits validation files that need to be generated by the state. This appendix also includes tables that show the relationship between each subpopulation and the corresponding federal report line item(s).

- **Appendix B—DEV Sampling Methodology**

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

- **Appendix C—LADT and CWC Technical Guidance**

Appendix C contains detailed guidance on reporting and validation of combined wage claims and the Liable Agent Data Transfer (LADT) System.

- **Appendix D—RV Summary Reports**

Appendix D contains a sample RV summary report for each of the 15 populations.

- **Appendix E—DEV Worksheets**

Appendix E contains a sample DEV worksheet for each of the 15 populations.

- **Appendix F—DEV Reports**

Appendix F contains a sample DEV report for each of the 15 populations.

- **Appendix G—Independent Count**

Appendix G describes how to determine whether any transactions have been systematically excluded from any of the federal reports.

- **Appendix H—Duplication Detection Criteria**

Appendix H contains the criteria used by the software to identify duplicate transactions.

- **Appendix I—Record Layouts**

Appendix I contains the record layout for each of the 15 populations.

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H. WALK THROUGH OF DATA VALIDATION METHODOLOGY

(Figure A, p. I-16)

This section provides IS and validation staff with a step by step walk through of the data validation process. Each step of the walk through references the handbook module in which that aspect of the data validation process is described. Readers should review the referenced modules for further information.

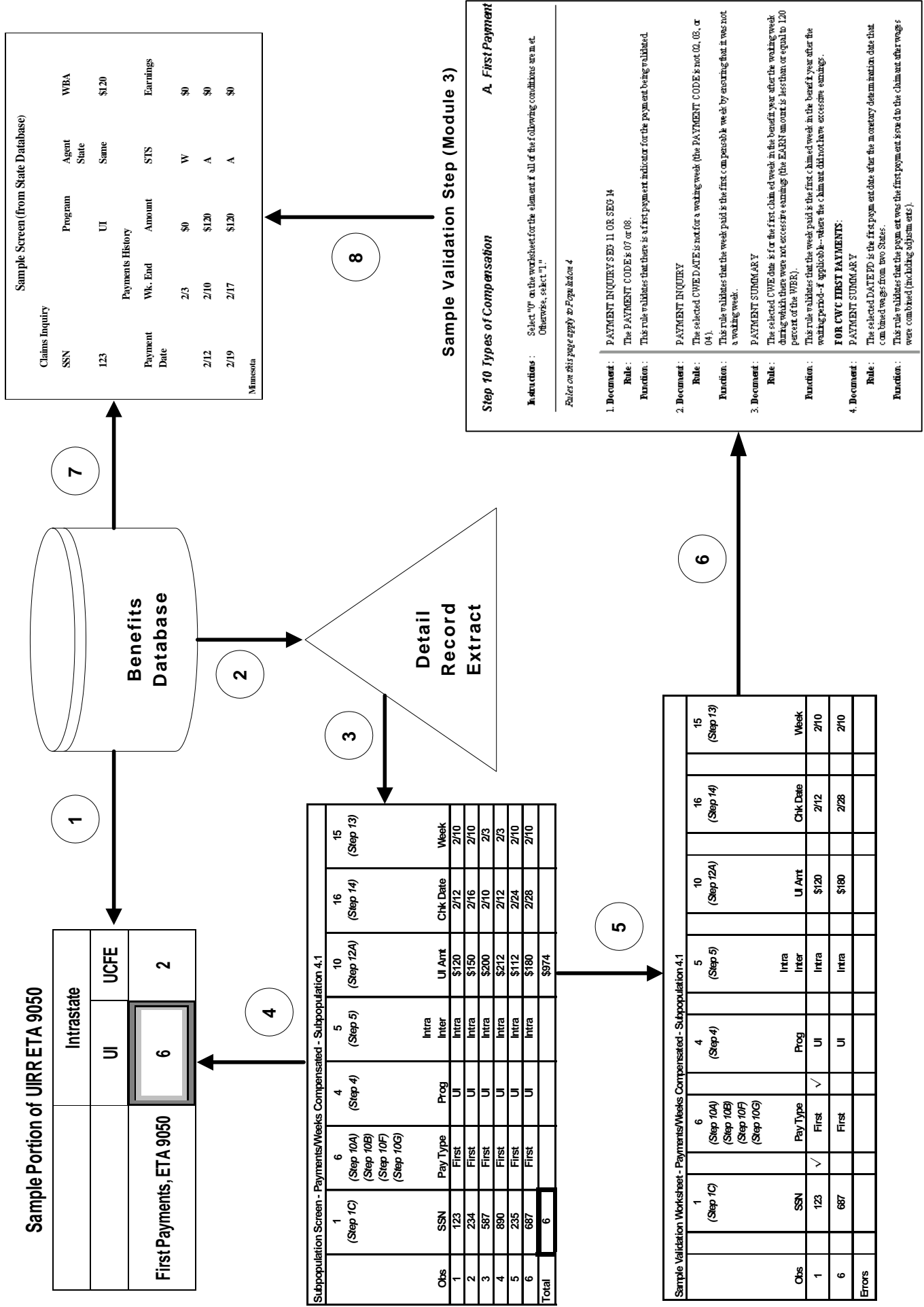
- 1) The benefits database is the state claims file. State **IS staff** generate required federal reports from the benefits database or from a statistical file of counts or detail records. The report item in the upper-left-hand corner of Figure A represents the count of UI intrastate first payments reported on the ETA 9050.
- 2) In the second step of the validation process, **IS staff** extract detailed records for the reported transactions to reconstruct and provide an audit trail for the reported count. The validation extract file is then loaded into the validation software. (See Module 1.)
- 3) In the third step, the **Sun-based DV software** organizes the records in the validation file and displays all the specified characteristics of each record. (See Module 1.)
- 4) In the fourth step, the **DV software** compares the reconstructed count with the reported count. In this example, the subpopulation screen shows the six UI intrastate first payments reported on the ETA 9050 report in the upper-left-hand corner. (See Module 1.)
- 5) In the fifth step, the **DV software** selects a sample of transactions (following the sample specifications in Appendix B) and displays them on a sample validation worksheet. (See Module 2.)
- 6) In the sixth step, the **validator** reviews the data elements on the worksheet by following the instructions in Module 3. In this example, the validator determines whether the payment met the federal definition of a first payment by following the instructions in the rules listed under Step 10A in Module 3. The document (benefits history screen or case folder) and the rule (the validation instruction) are customized for each state to facilitate the validation process. The federal definition and the function or purpose of each validation instruction are the same for all states. (See Module 2.)

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- 7) In the seventh step, the **validator** calls up or prints out the AClaims Inquiry≡ screen from the benefits database. Module 3 lists the required screens to review for each step. (See Modules 2 and 3.)

- 8) In the eighth step, the **validator** follows the instructions in the rules for Step 10A (First Payments) of the handbook. 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.)

FIGURE A: OVERVIEW OF DATA VALIDATION METHODOLOGY



Sample Portion of URR ETA 9050

Intrastate	UI	UCFE	2
First Payments, ETA 9050	6		

Subpopulation Screen - Payments/Weeks Compensated - Subpopulation 4.1

Obs	SSN	Pay Type	Prog	Intra	Inter	UI Amt	Chk Date	Week
1	123	First	UI	Intra	Intra	\$120	2/12	2/10
2	234	First	UI	Intra	Intra	\$150	2/16	2/10
3	587	First	UI	Intra	Intra	\$200	2/10	2/3
4	890	First	UI	Intra	Intra	\$212	2/12	2/3
5	235	First	UI	Intra	Intra	\$112	2/24	2/10
6	687	First	UI	Intra	Intra	\$180	2/28	2/10
Total	6					\$974		

Sample Validation Worksheet - Payments/Weeks Compensated - Subpopulation 4.1

Obs	SSN	Pay Type	Prog	Intra	Inter	UI Amt	Chk Date	Week
1	123	First	UI	Intra	Intra	\$120	2/12	2/10
6	687	First	UI	Intra	Intra	\$180	2/28	2/10
Errors								

Sample Screen (from State Database)

Claims Inquiry	Program	Agent State	WBA
SSN	UI	Same	\$120
123	UI	Same	\$120
Payments History	Amount	STS	Earnings
Wk. End	\$0	W	\$0
2/3	\$0	W	\$0
2/12	\$120	A	\$0
2/19	\$120	A	\$0
Minnesota			

Step 10 Types of Compensation

A. First Payment

Instructions: Select 'Y' on the worksheet for the element if all of the following conditions are met. Otherwise, select 'N'.

Rules on this page apply to Page 12000 4

- Document:** PAYMENT INQUIRY SEB 11 OR SEB 14
Rule: The PAYMENT CODE is 07 or 08.
Function: This rule validates that there is a first payment indicator for the payment being validated.
- Document:** PAYMENT INQUIRY
Rule: The selected CWE DATE is not for a waiting week (the PAYMENT CODE is not 02, 03, or 04).
Function: This rule validates that the week paid is the first compensable week by ensuring that it was not a waiting week.
- Document:** PAYMENT SUMMARY
Rule: The selected CWE date is for the first claim week in the benefit year after the waiting week during which there were not excessive earnings (the EARN amount is less than or equal to 120 percent of the WBR).
Function: This rule validates that the week paid is the first claim week in the benefit year after the waiting period - if applicable - where the claimant did not have excessive earnings.
- Document:** FOR CWC FIRST PAYMENTS: PAYMENT SUMMARY
Rule: The selected DATE PD is the first payment date after the monetary determination date that can be used to determine the payment amount.
Function: This rule validates that the payment amount was the first payment issued to the claimant after wages were combined (including adjustments).

MODULE 1--REPORT VALIDATION

The report validation process is used to determine the accuracy of the counts reported in each item on UIRR benefits reports. Fifteen sets of files are produced, which reconstruct the counts for the 15 types of UI benefits transaction populations that the state is validating. The report validation files enable the validator to determine the accuracy of the UIRR report item counts. The 15 report validation population files are listed in Table 1.1 on the next page.

State IS staff are responsible for producing the reconstruction files according to the tasks described on pages 1-3 to 1-5 of this module.

TABLE 1.1

SUMMARY OF REPORT VALIDATION POPULATION FILES

File Specification	Population Description
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 - Sorted by Causes
13	Overpayment Reconciliation Transactions
14	Aged Overpayments

A. PROCEDURES

Task 1: IS Staff Produce Fifteen Report Validation Extract Files

State IS staff produce 15 report validation extract files based on the record layout specifications in the Sun-based DV validation software tutorial guide. (Appendix I of this handbook includes copies of the record layouts.) There is one extract file for each of the 15 populations of UI benefit transactions and statuses (such as payments, claims, age of overpayments, etc.). There are 15 and not 14 population files because Population 3 (claims) is divided into two separate files. 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.

The extract files are imported into the Sun-based DV software, which 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.

It is essential that the programs generating the validation files be run 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 UI if UI wages are added to a claim.

Task 2: Import Extract Files

See the tutorial guide provided with the software for detailed instructions on importing the extract files.

Task 3: Examine Error Reports and Reload Extracts If Necessary

When the extract files are loaded, the Sun-based 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. For example, the front-end error checking program produces an error report when data fields are not in the format specified in the record layout (such as dates in the wrong format or text fields not preceded by one of the valid prefixes such as UI, UCFE, or UCX). The record layouts (Appendix I of this handbook) specify the data formats which must be used for the records to be successfully loaded. The population tables in Appendix A specify the valid values which must be present for transactions to be assigned to subpopulations.

For certain populations, the software also uses the duplicate detection criteria in Appendix H to reject records which match the criteria for duplicates. These criteria include appeals with duplicate docket numbers and payments for the same benefit week.

After reviewing any error reports that are generated, state IS staff should determine if the extracts are correct or whether they need to be regenerated or reformatted and reloaded into the Sun-based DV software.

See Figure 1.4 for a sample error report.

Task 4: Schedule Batch Program to Produce Benefit History Screens for Sampled Cases

States should, immediately after the Sun-based DV software generates the worksheets, use a batch program to print all applicable benefits history screens for each sampled case, in the same order that the cases are sampled and listed on validation worksheets. This concurrency minimizes discrepancies related to legitimate changes in the database.

To the extent that states have a complete audit trail, timing problems should not affect the reconstruction of transactions. For example, states should maintain records of appeals decisions, payments, or nonmonetary determination notices even if the transaction was later canceled or adjusted. The validator then uses these audit trails to verify that a transaction was correct at the time of reporting.

Task 5: RV—Reported Counts and Dollars Screens

The Sun-based 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 Sun-based 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 GPRA measures and key time-lapse variables and $\pm 2\%$ for all other groups). The GPRA measures are:

- 14/21 Days Intrastate First Payment Timeliness
- 35 Days Intrastate First Payment Timeliness
- 14/21 Days Interstate First Payment Timeliness
- 35 Days Interstate First Payment Timeliness
- Nonmonetary Determinations Quality
- Nonmonetary Determinations NonSep Timeliness
- Nonmonetary Determinations Separation Timeliness
- Lower Authority Appeals Quality
- Lower Authority Appeals Timeliness, 30 Days
- Lower Authority Appeals Timeliness, 45 Days
- Lower Authority Appeals Timeliness, 90 Days
- Higher Authority Appeals Timeliness, 45 Days
- Higher Authority Appeals Timeliness, 75 Days
- Higher Authority Appeals Timeliness, 150 Days

The software then produces population-specific RV reported counts summary reports that states submit to the UI national office. Appendix D provides examples of the RV summary reports for each population. The RV summary reports provide an error rate for each report cell making them a useful diagnostic tool for states.

Task 7: Independent Count (See Appendix G)

Appendix G is only applicable to states that generate the UIRR reports from a detailed record extract which is a database snapshot. Ideally, such files should not be used for validation, and whenever they are used for validation, states must also conduct an independent count.

B. EXAMPLES

The following figures are examples of:

1. Population 8 Record Layout (Figure 1.1)
2. Population 8 Sample Extract File (Figure 1.2)
3. Population 8 Validation File after Processed through Sun-based DV Software (Figure 1.3)
4. Population 3a RV Summary (Figure 1.4)

FIGURE 1.1

POPULATION 8 RECORD LAYOUT

No.	Field Name	Module 3 Reference	Field Description	Data Type/Format	DVWS	Constraint
1	OBS		Sequential Number	Number - 00000000 (State Assigned)	INTEGER	NOT NULL
2	SSN	Step 1E - Rule 1		Number - 0000000000 (Required)	CHAR (9)	NOT NULL
3	Docket # Unique ID	Step 1E - Rule 2	The Docket Number or other unique ID assigned to the appeal.	Number - 000000000000 (Required)	CHAR (10)	NOT NULL
4	Type of UI Program	Regular UI: Step 2A - Rule 1	Regular UI claim.	Text - Regular UI (Required)	CHAR (20)	NOT NULL
5	Program Type	UI: Step 4A - Rule 1 UCFE: Step 4B - Rule 1 UCX: Step 4C - Rule 1	UI, UCFE, or UCX.	Text - UI; UCFE; UCX (Required)	CHAR (20)	NOT NULL
6	Intrastate/ Interstate	Intrastate: Step 5A - Rules 1 and 2 Interstate Received as Liable State: Step 5B - Rules 1 and 2	Intrastate or Interstate.	Text - Intrastate; Interstate (Required)	CHAR (20)	NOT NULL
7	Lower Authority Appeal	Step 22A - Rule 1	The appeal type is a lower authority appeal.	Text - Lower (Required)	CHAR (20)	NOT NULL

FIGURE 1.2

POPULATION 8 SAMPLE EXTRACT FILE

1,100000001,1,Regular UI-REG,UI,Intrastate-AB,Lower-AT,S-1,,Claimant-C,Y,03/27/2002,04/17/2002,Y,VL-01,8.1
 2,100000002,2,Regular UI-REG,UI,Intrastate-AB,Lower-AT,S-1,,Employer-E,Y,05/03/2001,04/04/2002,Y,VL-01,8.2
 3,100000003,3,Regular UI-REG,UI,Intrastate-AB,Lower-AT,S-1,,Claimant-C,N,03/15/2002,04/2002/2002,Y,VL-01,8.3
 4,100000004,4,Regular UI-REG,UI,Intrastate-AB,Lower-AT,S-1,,Employer-E,N,05/2002/2001,04/09/2002,Y,VL-01,8.4
 5,100000005,5,Regular UI-REG,UI,Interstate-CD,Lower-AT,S-1,,Claimant-C,Y,05/2002/2001,04/09/2002,Y,VL-01,8.5
 6,100000006,6,Regular UI-REG,UI,Interstate-CD,Lower-AT,S-1,,Employer-E,Y,05/2002/2001,04/09/2002,Y,VL-01,8.6
 7,100000007,7,Regular UI-REG,UI,Interstate-CD,Lower-AT,S-1,,Claimant-C,N,05/2002/2001,04/09/2002,Y,VL-01,8.7
 8,100000008,8,Regular UI-REG,UI,Interstate-CD,Lower-AT,S-1,,Employer-E,N,05/2002/2001,04/09/2002,Y,VL-01,8.8
 9,100000009,9,Regular UI-REG,UI,Intrastate-AB,Lower-AT,S-1,,Claimant-C,Y,03/22/2002,04/12/2002,Y,MC-02,8.9
 10,110000000,10,Regular UI-REG,UI,Intrastate-AB,Lower-AT,S-1,,Employer-E,Y,05/08/2001,04/17/2002,Y,MC-02,8.10
 11,111000000,11,Regular UI-REG,UI,Intrastate-AB,Lower-AT,S-1,,Claimant-C,N,03/15/2002,04/01/2002,Y,MC-02,8.11
 12,121000000,12,Regular UI-REG,UI,Intrastate-AB,Lower-AT,S-1,,Employer-E,N,01/01/2001,04/12/2002,Y,MC-02,8.12
 13,131000000,13,Regular UI-REG,UI,Interstate-CD,Lower-AT,S-1,,Claimant-C,Y,01/01/2001,04/12/2002,Y,MC-02,8.13
 14,141000000,14,Regular UI-REG,UI,Interstate-CD,Lower-AT,S-1,,Employer-E,Y,01/01/2001,04/12/2002,Y,MC-02,8.14
 15,151000000,15,Regular UI-REG,UI,Interstate-CD,Lower-AT,S-1,,Claimant-C,N,01/01/2001,04/12/2002,Y,MC-02,8.15
 16,161000000,16,Regular UI-REG,UI,Interstate-CD,Lower-AT,S-1,,Employer-E,N,01/01/2001,04/12/2002,Y,MC-02,8.16
 17,171000000,17,Regular UI-REG,UI,Intrastate-AB,Lower-AT,S-1,,Claimant-C,Y,01/01/2001,04/12/2002,Y,Suitable Work-07,8.17
 18,181000000,18,Regular UI-REG,UI,Intrastate-AB,Lower-AT,S-1,,Employer-E,Y,01/01/2001,04/12/2002,Y,Suitable Work-07,8.18
 19,191000000,19,Regular UI-REG,UI,Intrastate-AB,Lower-AT,S-1,,Claimant-C,N,01/01/2001,04/12/2002,Y,Suitable Work-07,8.19
 20,201000000,20,Regular UI-REG,UI,Intrastate-AB,Lower-AT,S-1,,Employer-E,N,01/01/2001,04/12/2002,Y,Suitable Work-07,8.20
 21,211000000,21,Regular UI-REG,UI,Interstate-CD,Lower-AT,S-1,,Claimant-C,Y,01/01/2001,04/12/2002,Y,Suitable Work-07,8.21
 22,221000000,22,Regular UI-REG,UI,Interstate-CD,Lower-AT,S-1,,Employer-E,Y,01/01/2001,04/12/2002,Y,Suitable Work-07,8.22
 23,231000000,23,Regular UI-REG,UI,Interstate-CD,Lower-AT,S-1,,Claimant-C,N,01/01/2001,04/12/2002,Y,Suitable Work-07,8.23
 24,241000000,24,Regular UI-REG,UI,Interstate-CD,Lower-AT,S-1,,Employer-E,N,01/01/2001,04/12/2002,Y,Suitable Work-07,8.24
 25,251000000,25,Regular UI-REG,UI,Intrastate-AB,Lower-AT,S-1,,Claimant-C,Y,11/20/2001,04/22/2002,Y,A & A-09,8.25
 26,261000000,26,Regular UI-REG,UI,Intrastate-AB,Lower-AT,S-1,,Employer-E,Y,11/20/2001,04/22/2002,Y,A & A-09,8.26
 27,271000000,27,Regular UI-REG,UI,Intrastate-AB,Lower-AT,S-1,,Claimant-C,N,11/20/2001,04/22/2002,Y,A & A-09,8.27
 28,281000000,28,Regular UI-REG,UI,Intrastate-AB,Lower-AT,S-1,,Employer-E,N,11/20/2001,04/22/2002,Y,A & A-09,8.28
 29,291000000,29,Regular UI-REG,UI,Interstate-CD,Lower-AT,S-1,,Claimant-C,Y,11/20/2001,04/22/2002,Y,A & A-09,8.29
 30,301000000,30,Regular UI-REG,UI,Interstate-CD,Lower-AT,S-1,,Employer-E,Y,11/20/2001,04/22/2002,Y,A & A-09,8.30

FIGURE 1.3
POPULATION 8
VALIDATION FILE AFTER PROCESSED THROUGH SUN-BASED DV SOFTWARE

Sub Population 8.1
Lower Authority Appeals Decisions

Obs	SSN	Unique #	Type	UIProgram	Program Type	Intra/InterClaim	Lower Auth Appeal	Single/Multi	Claimants	Appellant	In Favor	Date Filed	Decisor Date
115		1758704001	REGULAR	UI-UI	UI-MN	INTRASTATE-0161	LOWER-AP	S-0000	0	CLAIMANT-CL	Y	11/24/2004	12/23/200
116		1763104001	REGULAR	UI-UI	UI-MN	INTRASTATE-0161	LOWER-AP	S-0000	0	CLAIMANT-CL	Y	11/24/2004	12/23/200
117		1767804001	REGULAR	UI-UI	UI-MN	INTRASTATE-0170	LOWER-AP	S-0000	0	CLAIMANT-CL	Y	11/22/2004	12/22/200
118		1752704001	REGULAR	UI-UI	UI-MN	INTRASTATE-0171	LOWER-AP	S-0000	0	CLAIMANT-CL	Y	11/30/2004	12/29/200
119		1752804001	REGULAR	UI-UI	UI-MN	INTRASTATE-0260	LOWER-AP	S-0000	0	CLAIMANT-CL	Y	12/02/2004	12/30/200
120		1749704001	REGULAR	UI-UI	UI-MN	INTRASTATE-0145	LOWER-AP	S-0000	0	CLAIMANT-CL	Y	11/17/2004	12/16/200
121		1747804001	REGULAR	UI-UI	UI-MN	INTRASTATE-0477	LOWER-AP	S-0000	0	CLAIMANT-CL	Y	10/01/2004	12/16/200
122		1748304001	REGULAR	UI-UI	UI-MN	INTRASTATE-0140	LOWER-AP	S-0000	0	CLAIMANT-CL	Y	10/15/2004	12/06/200
123		1756904002	REGULAR	UI-UI	UI-MN	INTRASTATE-0171	LOWER-AP	S-0000	0	CLAIMANT-CL	Y	11/04/2004	12/08/200
124		1757004001	REGULAR	UI-UI	UI-MN	INTRASTATE-0161	LOWER-AP	S-0000	0	CLAIMANT-CL	Y	11/05/2004	12/03/200
125		1754004001	REGULAR	UI-UI	UI-MN	INTRASTATE-0801	LOWER-AP	S-0000	0	CLAIMANT-CL	Y	11/08/2004	12/10/200

FIGURE 1.4

POPULATION 3a RV SUMMARY

Reported Counts for Population 3a

Period: 01/01/2003 - 03/31/2003

Report Cell	Description	Validation Counts	Reported Counts	Difference	Percent Difference	Pass/Fail
5159A-101-3	UI, Additional Intra	6,062	45,772	39,710	655.06%	
5159A-102-3	UCFE, Additional Intra	6	118	112	1,866.67%	
5159A-103-3	UCX, Additional Intra	4	144	140	3,500.00%	
Additional Intra Total		6,072	46,034	39,962	658.14%	FAIL

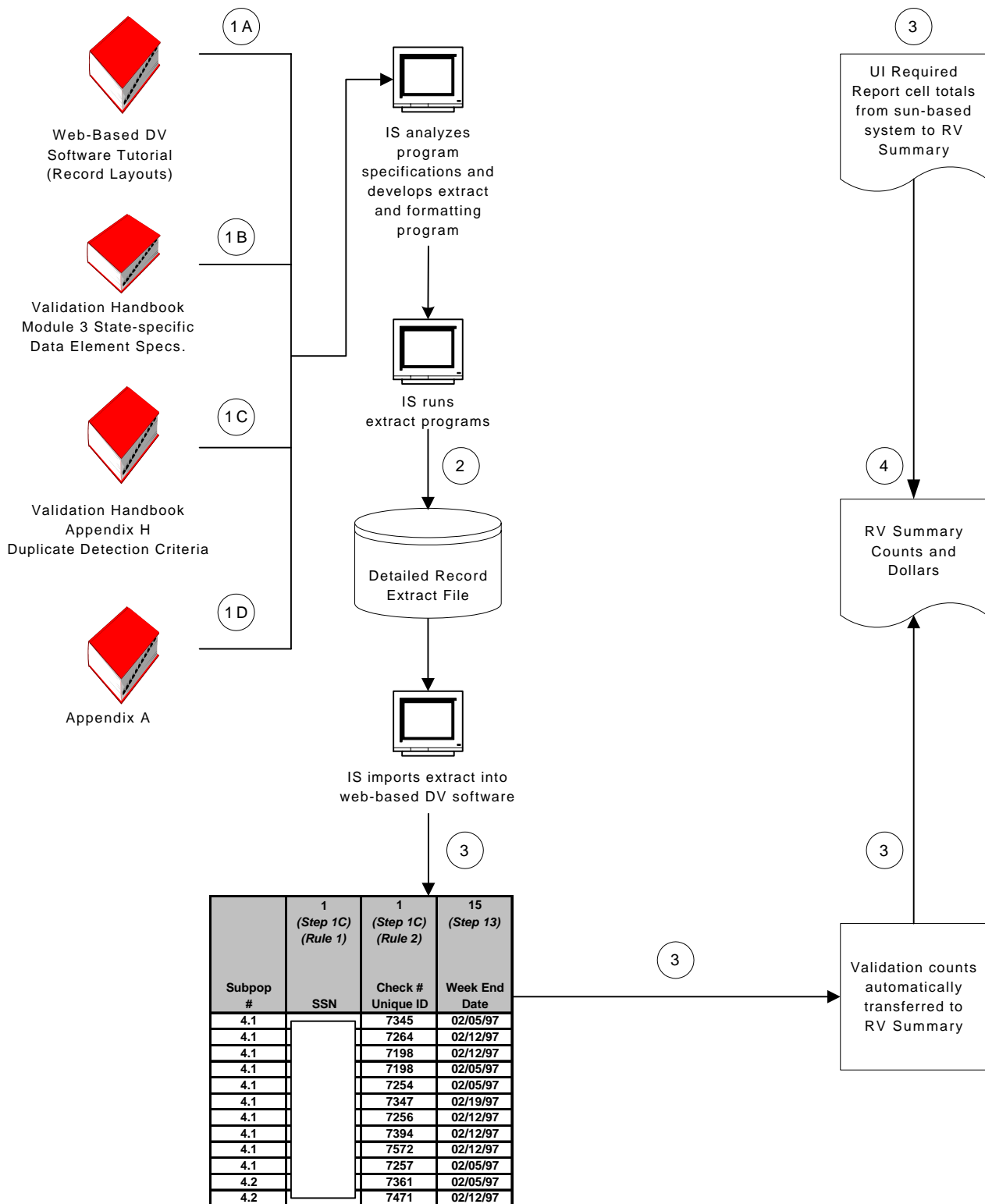
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OVERVIEW OF MODULE 1 (FIGURE 1.5)

Figure 1.5 Step No.	Description of Step	Who Performs Step
1A – 1D	<p>IS staff analyze the validation program specifications including:</p> <p>1A. Sun-based DV Tutorial: contains the report validation record layouts which detail the extract file layouts for each population.</p> <p>1B. Validation Handbook Module 3: state-specific data element specifications include the state-specific screen names, element names and value codes for each data element.</p> <p>1C. Duplicate Detection Criteria Appendix H: contains the criteria that the software uses to detect duplicates.</p> <p>1D. Report Validation Specifications Appendix A: contains reporting and sampling specifications for each population.</p>	IS Staff
2	<p>IS staff extract detailed 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 Appendix H.</p>	IS Staff
3	<p>IS staff import the validation files into the Sun-based DV software, which processes the files and assigns transactions to the subpopulations specified in Appendix A. The software also transfers validation counts to the Reported Counts screen.</p>	IS Staff
4	<p>The RV Summary Screen—Counts and Dollars compares the validation counts to the reported counts and displays the error rates.</p>	Sun-based DV Software Screen

FIGURE 1.5

REPORT VALIDATION



MODULE 2--DATA ELEMENT VALIDATION

The most important goal of the entire 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.

A. VALIDATION SAMPLES AND WORKSHEETS**Task 1: Procedure**

Data element validation uses random and supplemental samples to address different types of federal report errors and different requirements for accuracy. The type of transaction being validated, and whether human error is inherent in the data, help to determine which sample type is used. The samples enable the validator to review the reconstructed populations for both systems logic and data quality errors. There are four sample types:

1. Random samples
2. Supplemental samples of subpopulations missing from the random sample (missing subpopulations)
3. Supplemental samples to examine data outliers
4. Supplemental minimum samples

Each of these sample types is described in Appendix B, which also specifies the sampling strategy for each population. The sampling specifications detail each of the samples to be drawn, including the subpopulations to be sampled, the sample size, and the sample type. The validation software automatically selects samples from the validation files, based on the specifications in Appendix B, and displays the sampled data on a validation worksheet.

Random samples are used for the most important performance and reporting data elements. Depending on the type of random sample, the Sun-based 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 above five percent or below five percent.

Task 2: Conducting Data Element Validation

In DEV, the state validator applies a series of logic tests to each sampled transaction, using the data fields, values, and codes from the claimant benefits history database. These logic tests compare data to their most definitive source documentation to test adherence to state practices and federal definitions. The state-specific step-by-step instructions in Module 3 provide complete documentation on how to validate each data element using system data (either pre-printed on the validation sample worksheet or from the review of the database screens) to ensure that the state=s reporting programs are functioning correctly. For a small number of samples, it is also necessary to review supporting documentation in the form of paper files.

Although the steps identify the location of all necessary data in each state=s system, all states perform the identical logic tests against federal reporting guidelines. Performing identical logic tests ensures uniform and consistent validation and reporting practices across states. This comprehensive and detailed state-specific reporting documentation protects states and the national office from loss of expertise due to staff turnover and permits flexibility in staffing the validation effort. The instructions include a structure for recording comments and definitional problems that enables 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.

The state validators follow each step in the DEV instructions in Module 3 to validate discrete transaction characteristics such as mail date, program type, etc. There are 44 benefits validation steps such as payment type, claim type, program type, etc. Many of the validation steps are divided into substeps for different types of payments, claims and programs. For example the compensation type step has substeps for first payment, continued payment, adjusted payment and CWC payments. The claim type step has substeps for new claims, additional claims, transitional claims and CWC claims. The program type step has substeps for UI, UCFE, UCX and joint UI/Federal programs.

Appendix E provides formats for the DEV worksheets created by the Sun-based DV software. The worksheets contain the data for the sampled transactions and a row for total transactions and errors. The worksheets also guide the validator to the appropriate steps in Module 3 for validating each relevant data element on the worksheet. The validator clicks on the checkbox for each element to indicate whether the element passed or failed the validation based on the criteria in Module 3.

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 click the “Pass” checkbox when there is no value in a field because a data element is either not applicable or optional.

The supporting documentation used for validating the sampled transactions will come from one of two sources:

1. **Database Screens.** For populations where the definitive source is the database, it is necessary to review the data on the worksheet against the database screens or against printouts from the screens.
2. **Supporting Files/Paper Documentation.** For populations where the definitive source is a paper record or file, it is also necessary to validate the data on the worksheet against the paper audit trail. This methodology will be used for validation of non-monetary redeterminations, appeals, and overpayments.¹

Task 3: DEV Reports

The software generates DEV reports that summarize and evaluate errors identified during DEV. The software automatically records errors on the DEV report for each pass/fail group. Appendix F provides examples of the DEV reports for each population. A random sample is considered valid if the error rate is 5 percent or less. Error rates are not calculated for supplemental samples.

Consequently, results from random and supplemental samples of the same population are not combined because random samples indicate error rates for the universe of transactions, whereas supplemental samples identify only the existence of errors.

The DEV reports are also used for reporting data element validation results to the UI national office. The software tutorial provides information about submitting reports.

Because nonmonetary determinations data validation will be performed in conjunction with the BTQ quality review, the DEV report will be constructed from the subset of quality review data elements used for validation by the UI national office.

¹Non-monetary determinations are validated as a part of the quality review (see ETA HB 301), so it is not necessary to review these paper files during validation.

Task 4: Tolerance Levels

For benefits validation, pass/fail determinations will be made using the 17 random sample groups. For these groups, if the random sample fails to pass validation not only must the population be revalidated within a year but also the report validation must be repeated because the counts can not be considered reliable (UIPL 22-05). If the random sample passes but the related RV group fails, only the RV group for that population must be revalidated the following year.

Task 5: Corrective Action Plan (CAP)

Validation is not an end in itself; it is a means toward correct reporting. 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 submit a Corrective Action Plan (CAP) to its ETA Regional Office in accordance with the annual State Quality Service Plan (SQSP). The CAP should contain the following information on every validated report element found to exceed the validation tolerance:

- Report element(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. The CAP should be submitted within one month of submitting the DEV Report. CAPs are considered additions to the SQSP. If the state is conducting the validation in segments, e.g., benefits first, then tax, and a CAP is required based on a segment’s validation results, the CAP should be prepared within a month of the completion of that segment.

Revalidation. Every element in error by more than the tolerance must be revalidated the following year. A revalidation confirms the success of the corrective action or, if the state has not completed corrective action, identifies 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 state's Data Validation Summary/Analytical Report and included in the CAP if warranted.

A CAP is also required for any state that fails to conduct the validation for either the benefits or tax programs. Full validation will be repeated at regular intervals or after changes to the state's system have been made.

B. EXAMPLES

Figure 2.1 is an example of a worksheet for a sample of lower authority appeals decisions in population 8. This is only a portion of the worksheet. The worksheet displays the same data (the characteristics of the transactions) that appear on the validation file, except that the worksheet lists only sampled transactions. The worksheet also contains a check box to the right of each data element to be validated in which the validator indicates whether the data element passed ('PASS') or failed ('FAIL') the validation check.

Figure 2.2 provides an example of a DEV Report. The report displays the number of cases in error and the percentage of errors for each sample.

FIGURE 2.1

DATA ELEMENT VALIDATION WORKSHEET

http://uisqa2.uis.doleta.gov - Sample Validation for Population 8 Sample ID - 800 Type = Random - Microsoft Internet Explorer

Sample Validation for Population 8
800 (Lower Authority Appeals Decisions) - Random

Check All <input type="checkbox"/>	Row #	OBS	Subpop	1 (Step 1E) SSN	2 (Step 1E) Docket #	Pass/Fail	3 (Step 2) Type UI Program	Pass/Fail	4 (Step 4) Program Type	Pass/Fail	5 (Step 5) Intra/Inter	Pass/Fail	6 (Step 24A) Low Auth Appeal	Pass/Fail	7 (Step 25A) (Step 25E) Single/Mini	Pass/Fail
<input type="checkbox"/>	1	322	8.3		1834704001	<input type="checkbox"/>	REGULAR UI-UI	<input type="checkbox"/>	UI-MN	<input type="checkbox"/>	INTRASTATE-0145	<input type="checkbox"/>	LOWER-AP	<input type="checkbox"/>	S-0000	<input type="checkbox"/>
<input type="checkbox"/>	2	657	8.10		1775804001	<input type="checkbox"/>	REGULAR UI-UI	<input type="checkbox"/>	UI-MN	<input type="checkbox"/>	INTRASTATE-0171	<input type="checkbox"/>	LOWER-AP	<input type="checkbox"/>	S-0000	<input type="checkbox"/>
<input type="checkbox"/>	3	244	8.3		1747604001	<input type="checkbox"/>	REGULAR UI-UI	<input type="checkbox"/>	UI-MN	<input type="checkbox"/>	INTRASTATE-0161	<input type="checkbox"/>	LOWER-AP	<input type="checkbox"/>	S-0000	<input type="checkbox"/>
<input type="checkbox"/>	4	819	8.11		1703104002	<input type="checkbox"/>	REGULAR UI-UI	<input type="checkbox"/>	UI-MN	<input type="checkbox"/>	INTRASTATE-0141	<input type="checkbox"/>	LOWER-AP	<input type="checkbox"/>	S-0000	<input type="checkbox"/>
<input type="checkbox"/>	5	936	8.12		1754904001	<input type="checkbox"/>	REGULAR UI-UI	<input type="checkbox"/>	UI-MN	<input type="checkbox"/>	INTRASTATE-0171	<input type="checkbox"/>	LOWER-AP	<input type="checkbox"/>	S-0000	<input type="checkbox"/>
<input type="checkbox"/>	6	1336	8.35		1809104001	<input type="checkbox"/>	REGULAR UI-UI	<input type="checkbox"/>	UI-MN	<input type="checkbox"/>	INTRASTATE-0100	<input type="checkbox"/>	LOWER-AP	<input type="checkbox"/>	S-0000	<input type="checkbox"/>
<input type="checkbox"/>	7	843	8.11		1714804002	<input type="checkbox"/>	REGULAR UI-UI	<input type="checkbox"/>	UI-MN	<input type="checkbox"/>	INTRASTATE-0146	<input type="checkbox"/>	LOWER-AP	<input type="checkbox"/>	S-0000	<input type="checkbox"/>
<input type="checkbox"/>	8	982	8.12		1711404001	<input type="checkbox"/>	REGULAR UI-UI	<input type="checkbox"/>	UI-MN	<input type="checkbox"/>	INTRASTATE-0146	<input type="checkbox"/>	LOWER-AP	<input type="checkbox"/>	S-0000	<input type="checkbox"/>

Start | ETA Intranet Portal - Mic... | View Samples for Populat... | http://uisqa2.uis.dole...

FIGURE 2.2
DEV REPORT

Data Element Validation Report
Population 8

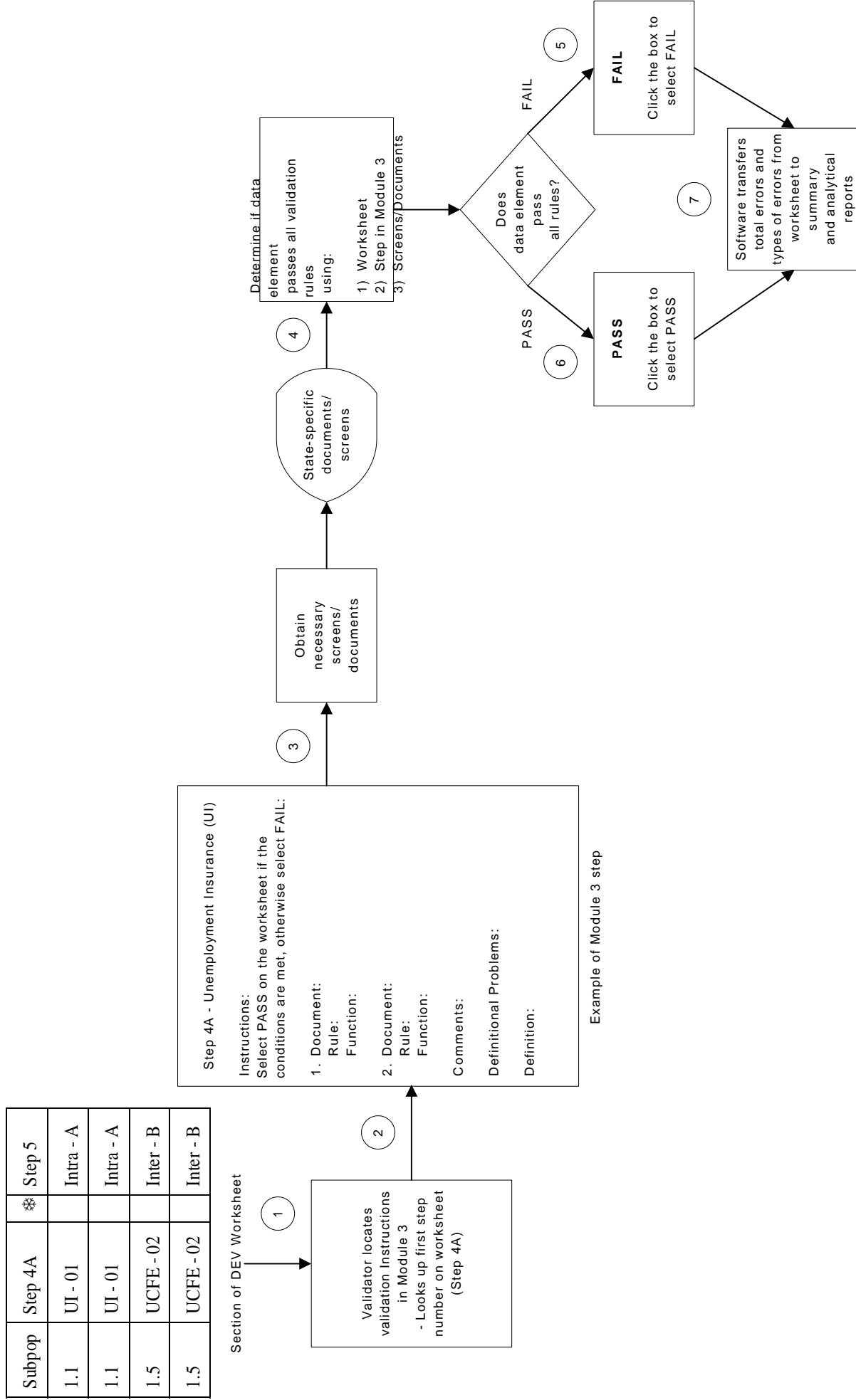
Sample ID	800	810	820
Sample Name	Lower Authority Appeals Decisions	Lower Authority Appeals Decisions	Lower Authority Appeals Decisions
Sample Type	Random	Missing	Outliers
Size	60/200	<= 21	10
Universe (subpops)	8.1 - 8.55 exclude 8.53	8.33 - 8.55 exclude 8.53	8.1 - 8.55 exclude 8.53
Cases Reviewed	0	0	0
Cases in Error	0	0	0
% Error	0%	0%	0%
Pass/Fail		N/A	N/A
Invalid Decisions			
1&2 (Step 1E) Match			
	Cases in Error	800	810
	% Error	0	0
		0%	0%
6 (Step 24A) Lower Auth Appeal			
	Cases in Error	0	0
	% Error	0%	0%
14 (Step 30A) Disposed of by Decision			
	Cases in Error	0	0
	% Error	0%	0%
Reporting Errors			
3 (Step 2) Type UI Program			
	Cases in Error	800	810
	% Error	0	0
		0%	0%

OVERVIEW OF MODULE 2 (FIGURE 2.3)

Figure 2.3 Step No.	Step Description	Who Performs Step
1	The validator uses the worksheet to locate the first relevant step in Module 3. Columns for data that are not relevant to a particular transaction will be blank, and the validator should click 'PASS'. For elements where data exist, the validator locates the step number at the top of the column. The step numbers refer to the step numbers in Module 3 of the handbook. In Figure 2.3, for the first sampled transaction in Subpopulation 1.1 the first data element is UI-01. This column directs the validator to go to Step 4A in Module 3.	Validator
2	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 401. "Definitional Problems" is used to document instances where state regulations or practices conflict with the federal definitions. The "Comments" field can be used by the validator to record notes or document issues that may be helpful for future validations.	Validator
3	The validator locates the source ADocument≅ 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
4	The validator determines if the data element being validated passes all of the validation rules using the required documents.	Validator
5	If <i>any</i> of the rules for the step fail validation, then the validator clicks the 'FAIL' check box on the worksheet for that step.	Validator
6	If the data element passes <i>all</i> of the rules, then the validator clicks the 'PASS' check box on the worksheet for that step.	Validator
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, the software generates a Data Element Validation Report which is then submitted to ETA.	Software/ Validator

FIGURE 2.3
DATA ELEMENT VALIDATION PROCEDURES

Method for validating each data element for each sampled transaction on worksheet
Assume that validator needs to validate using a benefits history screen



**MODULE 3--DATA ELEMENT
VALIDATION INSTRUCTIONS**

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 record (first row) on the DEV worksheet for the given population and then locates the first step number (i.e., Step 2) listed in the first column header of the worksheet. 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 (i.e. 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 2nd 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.

Note: Step numbers 15, 22, 29 and 43 are no longer used but have been retained in Module 3 as placeholders. These steps correspond to time lapse calculations that are now automatically validated by the software.

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					
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					

Table 3.1 (continued)

Step	Substep A	Substep B	Substep C	Substep D	Substep E	Substep F	Substep G	Substep H	Substep I	Substep J
13 - Week Ending Date of Week Paid										
14 - Payment Mail or Deposit Date										
15 - Payments Time Lapse	NOT APPLICABLE. THIS STEP IS NOT MANUALLY VALIDATED.									
16 - Nonmonetary Determination/Redetermination	Nonmonetary Determination	Nonmonetary Redetermination								
17 - Type of Determination	Single Claimant	Multiclaimant								
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	Labor Dispute (Substep K) Other Multiclaimant Issues
19 - First Week Affected by a Determination										
20 - Issue Detection Date										
21 - Notice Date										
22 - Nonmonetary Determination Time Lapse	Detection Date to Notice Date	First Week Affected to Detection Date	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	Multiclaimant								
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 - Appeal Time Lapse	Appeal Time Lapse	Appeal Case Age Calculation	NOT APPLICABLE. THIS STEP IS NOT MANUALLY VALIDATED.							

DATA ELEMENT VALIDATION INSTRUCTIONS

MODULE 3

Step	Substep A	Substep B	Substep C	Substep D	Substep E	Substep F	Substep G	Substep H	Substep I	Substep J
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)	SESA Error	Employer Error	Claimant Error	Other Cause	Penalty			
35 - Overpayment Detection Activities	Wage/Benefit Crossmatch	IB Crossmatch	New Hires System	Multi-Claimant Scheme Systems	Special Project	Other Controllable Overpayment Detection Activities	Noncontrollable Overpayment Detection Activities			
36 - Overpayment 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								
41 - Outstanding Overpayment										
42 - Balance of Overpayment	UI	Federal								
43 - Overpayment Aging Calculation and Intervals	NOT APPLICABLE. THIS STEP IS NOT MANUALLY VALIDATED									
44 - Active Collection	Yes or Blank	No - Not in Active Collection	Dropped							

TABLE 3.2

RELEVANT DATA ELEMENT VALIDATION STEPS, BY POPULATION

Population	Relevant Data Element Validation Steps^a
1 - Weeks Claimed	1, 2, 4, 5, 11
2 - Final Payments	1, 2, 4, 7, 9, 10
3/3a - Claims	1, 2, 3, 4, 5, 6, 7, 8
4 - Payments	1, 2, 4, 5, 10, 12, 13, 14
5 - Nonmonetary Determinations/Redeterminations	1, 2, 4, 5, 16, 17, 18, 19, 20, 21, 23
6 - Appeals Filed, Lower Authority	1, 24, 25, 32
7 - Appeals Filed, Higher Authority	1, 24, 25, 32
8 - Appeals Decisions, Lower Authority	1, 2, 4, 5, 24, 25, 26, 27, 28, 30, 31, 32
9 - Appeals Decisions, Higher Authority	1, 2, 4, 5, 24, 25, 26, 27, 28, 30, 32
10 - Appeals Pending, Lower Authority	1, 24, 30, 32
11 - Appeals Pending, Higher Authority	1, 24, 30, 32
12 - Overpayments Established	1, 4, 33, 34, 35, 36, 37
13 - Overpayment Reconciliation	1, 4, 33, 38, 39, 40
14 - Overpayment Case Aging	1, 4, 33, 36, 41, 42, 44

^aThe appropriate substeps for each population are specified on the population tables in Appendix A.

A. PURPOSE

The purpose of the quality sample validation is to ensure that the samples drawn for the Benefits Timeliness and Quality (BTQ) review of nonmonetary determinations and appeals quality are the correct size and are randomly selected from the correct populations. Sample sizes are set annually beginning with the first quarter of the calendar year. They are dependent on the volume of nonmonetary determinations reported to the Department of Labor on the ETA 9052 reports for the preceding calendar year, and the number of lower authority appeals reported on the ETA 9054 reports.

There are two basic approaches to selecting the quality samples. In a conventional interval sample, the programmer (or a utility program) divides the size of the desired sample (e.g., 30) into the size of the population (e.g., 300) and derives the sample interval (every 10th observation). The programmer or the utility program then selects a random start point between 1 and 10 and selects every 10th case from that point. Another approach to sampling is to 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 a review of the sample against the source file or a review of the utility program specifications.

Validation of the samples selected for nonmonetary determinations and lower authority appeals quality must be conducted for the first calendar quarter's samples, at a minimum. Validation must occur *before* cases are assigned to the quality review staff. BTQ samples will be validated every third year, unless the universe from which the sample is drawn does not match the validation files within $\pm 2\%$; in this situation, the review must be repeated the following year.

If the sample selection procedures satisfy the validation criteria contained in this module, then state staff may proceed with the distribution of the cases for the BTQ review. If the sample selection procedures do not satisfy the validation criteria contained in this module, then IS staff must be consulted. The sampling procedure must be fixed and rerun until validation indicates it is correct. Assignment of the cases can then proceed accordingly.

B. MATERIALS

IS staff should obtain the following materials:

1: Copy of the Universe File of Nonmonetary Determinations for the Quarter

(For nonmonetary determination quality sample)

2: Copy of the Universe File of Appeals for the Quarter

(For appeals quality sample)

C. METHODOLOGY

Nonmonetary Determination Quality Sample

To validate the selection of the nonmonetary determination quality sample, the validator must complete the following six tasks:

Task 1:

Review the total number of nonmonetary determinations reported on the ETA 9052 report for the preceding calendar year. If the total is 100,000 or more, then the sample size is 100 (50 separations and 50 nonseparations). If the total is fewer than 100,000, then the sample size is 60 (30 separations and 30 nonseparations).

Task 2:

Compare the total count of the nonmonetary universe for the quarter with the count reported on the ETA 9052 for the three-month period. This comparison validates that the correct universe was used.

Task 3:

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.

Task 4:

Obtain a copy of the nonmonetary universe file for the quarter with the observation number and SSN of each case.

Task 5:

If an interval sample was drawn, check to see that the first case was randomly selected and that the proper cases were selected (e.g., if the random start was 10 and the interval was every 40th case, check to see that 50, 90, 130, and so on were selected). The validator can identify the sampled cases from the quality review documentation and can compare the sampled cases with the observations in the universe file by matching on observation number and SSN.

Task 6:

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. The validator can compare this order with the way the file was ordered prior to randomization to ensure that the file was randomly reordered.

Appeals Quality Sample

To validate the selection of the appeals quality sample, the validator must complete the following six tasks:

Task 1:

Review the total number of lower authority appeals decisions for the preceding calendar year. If the total reported is 40,000 or more, then the sample size is 40 decisions per quarter. The sample size is 20 decisions per quarter if the total reported is fewer than 40,000.

Task 2:

Compare the total count with the count reported on the ETA 9054 report for the three-month period. If the programmer who selected the sample deleted appeals decisions representing withdrawals, dismissals, and no shows from the sample universe, then the quality universe should be smaller than the count reported on the ETA 9054 report. The validator can examine a printout of the sample universe and can examine the code used by the programmer to distinguish between decisions with reviewable hearings and decisions representing withdrawals, dismissals, and no shows. If the sum of the two groups matches the count reported on the ETA 9054 report for the three-month period, then the correct universe was used.

Task 3:

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.

Task 4:

Obtain a copy of the appeals universe file for the quarter with the observation number and SSN of each case.

Task 5:

If an interval sample was drawn, check to see that the first case was randomly selected and that the proper cases were selected (e.g., if the random start was 10 and the interval was every 40th case, check to see that 50, 90, 130, and so on were selected). The validator can identify the sampled cases from the quality review documentation and can compare the sampled cases with the observations in the universe file by matching on observation number and SSN.

Task 6:

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. The validator can compare this order with the way the file was ordered prior to randomization to ensure that the file was randomly reordered.

D. RESULTS

If the sampling method was not correct or was not implemented properly, the validator should discuss the problems with the programmer and determine what corrective actions are needed. If the programmer confirms that the process was incorrect, the validator should record the problems on the DEV reports for the two samples, which are included in Appendix F.

If the sample is not random, the sample must be redrawn and must pass validation before the samples can be evaluated. Because validation of the sample must precede the BTQ review, validation must occur as soon as the appropriate sample can be drawn.

Results of the quality review validation should be documented in a Word file and sent via email to the National Office. The Sun-based software does not include a screen for forwarding the results of the review.

APPENDIX A
UI BENEFITS
REPORT VALIDATION SPECIFICATIONS

EXPLANATION OF UI BENEFITS DATA FORMATS

There are 5 types of data formats referred to in Appendix A and Appendix I.

1. **Required.** These fields cannot be blank. They may be mandatory dates and dollar values.
2. **Text.** These fields have text values that must be entered, such as UI, partial, voluntary quit, etc. All of the allowable generic text values for each field are listed in the record layout. The generic text values must be followed by a dash and the corresponding state-specific value.
3. **Optional** (these fields are gray in Appendix A). 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 monetary date where the subpopulation is 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 where the presence of data other than “0” indicates an error.

Some values are abbreviated in the record layouts (Appendix I) but are shown in the report validation specifications (Appendix A) in their entirety for informational purposes.

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 review the other rules in that step in order to develop the required validation logic.

Unique ID is required for populations 2, 4, 6, 7, 8, 9, 10, and 11 and optional for populations 5, 12, 13, and 14 because not all states maintain the indicators for these four populations. There is no unique ID field for populations 1 and 3.

Federal Wages are required in certain situations. In population 4, for Joint UI/Federal payments UCFE amount and/or UCX amount is required. In population 4 for UCFE or UCFE/UCX payments, UCX amount is only required for joint UCFE and UCX claims. In populations 12, 13 and 14 federal amount is required for UI overpayments when there are also federal wages.

POPULATION TABLES

TABLE NUMBER	DESCRIPTION	PAGE
1	Weeks Claimed	A.4
2	Final Payments	A.7
3/3A	Claims and Claim Status	A.11
4	Payments/Weeks Compensated	A.25
5	Adjudications and Redeterminations	A.33
6	Appeals Filed - Lower	A.47
7	Appeals Filed - Higher	A.48
8	Appeals Decisions - Lower	A.50
9	Appeals Decisions - Higher	A.60
10	Pending Appeals - Lower	A.66
11	Pending Appeals - Higher	A.68
12	Overpayments Established - Sorted by Causes	A.71
13	Overpayment Reconciliation Transactions	A.76
14	Aged Overpayments	A.84

VALIDATION POPULATION 1

WEEKS CLAIMED - WEEK WAS CLAIMED DURING REPORTING/VALIDATION PERIOD

Subpop #	Report, Line, and Column	1 (Step 1A) (Rule 2) Claim Week- ending Date	2 (Step 1A) (Rule 1) SSN	3 (Step 2) Type of UI Program	4 (Step 4) Program Type	5 (Step 5) Intrastate/Interstate	6 (Step 11) (Rule 1) Date Week Claimed	7 (Step 11) (Rule 2) Monetarily Eligible or Pending	8 (Step 11) (Rule 3) Earnings	9 (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			Required
1.8	5159A-202-11	Required	Required	Regular UI	UCFE	Interstate Filed from Agent State*	Required			Required
1.9	5159A-203-11	Required	Required	Regular UI	UCX	Interstate Filed from Agent State*	Required			Required

*These values are abbreviated in the record layout data format specifications (see Appendix I) but are shown here in their entirety for informational purposes.

**RELATIONSHIP BETWEEN WEEKS CLAIMED SUBPOPULATIONS
IN POPULATION 1 AND THE ETA 5159A REPORT**

		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 1 (Step 1A), Week Claimed, is the benefit week ending (BWE) date of the week being claimed.
 - B) Column 6 (Step 11), Date Week Claimed, is the date that the state processes the weekly certification.
2. Column 7 (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 7, validators will check all of 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 9 (Step 11, Rule 3), WBA: Use the WBA that is in effect during the week claimed for this population.

VALIDATION POPULATION 2

FINAL PAYMENTS

Subpop #	Report, Line, and Column	1 (Step 1C) (Rule 1)	2 (Step 1C) (Rule 2)	3 (Step 2)	4 (Step 4)	5 (Step 9A) (Step 9B)	6 (Step 7)	7 (Step 9A) Actual Weeks of Duration	8 (Step 9B) (Step 9C) Maximum Weeks of Duration	9 (Step 10C) (Rule 3) Mail Date of Final Payment	10 (Step 10C) (Rule 2) Balance
		SSN	Check Number Unique ID	Type of UI Program	Program Type	MBA	WBA				
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 ^a	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

^aThere 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.

**RELATIONSHIP BETWEEN FINAL PAYMENTS SUBPOPULATIONS
IN POPULATION 2 AND THE ETA 218B REPORT**

SECTION B. ACTUAL DURATION FOR CLAIMANTS WHO RECEIVED FINAL PAYMENTS

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

**RELATIONSHIP BETWEEN FINAL PAYMENTS SUBPOPULATIONS
IN POPULATION 2 AND THE ETA 5159B REPORT**

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 is a monthly report
- B) The 218 is a quarterly report

Validate a quarter by taking three 5159 monthly reports and adding them up to equal the 218 for the quarter. There may be some dynamic data (values that change during the time period). Therefore, the reported counts and validation counts may not match exactly.

It is important that the correct reported counts be entered into the Sun-based DV software for the same period. For example, if you validate the 218 for the first quarter (January – March), you must enter the sum of the 5159 report totals for January, February, and March.

2. Columns 5 and 6 (Step 7), WBA and MBA: Use the final MBA and WBA on the claim for this population.
3. Column 7 (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 is 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 are not validated. Only the totals are validated.

VALIDATION POPULATION 3

**CLAIMS - CLAIMANT ELIGIBILITY
CLAIM FILED DATE OR ORIGINAL MONETARY DETERMINATION DATE
FOR CLAIM FALLS WITHIN REPORTING/VALIDATION PERIOD**

Subpop #	Report, Line, and Column	1 (Step 1B) SSN	2 (Step 3A) (Rules 1 & 6) (Step 3C) (Rule 1) Date Claim Filed/ IB-4 Sent	3 (Step 2) Type of UI Program	4 (Step 3) Type of Claim	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 6A) (Step 6B) Date of Original Monetary ^a	8 (Step 6C) (Step 6D) Sufficient/ Insufficient/ Combined Wages	9 (Step 7) WBA	10 (Step 8A) (Step 8B) MBA	11 (Step 8A) Potential Weeks of Duration ^b	12 (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 ^c	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
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

VALIDATION POPULATION 3

**CLAIMS - CLAIMANT ELIGIBILITY
CLAIM FILED DATE OR ORIGINAL MONETARY DETERMINATION DATE
FOR CLAIM FALLS WITHIN REPORTING/VALIDATION PERIOD**

Subpop #	Report, Line, and Column	1 (Step 1B) SSN	2 (Step 3A) (Rules 1 & 6) (Step 3C) (Rule 1) Date Claim Filed/ IB-4 Sent	3 (Step 2) Type of UI Program	4 (Step 3) Type of Claim	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 6A) (Step 6B) Date of Original Monetary ^a	8 (Step 6C) (Step 6D) Sufficient/ Insufficient/ Combined Wages	9 (Step 7) WBA	10 (Step 8A) (Step 8B) MBA	11 (Step 8A) Potential Weeks of Duration ^b	12 (Step 8B) Potential Weeks Maximum Duration
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 ^c	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*						
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*						

VALIDATION POPULATION 3

**CLAIMS - CLAIMANT ELIGIBILITY
CLAIM FILED DATE OR ORIGINAL MONETARY DETERMINATION DATE
FOR CLAIM FALLS WITHIN REPORTING/VALIDATION PERIOD**

Subpop #	Report, Line, and Column	1 (Step 1B) SSN	2 (Step 3A) (Rules 1 & 6) (Step 3C) (Rule 1) Date Claim Filed/ IB-4 Sent	3 (Step 2) Type of UI Program	4 (Step 3) Type of Claim	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 6A) (Step 6B) Date of Original Monetary ^a	8 (Step 6C) (Step 6D) Sufficient/ Insufficient/ Combined Wages	9 (Step 7) WBA	10 (Step 8A) (Step 8B) MBA	11 (Step 8A) Potential Weeks of Duration ^b	12 (Step 8B) Potential Weeks Maximum Duration
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
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

VALIDATION POPULATION 3

**CLAIMS - CLAIMANT ELIGIBILITY
CLAIM FILED DATE OR ORIGINAL MONETARY DETERMINATION DATE
FOR CLAIM FALLS WITHIN REPORTING/VALIDATION PERIOD**

Subpop #	Report, Line, and Column	1 (Step 1B) SSN	2 (Step 3A) (Rules 1 & 6) (Step 3C) (Rule 1) Date Claim Filed/ IB-4 Sent	3 (Step 2) Type of UI Program	4 (Step 3) Type of Claim	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 6A) (Step 6B) Date of Original Monetary ^a	8 (Step 6C) (Step 6D) Sufficient/ Insufficient/ Combined Wages	9 (Step 7) WBA	10 (Step 8A) (Step 8B) MBA	11 (Step 8A) Potential Weeks of Duration ^b	12 (Step 8B) Potential Weeks Maximum Duration
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 ^c	Must be blank	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
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
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				

VALIDATION POPULATION 3

**CLAIMS - CLAIMANT ELIGIBILITY
CLAIM FILED DATE OR ORIGINAL MONETARY DETERMINATION DATE
FOR CLAIM FALLS WITHIN REPORTING/VALIDATION PERIOD**

Subpop #	Report, Line, and Column	1 (Step 1B) SSN	2 (Step 3A) (Rules 1 & 6) (Step 3C) (Rule 1) Date Claim Filed/ IB-4 Sent	3 (Step 2) Type of UI Program	4 (Step 3) Type of Claim	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 6A) (Step 6B) Date of Original Monetary ^a	8 (Step 6C) (Step 6D) Sufficient/ Insufficient/ Combined Wages	9 (Step 7) WBA	10 (Step 8A) (Step 8B) MBA	11 (Step 8A) Potential Weeks of Duration ^b	12 (Step 8B) Potential Weeks Maximum Duration
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				

VALIDATION POPULATION 3

**CLAIMS - CLAIMANT ELIGIBILITY
CLAIM FILED DATE OR ORIGINAL MONETARY DETERMINATION DATE
FOR CLAIM FALLS WITHIN REPORTING/VALIDATION PERIOD**

Subpop #	Report, Line, and Column	1 (Step 1B) SSN	2 (Step 3A) (Rules 1 & 6) (Step 3C) (Rule 1) Date Claim Filed/ IB-4 Sent	3 (Step 2) Type of UI Program	4 (Step 3) Type of Claim	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 6A) (Step 6B) Date of Original Monetary ^a	8 (Step 6C) (Step 6D) Sufficient/ Insufficient/ Combined Wages	9 (Step 7) WBA	10 (Step 8A) (Step 8B) MBA	11 (Step 8A) Potential Weeks of Duration ^b	12 (Step 8B) Potential Weeks Maximum Duration
NEW CLAIMS FILED IN THE PRIOR QUARTER (3.40 through 3.45) ^d													
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 ^c	Must be blank	Must be blank or 0	Must be blank or 0	Must be blank

VALIDATION POPULATION 3

**CLAIMS - CLAIMANT ELIGIBILITY
CLAIM FILED DATE OR ORIGINAL MONETARY DETERMINATION DATE
FOR CLAIM FALLS WITHIN REPORTING/VALIDATION PERIOD**

Subpop #	Report, Line, and Column	1 (Step 1B) (Step 1B) SSN	2 (Step 3A) (Rules 1 & 6) (Step 3C) (Rule 1) Date Claim Filed/ IB-4 Sent	3 (Step 2) (Step 2) Type of UI Program	4 (Step 3) (Step 3) Type of Claim	5 (Step 4) (Step 4) Program Type	6 (Step 5) (Step 5) Intrastate/ Interstate	7 (Step 6A) (Step 6B) Date of Original Monetary ^a	8 (Step 6C) (Step 6D) Sufficient/ Insufficient/ Combined Wages	9 (Step 7) (Step 7) WBA	10 (Step 8A) (Step 8B) MBA	11 (Step 8A) (Step 8A) Potential Weeks of Duration ^b	12 (Step 8B) (Step 8B) Potential Weeks Maximum Duration
		ENTERING SELF-EMPLOYMENT PROGRAM (3.46)											
		1) Minimum sample: First two cases											
3.46	5159A-201-13	Required	Within Quarter	Regular UI	Entering Self-Employment								

^aThese values are abbreviated in the record layout data format specifications (see Appendix I) but are shown here in their entirety for informational purposes.

^bFor subpopulations 3.34 through 3.39, "original monetary" refers to the first monetary determination/redetermination using wages from more than one state.

^cObservations reported in all populations which require the number of weeks of potential duration will be sorted by the number of weeks and subtitled by the range of weeks.

^dThis situation will only occur when the State does not automatically establish a new benefit year for claimants who are monetarily eligible for benefits.

^eThese are new or transitional claims filed in a prior quarter. States should use the same federal generic value of "Prior Old New Claim" for either type in the Population 3 extract file.

VALIDATION POPULATION 3a

**CLAIMS - CLAIMANT ELIGIBILITY
CLAIM FILED DATE OR ORIGINAL MONETARY DETERMINATION DATE
FOR CLAIM FALLS WITHIN REPORTING/VALIDATION PERIOD**

Subpop #	Report, Line, and Column	1 (Step 1B) SSN	2 (Step 3B) (Rule 1) Date Claim Filed	3 (Step 2) Type of UI Program	4 (Step 3B) (Rule 2) Type of Claim	5 (Step 4) Program Type	6 (Step 5) Intrastate/Interstate	7 (Step 3B) (Rule 3) Unclaimed Week	8 (Step 3B) (Rule 4) Separation Date	9 (Step 3B) (Rule 5) Last Employer	10 (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 I) but are shown here in their entirety for informational purposes.

**RELATIONSHIP BETWEEN CLAIMS SUBPOPULATIONS
IN POPULATION 3 AND THE ETA 5159A AND 586A REPORTS**

ETA 5159A 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

ETA 586A 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

**RELATIONSHIP BETWEEN NEW UI CLAIMS SUBPOPULATIONS
IN POPULATION 3 AND THE ETA 218 REPORT**

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		Number at Maximum Duration (19)	Average Weeks Duration ^a (20)
		Less than 26 Weeks (8-13)	MAXIMUM WEEKS OF DURATION		
101	Potential	3, 5, 10, 12, 27, 29, 42, 44	26-27 Weeks (14)	2, 4, 9, 11, 26, 28, 41, 43	Average Calculation from Total Column for Subpopulations 2-5, 9-12, 26-29, and 41-44
103	Potential			2, 4, 9, 11, 26, 28, 41, 43	Average Weeks Duration ^a (20)

^aThis item is not validated. It is represented here for informational purposes only.

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 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 218.

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

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

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 218 report (see the tables on the previous page for the relationship between claims populations and cells on the 5159 and 218 reports).

UCFE and UCX claims are included only on the 5159 report and not on the 218 report. Therefore, columns 7 through 12 are optional for UCFE and UXC 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 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 3.32 through 3.36, depending on their monetary status.

3. Reporting Criteria

5159 Report Criteria and procedures for building claims extract file:

- The date the claim was filed or processed drives the reporting on the 5159.
- Assign a claim type category (new, transitional, additional) and sort into the categories in column 3.
- Assign an intrastate or interstate category based on the liable and agent state(s) and sort into the categories in column 6.
- Assign a program type (UI, UCFE, 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 5. 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.

Mapping of Claim Types to 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	
Additional		X	X	X		X
Reopen			X	X		

218 Report Criteria and procedures for extracting information from monetary determinations:

- X The date of the original monetary determination drives the reporting on the 218.
- X 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 8.

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

The software transfers the count of interstate additional claims from Population 3a to Population 3 after both are loaded. The reported count for Lines 101–103 (7) will be higher than the validation count for Population 3 until Population 3a counts are added.

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 columns 7 – 12 (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 7 – 12 (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 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 5159 and the 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.

VALIDATION POPULATION 4 PAYMENTS/WEEKS COMPENSATED PAYMENT MAIL DATE FALLS WITHIN REPORTING/VALIDATION PERIOD

Subpop #	Report Line and Column	1 (Step 1C) (Rule 1)	2 (Step 1C) (Rule 2)	3 (Step 2)	4 (Step 4)	5 (Step 5)	6 (Step 10A) (Step 10B) (Step 10F) (Step 10G)	7 (Step 10D) (Step 10E)	8 (Step 10D) (Rule 2) (Step 10E) (Rule 2)	9 (Step 10D) (Rule 3) (Step 10E) (Rule 3)	10 (Step 12A)	11 (Step 12B)	12 (Step 12C)	13 (Step 12D)	14 (Step 12E)	15 (Step 13)	16 (Step 14)
		SSN	Check Number Unique ID	Type of UI Program	Program Type	Intrastate/ Interstate	Type of Compensation	Partial/ Total Weeks of Unemployment	Earnings	WBA	UI Amount	UCFE Amount	UCX Amount	CWC Amount	Self Employ Amount	Week End Date	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-AII-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-AII-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-AII-C2	Required	Required	Regular UI	Joint UI/Federal	Intrastate	First Payment	Total	≥ 0	> 0	> 0	> 0 if Col. 12 = 0 ^a	> 0 if Col. 11 = 0 ^a	Must be blank or 0	Must be blank or 0	Required	Required
4.4	5159B-301 (14-17) 5159B-302 (14-17) 9050-AII-C6	Required	Required	Regular UI	Joint UI/Federal	Interstate	First Payment	Total	≥ 0	> 0	> 0	> 0 if Col. 12 = 0 ^a	> 0 if Col. 11 = 0 ^a	Must be blank or 0	Must be blank or 0	Required	Required
4.5	5159B-301 (17-18) 5159B-302 (17-18) 9050-AII-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-AII-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
4.7	5159B-301 (17, 19) 5159B-302 (17, 19) 9050-AII-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-AII-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-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-Part-C2	Required	Required	Regular UI	Joint UI/Federal	Intrastate	First Payment	Partial	≥ 0	> 0	> 0	> 0 if Col. 12 = 0 ^a	> 0 if Col. 11 = 0 ^a	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. 12 = 0 ^a	> 0 if Col. 11 = 0 ^a	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

VALIDATION POPULATION 4
PAYMENTS/WEEKS COMPENSATED
PAYMENT MAIL DATE FALLS WITHIN REPORTING/VALIDATION PERIOD

Subpop #	Report, Line, and Column	1 (Step 1C) (Rule 1)	2 (Step 1C) (Rule 2)	3 (Step 2)	4 (Step 4)	5 (Step 5)	6 (Step 10A) (Step 10B) (Step 10F) (Step 10G)	7 (Step 10D) (Step 10E)	8 (Step 10D) (Rule 2) (Step 10E) (Rule 2)	9 (Step 10D) (Rule 3) (Step 10E) (Rule 3)	10 (Step 12A)	11 (Step 12B)	12 (Step 12C)	13 (Step 12D)	14 (Step 12E)	15 (Step 13)	16 (Step 14)
		SSN	Check Number Unique ID	Type of UI Program	Program Type	Intrastate/Interstate	Type of Compensation	Partial/ Total Weeks of Unemployment	Earnings	WBA	UI Amount	UCFE Amount	UCX Amount	CWC Amount	Self Employ Amount	Week End Date	Mail Date
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
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. 11 = 0 ^a	> 0 if Col. 11 = 0 ^a	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. 12 = 0 ^a	> 0 if Col. 12 = 0 ^a	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
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

VALIDATION POPULATION 4
PAYMENTS/WEEKS COMPENSATED
PAYMENT MAIL DATE FALLS WITHIN REPORTING/VALIDATION PERIOD

Subpop #	Report Line and Column	1 (Step 1C) (Rule 1)	2 (Step 1C) (Rule 2)	3 (Step 2)	4 (Step 4)	5 (Step 5)	6 (Step 10A) (Step 10B) (Step 10F) (Step 10G)	7 (Step 10D) (Step 10E)	8 (Step 10D) (Rule 2) (Step 10E) (Rule 2)	9 (Step 10D) (Rule 3) (Step 10E) (Rule 3)	10 (Step 12A)	11 (Step 12B)	12 (Step 12C)	13 (Step 12D)	14 (Step 12E)	15 (Step 13)	16 (Step 14)
		SSN	Check Number Unique ID	Type of UI Program	Program Type	Intrastate/Interstate	Type of Compensation	Partial/ Total Weeks of Unemployment	Earnings	WBA	UI Amount	UCFE Amount	UCX Amount	CWC Amount	Self-Employ Amount	Week End Date	Mail Date
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. 12 = 0 ^a	> 0 if Col. 11 = 0 ^a	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. 12 = 0 ^a	> 0 if Col. 11 = 0 ^a	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
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	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	Required
4.35	5159B-302 (14, 15, 17)	Required	Required	Regular UI	Joint UI/Federal	Intrastate	Adjustment	Total	≥ 0	> 0	> 0	> 0 if Col. 12 = 0 ^a	> 0 if Col. 11 = 0 ^a	Must be blank or 0	Must be blank or 0	Required	Required
4.36	5159B-302 (14-17)	Required	Required	Regular UI	Joint UI/Federal	Interstate	Adjustment	Total	≥ 0	> 0	> 0	> 0 if Col. 12 = 0 ^a	> 0 if Col. 11 = 0 ^a	Must be blank or 0	Must be blank or 0	Required	Required

VALIDATION POPULATION 4
PAYMENTS/WEEKS COMPENSATED
PAYMENT MAIL DATE FALLS WITHIN REPORTING/VALIDATION PERIOD

Subpop #	Report Line, and Column	1 (Step 1C) (Rule 1)	2 (Step 1C) (Rule 2)	3 (Step 2)	4 (Step 4)	5 (Step 5)	6 (Step 10A) (Step 10B) (Step 10F) (Step 10G)	7 (Step 10D) (Step 10E)	8 (Step 10D) (Rule 2) (Step 10E) (Rule 2)	9 (Step 10D) (Rule 3) (Step 10E) (Rule 3)	10 (Step 12A)	11 (Step 12B)	12 (Step 12C)	13 (Step 12D)	14 (Step 12E)	15 (Step 13)	16 (Step 14)	
		SSN	Check Number Unique ID	Type of UI Program	Program Type	Intrastate/ Interstate	Type of Compensation	Partial/ Total Weeks of Unemployment	Earnings	WBA	UI Amount	UCFE Amount	UCX Amount	CWC Amount	Self-Employ Amount	Week End Date	Mail Date	
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	
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. 11 = 0 ^a	> 0 if Col. 11 = 0 ^a	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. 12 = 0 ^a	> 0 if Col. 11 = 0 ^a	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-employ	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	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
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		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		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		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		Required

VALIDATION POPULATION 4
PAYMENTS/WEEKS COMPENSATED
PAYMENT MAIL DATE FALLS WITHIN REPORTING/VALIDATION PERIOD

Subpop #	Report Line, and Column	1 (Step 1C) (Rule 1) SSN	2 (Step 1C) (Rule 2) Check Number Unique ID	3 (Step 2) Type of UI Program	4 (Step 4) Program Type	5 (Step 5) Intrastate/ Interstate	6 (Step 10A) (Step 10B) (Step 10F) (Step 10G) Type of Compensation	7 (Step 10D) (Step 10E) Partial/ Total Weeks of Unemployment	8 (Step 10D) (Rule 2) (Step 10E) (Rule 2) Earnings	9 (Step 10D) (Rule 3) (Step 10E) (Rule 3) WBA	10 (Step 12A) UI Amount	11 (Step 12B) UCFE Amount	12 (Step 12C) UCX Amount	13 (Step 12D) CWC Amount	14 (Step 12E) Self Employ Amount	15 (Step 13) Week End Date	16 (Step 14) Mail Date
CWC PRIOR QUARTER (4-48 through 4-49) 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 I) but are shown here in their entirety for informational purposes. They are referred to as "Continued Payment" in the record layout.

*Either the UCFFE or UCX amount (or both) must be entered.

NOTE: For Joint Claims, Column 10 represents the UI portion of the payment, and Columns 11 and 12 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 2) will be sorted by time lapse days in ascending order and subtalled by time lapse categories. Observations reported in all populations of supplemental payments will be sorted by SSN.

**RELATIONSHIP BETWEEN VALIDATION SUBPOPULATIONS IN POPULATION 4
AND ETA 9050, ETA 9051, AND ETA 586B PAYMENTS TIME LAPSE**

	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	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	9 and 11	13	15		10 and 12	14	16	
All Continued Payments	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	25 and 27	29	31		26 and 28	30	32	

**RELATIONSHIP BETWEEN VALIDATION SUBPOPULATIONS IN POPULATION 4 AND ETA 5159B REPORTING CELLS
WEEKS COMPENSATED**

5159 Section B	State UI Program ^a			UCFE and UCX Programs			Self-employment All Programs (20)
	All Weeks Compensated (14)	Total Unemployment (15)	Interstate (16)	Total (17)	UCFE - No UI (18)	UCX Only (19)	
Number	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	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 11 & 12 3 - 8 11 - 16 19 - 24 27 - 32 35 - 38 41 - 42	Columns 11 & 12 ^b 5 - 6 13 - 14 21 - 22 29 - 30 37	Column 12 ^c 7 - 8 15 - 16 23 - 24 31 - 32 38	43

^aIf joint claim, then only includes the UI share of the payment.

^bIncludes all payments from UCFE and the UCX portion of UCFE/UCX funds.

^cIncludes all payments from UCX funds.

RELATIONSHIP BETWEEN VALIDATION SUBPOPULATIONS IN POPULATION 4 AND ETA 586A REPORTING CELLS

PAYMENT ACTIVITY

	Line No.	Weeks Compensated (4)	Benefits Paid (5)	Prior Weeks Compensated (6)	Prior Benefits Paid (7)
State UI					
Intrastate	101	44, 46	44, 46, 48	50	50
Interstate Recvd. 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 9050 Report) uses a different definition of first payment than the definition of first payment used on the 5159 report. The 9050 measure 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 driven by the week paid, it is possible that the first payment date could fall after other payments have been made on the claim.

The 5159 counts (which are currently not validated) use the first week compensated (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 5159 only. Only dollar amounts are included. These payments are not counted as weeks compensated in row 301 (section B) of the 5159 nor are they included on the 9050 or 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 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, and the software will not accept these records since the dates will not fall in the date range. The way around this is to set a begin date that will cover the earliest CWC prior weeks.
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: Set the sign in dates for a quarter to allow the validation counts (from Subpopulations 4.44 to 4.51) to match a quarterly CWC 586 report. For the other subpopulations, select one month from within the quarter to load and validate. 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.

VALIDATION POPULATION 5
NON-MONETARY DETERMINATIONS AND REDETERMINATIONS
NOTICE DATE FALLS WITHIN REPORTING/VALIDATION PERIOD

Sub pop #	Report, Line, and Column	1 (Step 1D) (Rule 1) SSN	2 (Step 1D) (Rule 2) Issue Number (Unique ID)	3 (Step 2) Type of UI Program	4 (Step 4) Program Type	5 (Step 5) Intrastate/ Interstate	6 (Step 16) Determination/ Redetermination	7 (Step 17) Type of Determination	8 (Step 18) Issue Types	9 (Step 19) First Week Affected	10 (Step 20) Detection Date	11 (Step 21) Notice Date	12 (Step 23) Allow ^a 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; 9053A-C2	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	VL	Required	Required	Required	Allow
5.2	207: A 101-2; B 201-9 9052A-C2; 9053A-C2	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	MC	Required	Required	Required	Allow
5.3	207: A 101-2; B 201-10 9052A-C2; 9053A-C2	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Sep/Other	Required	Required	Required	Allow
5.4	207: A 101-2; C 301-12 9052B-C98; 9053B-C98	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	A & A	Required	Required	Required	Allow
5.5	207: A 101-2; C 301-13 9052B-C98; 9053B-C98	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Dec. Income	Required	Required	Required	Allow
5.6	207: A 101-2; C 301-14 9052B-C98; 9053B-C98	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Suitable Work	Required	Required	Required	Allow
5.7	207: A 101-2; C 301-15 9052B-C98; 9053B-C98	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Reporting	Required	Required	Required	Allow

VALIDATION POPULATION 5
NON-MONETARY DETERMINATIONS AND REDETERMINATIONS
NOTICE DATE FALLS WITHIN REPORTING/VALIDATION PERIOD

Sub pop #	Report, Line, and Column	1 (Step 1D) (Rule 1)	2 (Step 1D) (Rule 2)	3 (Step 2)	4 (Step 4)	5 (Step 5)	6 (Step 16)	7 (Step 17)	8 (Step 18)	9 (Step 19)	10 (Step 20)	11 (Step 21)	12 (Step 23)
		SSN	Issue Number (Unique ID)	Type of UI Program	Program Type	Intrastate/ Interstate	Determination/ Redetermination	Type of Determination	Issue Types	First Week Affected	Detection Date	Notice Date	Allow ^a or Deny
5.8	207: A 101-2; C 301-16 9052B-C98; 9053B-C98	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Profiling	Required	Required	Required	Allow
5.9	207: A 101-2; C 301-17 9052B-C98; 9053B-C98	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Other Nonsep	Required	Required	Required	Allow
5.10	207: A 101-2; B 201-8 9052A-C6; 9053A-C6	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	VL	Required	Required	Required	Allow
5.11	207: A 101-2; B 201-9 9052A-C6; 9053A-C6	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	MC	Required	Required	Required	Allow
5.12	207: A 101-2; B 201-10 9052A-C6; 9053A-C6	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Sep/Other	Required	Required	Required	Allow
5.13	207: A 101-2; C 301-12 9052B-C102; 9053B-C102	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	A & A	Required	Required	Required	Allow
5.14	207: A 101-2; C 301-13 9052B-C102; 9053B-C102	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Ded. Income	Required	Required	Required	Allow
5.15	207: A 101-2; C 301-14 9052B-C102; 9053B-C102	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Suitable Work	Required	Required	Required	Allow

VALIDATION POPULATION 5
NON-MONETARY DETERMINATIONS AND REDETERMINATIONS
NOTICE DATE FALLS WITHIN REPORTING/VALIDATION PERIOD

Sub pop #	Report, Line, and Column	1 (Step 1D) (Rule 1)	2 (Step 1D) (Rule 2)	3 (Step 2)	4 (Step 4)	5 (Step 5)	6 (Step 16)	7 (Step 17)	8 (Step 18)	9 (Step 19)	10 (Step 20)	11 (Step 21)	12 (Step 23)
		SSN	Issue Number (Unique ID)	Type of UI Program	Program Type	Intrastate/ Interstate	Determination/ Redetermination	Type of Determination	Issue Types	First Week Affected	Detection Date	Notice Date	Allow ^a or Deny
5.16	207: A 101-2; C 301-15 9052B-C102; 9053B-C102	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Reporting	Required	Required	Required	Allow
5.17	207: A 101-2; C 301-16 9052B-C102; 9053B-C102	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Profiling	Required	Required	Required	Allow
5.18	207: A 101-2; C 301-17 9052B-C102; 9053B-C102	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Other Nonsep	Required	Required	Required	Allow
5.19	207A: 101-2; 102-2 207B: 201-8; 202-8 9052A-C2; 9053A-C2	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	VL	Required	Required	Required	Deny
5.20	207A: 101-2; 102-2 207B: 201-9; 202-9 9052A-C2; 9053A-C2	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	MC	Required	Required	Required	Deny
5.21	207A: 101-2; 102-2 207B: 201-10; 202-10 9052A-C2; 9053A-C2	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Sep/Other	Required	Required	Required	Deny

VALIDATION POPULATION 5
NON-MONETARY DETERMINATIONS AND REDETERMINATIONS
NOTICE DATE FALLS WITHIN REPORTING/VALIDATION PERIOD

Sub pop #	Report, Line, and Column	1 (Step 1D) (Rule 1)	2 (Step 1D) (Rule 2)	3 (Step 2)	4 (Step 4)	5 (Step 5)	6 (Step 16)	7 (Step 17)	8 (Step 18)	9 (Step 19)	10 (Step 20)	11 (Step 21)	12 (Step 23)
		SSN	Issue Number (Unique ID)	Type of UI Program	Program Type	Intrastate/ Interstate	Determination/ Redetermination	Type of Determination	Issue Types	First Week Affected	Detection Date	Notice Date	Allow ^a or Deny
5.22	207A: 101-2; 102-2 207C: 301-12; 302-12 9052B-C98; 9053B-C98	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	A & A	Required	Required	Required	Deny
5.23	207A: 101-2; 102-2 207C: 301-13; 302-13 9052B-C98; 9053B-C98	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Ded. Income	Required	Required	Required	Deny
5.24	207A: 101-2; 102-2 207C: 301-14; 302-14 9052B-C98; 9053B-C98	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Suitable Work	Required	Required	Required	Deny
5.25	207A: 101-2; 102-2 207C: 301-15; 302-15 9052B-C98; 9053B-C98	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Reporting	Required	Required	Required	Deny
5.26	207A: 101-2; 102-2 207C: 301-16; 302-16 9052B-C98; 9053B-C98	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Profiling	Required	Required	Required	Deny

VALIDATION POPULATION 5
NON-MONETARY DETERMINATIONS AND REDETERMINATIONS
NOTICE DATE FALLS WITHIN REPORTING/VALIDATION PERIOD

Sub pop #	Report, Line, and Column	1 (Step 1D) (Rule 1)	2 (Step 1D) (Rule 2)	3 (Step 2)	4 (Step 4)	5 (Step 5)	6 (Step 16)	7 (Step 17)	8 (Step 18)	9 (Step 19)	10 (Step 20)	11 (Step 21)	12 (Step 23)
		SSN	Issue Number (Unique ID)	Type of UI Program	Program Type	Intrastate/ Interstate	Determination/ Redetermination	Type of Determination	Issue Types	First Week Affected	Detection Date	Notice Date	Allow ^a or Deny
5.27	207A: 101-2; 102-2 207C: 301-17; 302-17 9052B-C98; 9053B-C98	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Other Nonsep	Required	Required	Required	Deny
5.28	207A: 101-2; 102-2 207B: 201-8; 202-8 9052A-C6; 9053A-C6	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	VL	Required	Required	Required	Deny
5.29	207A: 101-2; 102-2 207B: 201-9; 202-9 9052A-C6; 9053A-C6	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	MC	Required	Required	Required	Deny
5.30	207A: 101-2; 102-2 207B: 201-10; 202-10 9052A-C6; 9053A-C6	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Sep/Other	Required	Required	Required	Deny
5.31	207A: 101-2; 102-2 207C: 301-12; 302-12 9052B-C102; 9053B-C102	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	A & A	Required	Required	Required	Deny

VALIDATION POPULATION 5
NON-MONETARY DETERMINATIONS AND REDETERMINATIONS
NOTICE DATE FALLS WITHIN REPORTING/VALIDATION PERIOD

Sub pop #	Report, Line, and Column	1 (Step 1D) (Rule 1)	2 (Step 1D) (Rule 2)	3 (Step 2)	4 (Step 4)	5 (Step 5)	6 (Step 16)	7 (Step 17)	8 (Step 18)	9 (Step 19)	10 (Step 20)	11 (Step 21)	12 (Step 23)
		SSN	Issue Number (Unique ID)	Type of UI Program	Program Type	Intrastate/ Interstate	Determination/ Redetermination	Type of Determination	Issue Types	First Week Affected	Detection Date	Notice Date	Allow ^a or Deny
5.32	207A: 101-2; 102-2 207C: 301-13; 302-13 9052B-C102; 9053B-C102	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Ded. Income	Required	Required	Required	Deny
5.33	207A: 101-2; 102-2 207C: 301-14; 302-14 9052B-C102; 9053B-C102	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Suitable Work	Required	Required	Required	Deny
5.34	207A: 101-2; 102-2 207C: 301-15; 302-15 9052B-C102; 9053B-C102	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Reporting	Required	Required	Required	Deny
5.35	207A: 101-2; 102-2 207C: 301-16; 302-16 9052B-C102; 9053B-C102	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Profiling	Required	Required	Required	Deny
5.36	207A: 101-2; 102-2 207C: 301-17; 302-17 9052B-C102; 9053B-C102	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Other Nonsep	Required	Required	Required	Deny
5.37	207: A 103-1; B 203-8 9052A-C3; 9053A-C3	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	VL	Required	Required	Required	Allow

VALIDATION POPULATION 5
NON-MONETARY DETERMINATIONS AND REDETERMINATIONS
NOTICE DATE FALLS WITHIN REPORTING/VALIDATION PERIOD

Sub pop #	Report, Line, and Column	1 (Step 1D) (Rule 1)	2 (Step 1D) (Rule 2)	3 (Step 2)	4 (Step 4)	5 (Step 5)	6 (Step 16)	7 (Step 17)	8 (Step 18)	9 (Step 19)	10 (Step 20)	11 (Step 21)	12 (Step 23)
		SSN	Issue Number (Unique ID)	Type of UI Program	Program Type	Intrastate/ Interstate	Determination/ Redetermination	Type of Determination	Issue Types	First Week Affected	Detection Date	Notice Date	Allow ^a or Deny
5.38	207: A 103-1; B 203-9 9052A-C3; 9053A-C3	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	MC	Required	Required	Required	Allow
5.39	207: A 103-1; B 203-10 9052A-C3; 9053A-C3	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	Sep/Other	Required	Required	Required	Allow
5.40	207A-103-1 9052B-C99; 9053B-C99	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	Nonsep	Required	Required	Required	Allow
5.41	207: A 103-1; B 203-8 9052A-C7; 9053A-C7	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	VL	Required	Required	Required	Allow
5.42	207: A 103-1; B 203-9 9052A-C7; 9053A-C7	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	MC	Required	Required	Required	Allow
5.43	207: A 103-1; B 203-10 9052A-C7; 9053A-C7	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	Sep/Other	Required	Required	Required	Allow
5.44	207A-103-1 9052B-C103; 9053B-C103	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	Nonsep	Required	Required	Required	Allow
5.45	207A: 103-1; 104-1 207B: 203-8; 204-8 9052A-C3; 9053A-C3	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	VL	Required	Required	Required	Deny

VALIDATION POPULATION 5
NON-MONETARY DETERMINATIONS AND REDETERMINATIONS
NOTICE DATE FALLS WITHIN REPORTING/VALIDATION PERIOD

Sub pop #	Report, Line, and Column	1 (Step 1D) (Rule 1)	2 (Step 1D) (Rule 2)	3 (Step 2)	4 (Step 4)	5 (Step 5)	6 (Step 16)	7 (Step 17)	8 (Step 18)	9 (Step 19)	10 (Step 20)	11 (Step 21)	12 (Step 23)
		SSN	Issue Number (Unique ID)	Type of UI Program	Program Type	Intrastate/ Interstate	Determination/ Redetermination	Type of Determination	Issue Types	First Week Affected	Detection Date	Notice Date	Allow ^a or Deny
5.46	207A: 103-1; 104-1 207B: 203-9; 204-9 9052A-C3; 9053A-C3	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	MC	Required	Required	Required	Deny
5.47	207A: 103-1; 104-1 207B: 203-10; 204-10 9052A-C3; 9053A-C3	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	Sep/Other	Required	Required	Required	Deny
5.48	207A: 103-1; 104-1 9052B-C99; 9053B-C99	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	Nonsep	Required	Required	Required	Deny
5.49	207A: 103-1; 104-1 207B: 203-8; 204-8 9052A-C7; 9053A-C7	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	VL	Required	Required	Required	Deny
5.50	207A: 103-1; 104-1 207B: 203-9; 204-9 9052A-C7; 9053A-C7	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	MC	Required	Required	Required	Deny
5.51	207A: 103-1; 104-1 207B: 203-10; 204-10 9052A-C7; 9053A-C7	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	Sep/Other	Required	Required	Required	Deny

VALIDATION POPULATION 5
NON-MONETARY DETERMINATIONS AND REDETERMINATIONS
NOTICE DATE FALLS WITHIN REPORTING/VALIDATION PERIOD

Sub pop #	Report, Line, and Column	1 (Step 1D) (Rule 1)	2 (Step 1D) (Rule 2)	3 (Step 2)	4 (Step 4)	5 (Step 5)	6 (Step 16)	7 (Step 17)	8 (Step 18)	9 (Step 19)	10 (Step 20)	11 (Step 21)	12 (Step 23)
		SSN	Issue Number (Unique ID)	Type of UI Program	Program Type	Intrastate/ Interstate	Determination/ Redetermination	Type of Determination	Issue Types	First Week Affected	Detection Date	Notice Date	Allow ^a or Deny
5.52	207A: 103-1; 104-1 9052B-C103; 9053B-C103	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	Nonsep	Required	Required	Required	Deny
5.53	207A: 105-1 9052A-C4; 9053A-C4	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Intrastate	Determination	Single	Sep	Required	Required	Required	Allow
5.54	207A: 105-1 9052B-C100; 9053B-C100	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Intrastate	Determination	Single	Nonsep	Required	Required	Required	Allow
5.55	207A: 105-1 9052A-C8; 9053A-C8	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Interstate	Determination	Single	Sep	Required	Required	Required	Allow
5.56	207A: 105-1 9052B-C104; 9053B-C104	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Interstate	Determination	Single	Nonsep	Required	Required	Required	Allow
5.57	207A: 105-1; 106-1 9052A-C4; 9053A-C4	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Intrastate	Determination	Single	Sep	Required	Required	Required	Deny
5.58	207A: 105-1; 106-1 9052B-C100; 9053B-C100	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Intrastate	Determination	Single	Nonsep	Required	Required	Required	Deny
5.59	207A: 105-1; 106-1 9052A-C8; 9053A-C8	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Interstate	Determination	Single	Sep	Required	Required	Required	Deny
5.60	207A: 105-1; 106-1 9052B-C104; 9053B-C104	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Interstate	Determination	Single	Nonsep	Required	Required	Required	Deny

VALIDATION POPULATION 5

**NON-MONETARY DETERMINATIONS AND REDETERMINATIONS
NOTICE DATE FALLS WITHIN REPORTING/VALIDATION PERIOD**

Sub pop #	Report, Line, and Column	1 (Step 1D) (Rule 1) SSN	2 (Step 1D) (Rule 2) Issue Number (Unique ID)	3 (Step 2) Type of UI Program	4 (Step 4) Program Type	5 (Step 5) Intrastate/ Interstate	6 (Step 16) Determination/ Redetermination	7 (Step 17) Type of Determination	8 (Step 18) Issue Types	9 (Step 19) First Week Affected	10 (Step 20) Detection Date	11 (Step 21) Notice Date	12 (Step 23) Allow ^a or 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; 9053C-C194	Required	Required if State maintains a unique ID	Regular UI or Workshare			Determination	Multi	Labor Dispute	Required	Required	Required	Allow
5.62	207A: 101-5; 102-5 9052C-C194; 9053C-C194	Required	Required if State maintains a unique ID	Regular UI or Workshare			Determination	Multi	Labor Dispute	Required	Required	Required	Deny
5.63	207A-101-6 9052C-C195; 9053C-C195	Required	Required if State maintains a unique ID	Regular UI or Workshare			Determination	Multi	Other Multiclaimgant	Required	Required	Required	Allow
5.64	207A: 101-6; 102-6 9052C-C195; 9053C-C195	Required	Required if State maintains a unique ID	Regular UI or Workshare			Determination	Multi	Other Multiclaimgant	Required	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

VALIDATION POPULATION 5

NON-MONETARY DETERMINATIONS AND REDETERMINATIONS NOTICE DATE FALLS WITHIN REPORTING/VALIDATION PERIOD

Sub pop #	Report, Line, and Column	1 (Step 1D) (Rule 1)	2 (Step 1D) (Rule 2)	3 (Step 2)	4 (Step 4)	5 (Step 5)	6 (Step 16)	7 (Step 17)	8 (Step 18)	9 (Step 19)	10 (Step 20)	11 (Step 21)	12 (Step 23)
		SSN	Issue Number (Unique ID)	Type of UI Program	Program Type	Intrastate/ Interstate	Determination/ Redetermination	Type of Determination	Issue Types	First Week Affected	Detection Date	Notice Date	Allow ^a or 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

^aAllow or affirmed

Note: Because of its elimination from the 4th Edition of Handbook 401, the ETA 9053 report is no longer validated although the software still includes it. The next edition of the software will remove it from Report Validation and make the “First Week Affected” field optional for all subpopulations.

**RELATIONSHIP BETWEEN SUBPOPULATIONS IN POPULATION 5
AND ETA 207 REPORTING CELLS**

207 SECTION A		Total dets and redets (1)	dets (2)	redets (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 (Column 7) ^a	64 (Column 7) ^a
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 Sep (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

^aAdd the number of multiclaimants involved.

**RELATIONSHIP BETWEEN SUBPOPULATIONS IN POPULATION 5
AND ETA 9052 AND 9053 ADJUDICATIONS TIME LAPSE REPORTING CELLS**

	Separation 9052A 9053A						Non-Separation 9052B 9053B						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	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													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 detail.
3. **Multiclient Nonmonetary Determinations to deny benefits** are counted in two ways on the ETA 207 Report. Section A 101(6) counts the number of determinations. Section A 102(6) counts the number of claimants. Currently the software does not distinguish between the number of claimants and the number of determinations. If a single record representing a determination is entered, the count of determinations will be correct; however, the count of *claimants involved in denials* will be incorrect. Likewise, if ten records representing ten claimants are entered, the count of denials will be correct; however, the count of determinations will be incorrect.

The software will be revised in the future so that multiclient determinations to deny benefits will be counted by both the number of determinations and the number of claimants in the same way that it is currently done for all multiclient appeals reported on the ETA 5130 (Populations 8 and 9).

In the meantime, enter a record for each claimant in a multiclient determination to deny benefits. The number of multiclient denials will be correct although the number of determinations will be incorrect. Indicate in the comments field of the RV spreadsheet that the discrepancy is due to a software limitation and is not a state error.

VALIDATION POPULATION 6

CLAIMANTS INVOLVED IN STATE UI APPEALS FILED - LOWER

Subpop #	ETA ar5130B Line and Column	1 (Step 1E) (Rule 1)	2 (Step 1E) (Rule 2)	3 (Step 24A)	4 (Step 25A) (Rule 1) (Step 25B) (Rule 1)	5 (Step 25B) (Rules 3 –6)	6 (Step 32)
		SSN	Docket Number Unique ID	Appeal Level	Type of Appeal (Single or Multiclaimgant)	Number of Claimants	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 ^a	200-10	Required	Required	Lower	M	≥ 1	Required

^aStates can list each claimant involved in multiclaimgant appeals or just provide the number of claimants based on how the files are stored in the system.

RELATIONSHIP BETWEEN SUBPOPULATIONS IN POPULATION 6 AND ETA AR5130B REPORTING CELLS

SECTION B: Claimants Involved in State UI Appeals Cases by Status of Appeals			
	Single-Claimant Appeals	Multi-Claimant Appeals	
Line No.	Lower Authority (8)	Lower Authority (10)	
200	1	2	
	Status of Appeals Filed During Month		

VALIDATION POPULATION 7

CLAIMANTS INVOLVED IN STATE UI APPEALS FILED - HIGHER

Subpop #	ETA ar5130B Line and Column	1 (Step 1F) (Rule 1) SSN	2 (Step 1F) (Rule 2) Docket Number Unique ID	3 (Step 24B) Appeal Level	4 (Step 25A) (Rule 1) (Step 25B) (Rule 1) Type of Appeal (Single or Multiclaimgant)	5 (Step 25B) (Rules 3 --6) Number of Claimants	6 (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 ^a	200-11	Required	Required	Higher	M	≥ 1	Required

^aStates can list each claimant involved in multiclaimgant appeals or just provide the number of claimants based on how the files are stored in the system.

RELATIONSHIP BETWEEN SUBPOPULATIONS IN POPULATION 7 AND ETA AR5130B REPORTING CELLS

SECTION B: Claimants Involved in State UI Appeals Cases by Status of Appeals			
	Single-Claimant Appeals	Multi-Claimant Appeals	
Line No.	Higher Authority (9)	Higher Authority (11)	
200	1	2	
	Status of Appeals		
	Filed During Month		

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 this population. This would help in those situations where appeals are received after the 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 5130 was run on 4/7/02, would be reported as having been filed in April rather than in March.
2. Subpopulation 6.2, 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 5 to derive the number of claimants involved in multi-claimant appeals filed.

VALIDATION POPULATION 8
LOWER AUTHORITY APPEALS DECISIONS
DECISION DATE FALLS WITHIN REPORTING/VALIDATION PERIOD
SORT BY TIME LAPSE DAYS ASCENDING

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

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

VALIDATION POPULATION 8
LOWER AUTHORITY APPEALS DECISIONS
DECISION DATE FALLS WITHIN REPORTING/VALIDATION PERIOD
SORT BY TIME LAPSE DAYS ASCENDING

Subpop	Report, Line, and Column	1 (Step 1E) (Rule 1) SSN	2 (Step 1E) (Rule 2) Docket Number Unique ID	3 (Step 2) Type of UI Program	4 (Step 4) Program Type	5 (Step 5) Intrastate/ Interstate	6 (Step 24A) (Rule 1) Appeal Level	7 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimgant)	8 (Step 25B) Number of Claimants in Multiclaimgant Appeal	9 (Step 26) Appellant	10 (Step 27A) (Step 27B) In Favor of Appellant	11 (Step 32) Filed Date	12 (Step 28) Decision Date	13 (Step 30A) (Step 30B) Disposed of by Decision	14 (Step 31) Issue Code
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
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

VALIDATION POPULATION 8
LOWER AUTHORITY APPEALS DECISIONS
DECISION DATE FALLS WITHIN REPORTING/VALIDATION PERIOD
SORT BY TIME LAPSE DAYS ASCENDING

Subpop	Report, Line, and Column	1 (Step 1E) (Rule 1) SSN	2 (Step 1E) (Rule 2) Docket Number Unique ID	3 (Step 2) Type of UI Program	4 (Step 4) Program Type	5 (Step 5) Intrastate/ Interstate	6 (Step 24A) (Rule 1) Appeal Level	7 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimgant)	8 (Step 25B) Number of Claimants in Multiclaimgant Appeal	9 (Step 26) Appellant	10 (Step 27A) (Step 27B) In Favor of Appellant	11 (Step 32) Filed Date	12 (Step 28) Decision Date	13 (Step 30A) (Step 30B) Disposed of by Decision	14 (Step 31) Issue Code
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
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

VALIDATION POPULATION 8
LOWER AUTHORITY APPEALS DECISIONS
DECISION DATE FALLS WITHIN REPORTING/VALIDATION PERIOD
SORT BY TIME LAPSE DAYS ASCENDING

Subpop	Report, Line, and Column	1 (Step 1E) (Rule 1) SSN	2 (Step 1E) (Rule 2) Docket Number Unique ID	3 (Step 2) Type of UI Program	4 (Step 4) Program Type	5 (Step 5) Intrastate/ Interstate	6 (Step 24A) (Rule 1) Appeal Level	7 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimgant)	8 (Step 25B) Number of Claimants in Multiclaimgant Appeal	9 (Step 26) Appellant	10 (Step 27A) (Step 27B) In Favor of Appellant	11 (Step 32) Filed Date	12 (Step 28) Decision Date	13 (Step 30A) (Step 30B) Disposed of by Decision	14 (Step 31) Issue Code
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
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

VALIDATION POPULATION 8
LOWER AUTHORITY APPEALS DECISIONS
DECISION DATE FALLS WITHIN REPORTING/VALIDATION PERIOD
SORT BY TIME LAPSE DAYS ASCENDING

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

VALIDATION POPULATION 8
LOWER AUTHORITY APPEALS DECISIONS
DECISION DATE FALLS WITHIN REPORTING/VALIDATION PERIOD
SORT BY TIME LAPSE DAYS ASCENDING

Subpop	Report, Line, and Column	1 (Step 1E) (Rule 1)	2 (Step 1E) (Rule 2)	3 (Step 2)	4 (Step 4)	5 (Step 5)	6 (Step 24A) (Rule 1)	7 (Step 25A) (Step 25B)	8 (Step 25B)	9 (Step 26)	10 (Step 27A) (Step 27B)	11 (Step 32)	12 (Step 28)	13 (Step 30A) (Step 30B)	14 (Step 31)
		SSN	Docket Number Unique ID	Type of UI Program	Program Type	Intrastate/ Interstate	Appeal Level	Type of Appeal (Single or Multiclaimitant)	Number of Claimants in Multiclaimitant Appeal	Appellant	In Favor of Appellant	Filed Date	Decision Date	Disposed of by Decision	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 ^a	ar5130A-100-3 9054A-C2	Required	Required	Regular UI or Workshare	UCFE	Intrastate	Lower	S	Must be blank or 0			Required	Required		
8.42 ^a	ar5130A-100-3 9054A-C3	Required	Required	Regular UI or Workshare	UCFE	Interstate	Lower	S	Must be blank or 0			Required	Required		

VALIDATION POPULATION 8
LOWER AUTHORITY APPEALS DECISIONS
DECISION DATE FALLS WITHIN REPORTING/VALIDATION PERIOD
SORT BY TIME LAPSE DAYS ASCENDING

Subpop	Report, Line, and Column	1 (Step 1E) (Rule 1) SSN	2 (Step 1E) (Rule 2) Docket Number Unique ID	3 (Step 2) Type of UI Program	4 (Step 4) Program Type	5 (Step 5) Intrastate/ Interstate	6 (Step 24A) (Rule 1) Appeal Level	7 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimgant)	8 (Step 25B) Number of Claimants in Multiclaimgant Appeal	9 (Step 26) Appellant	10 (Step 27A) (Step 27B) In Favor of Appellant	11 (Step 32) Filed Date	12 (Step 28) Decision Date	13 (Step 30A) (Step 30B) Disposed of by Decision	14 (Step 31) Issue Code
8.43 ^a	ar5130A-100-5 9054A-C2	Required	Required	Regular UI or Workshare	UCX	Intrastate	Lower	S	Must be blank or 0			Required	Required		
8.44 ^a	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
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

VALIDATION POPULATION 8
LOWER AUTHORITY APPEALS DECISIONS
DECISION DATE FALLS WITHIN REPORTING/VALIDATION PERIOD
SORT BY TIME LAPSE DAYS ASCENDING

Subpop	Report, Line, and Column	1 (Step 1E) (Rule 1)	2 (Step 1E) (Rule 2)	3 (Step 2)	4 (Step 4)	5 (Step 5)	6 (Step 24A) (Rule 1)	7 (Step 25A) (Step 25B)	8 (Step 25B)	9 (Step 26)	10 (Step 27A) (Step 27B)	11 (Step 32)	12 (Step 28)	13 (Step 30A) (Step 30B)	14 (Step 31)
		SSN	Docket Number Unique ID	Type of UI Program	Program Type	Intrastate/ Interstate	Appeal Level	Type of Appeal (Single or Multiclaimgant)	Number of Claimants in Multiclaimgant Appeal	Appellant	In Favor of Appellant	Filed Date	Decision Date	Disposed of by Decision	Issue Code
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; 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
8.55	ar5130A: 100-1 ar5130B: 210-8; 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

^aIf a UCFE or UCX multiclaimgant appeal is decided, report as a separate population and manually validate the 5130 report.

**RELATIONSHIP BETWEEN SUBPOPULATIONS IN POPULATION 8
AND ETA AR5130 REPORTING CELLS**

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 ^a	43-44 ^a

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	1-40 54-55 ^b	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

^aAlso includes multiclaimgant UCFE and UCX decision subpopulations that are not listed.

^bSingle claimant only

^cMulticlaimgant only

**RELATIONSHIP BETWEEN SUBPOPULATIONS IN POPULATION 8
AND ETA 9054A REPORTING CELLS**

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	

VALIDATION POPULATION 9

HIGHER AUTHORITY APPEALS DECISIONS, DECISION DATE FALLS WITHIN REPORTING/VALIDATION PERIOD

Subpop #	Report, Line, and Column	1 (Step 1F) (Rule 1)	2 (Step 1F) (Rule 2)	3 (Step 2)	4 (Step 4)	5 (Step 5)	6 (Step 24B) (Rule 1)	7 (Step 25A) (Step 25B)	8 (Step 25B) (Rules 3 and 5)	9 (Step 26)	10 (Step 27A) (Step 27B)	11 (Step 32)	12 (Step 28)	13 (Step 30A) (Step 30B)
		SSN	Docket Number Unique ID	Type of UI Program	Program Type	Intrastate/ Interstate	Appeal Level	Type of Appeal (Single or Multiclient)	Number of Claimants in Multiclient Appeal	Appellant	In Favor of Appellant	Filed Date	Decision Date	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	
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	

VALIDATION POPULATION 9

HIGHER AUTHORITY APPEALS DECISIONS, DECISION DATE FALLS WITHIN REPORTING/VALIDATION PERIOD

Subpop #	Report, Line, and Column	1 (Step 1F) (Rule 1)	2 (Step 1F) (Rule 2)	3 (Step 2)	4 (Step 4)	5 (Step 5)	6 (Step 24B) (Rule 1)	7 (Step 25A) (Step 25B)	8 (Step 25B) (Rules 3 and 5)	9 (Step 26)	10 (Step 27A) (Step 27B)	11 (Step 32)	12 (Step 28)	13 (Step 30A) (Step 30B)
		SSN	Docket Number Unique ID	Type of UI Program	Program Type	Intrastate/ Interstate	Appeal Level	Type of Appeal (Single or Multiclient)	Number of Claimants in Multiclient Appeal	Appellant	In Favor of Appellant	Filed Date	Decision Date	Disposed of by Decision
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 ^a	ar5130A-100-4 9054B-C2	Required	Required	Regular UI or Workshare	UCFE	Intrastate	Higher	S	Must be blank or 0			Required	Required	
9.10 ^a	ar5130A-100-4 9054B-C3	Required	Required	Regular UI or Workshare	UCFE	Interstate	Higher	S	Must be blank or 0			Required	Required	
9.11 ^a	ar5130A-100-6 9054B-C2	Required	Required	Regular UI or Workshare	UCX	Intrastate	Higher	S	Must be blank or 0			Required	Required	
9.12 ^a	ar5130A-100-6 9054B-C3	Required	Required	Regular UI or Workshare	UCX	Interstate	Higher	S	Must be blank or 0			Required	Required	
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	

VALIDATION POPULATION 9

HIGHER AUTHORITY APPEALS DECISIONS, DECISION DATE FALLS WITHIN REPORTING/VALIDATION PERIOD

Subpop #	Report, Line, and Column	1 (Step 1F) (Rule 1)	2 (Step 1F) (Rule 2)	3 (Step 2)	4 (Step 4)	5 (Step 5)	6 (Step 24B) (Rule 1)	7 (Step 25A) (Step 25B)	8 (Step 25B) (Rules 3 and 5)	9 (Step 26)	10 (Step 27A) (Step 27B)	11 (Step 32)	12 (Step 28)	13 (Step 30A) (Step 30B)
		SSN	Docket Number Unique ID	Type of UI Program	Program Type	Intrastate/ Interstate	Appeal Level	Type of Appeal (Single or Multiclient)	Number of Claimants in Multiclient Appeal	Appellant	In Favor of Appellant	Filed Date	Decision Date	Disposed of by Decision
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	
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	

VALIDATION POPULATION 9

HIGHER AUTHORITY APPEALS DECISIONS, DECISION DATE FALLS WITHIN REPORTING/VALIDATION PERIOD

Subpop #	Report, Line, and Column	1 (Step 1F) (Rule 1)	2 (Step 1F) (Rule 2)	3 (Step 2)	4 (Step 4)	5 (Step 5)	6 (Step 24B) (Rule 1)	7 (Step 25A) (Step 25B)	8 (Step 25B) (Rules 3 and 5)	9 (Step 26)	10 (Step 27A) (Step 27B)	11 (Step 32)	12 (Step 28)	13 (Step 30A) (Step 30B)
		SSN	Docket Number Unique ID	Type of UI Program	Program Type	Intrastate/ Interstate	Appeal Level	Type of Appeal (Single or Multiclient)	Number of Claimants in Multiclient Appeal	Appellant	In Favor of Appellant	Filed Date	Decision Date	Disposed of by Decision
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 ar5130C: 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 ar5130C: 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	

^aIf a UCFE or UCX multiclient appeal is decided, report as a separate population.

**RELATIONSHIP BETWEEN SUBPOPULATIONS IN POPULATION 9
AND AR5130 REPORTING CELLS**

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 ^a	11-12 ^a

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 ^b	13-21 23 ^c

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	

^aAlso includes multiclaimgant UCFE and UCX decisions subpopulations that are not listed.

^bSingle claimant only

^cMulticlaimgant only

**RELATIONSHIP BETWEEN SUBPOPULATIONS IN POPULATION 9
AND ETA 9054B REPORTING CELLS**

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

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

Population 8 and 9 Notes

1. Column 7 (Step 23B), Multi-Claimant 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 multi-claimant 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-claimant field.

States which maintain multiple records (one for each claimant) for a multi-claimant 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) and 9.13 through 9.20 (higher). States which maintain multiple records should insert a text prefix of "M-Nonlead" in the multi-claimant field for the non-lead claimants. These records will be assigned to subpopulations 8.53 (lower) and 9.21 (higher).

2. Column 13 (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 on 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 detail.

VALIDATION POPULATION 10
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	1 (Step 1E) (Rule 1) SSN	2 (Step 1E) (Rule 2) Docket Number Unique ID	3 (Step 24A) Appeal Level	4 (Step 30B) 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.”

**VALIDATION POPULATION 10
LOWER AUTHORITY APPEALS CASE AGING
APPEALS PENDING AT THE END OF THE MONTH BEING VALIDATED
SORT BY DAYS PENDING WITHIN EACH CATEGORY**

RELATIONSHIP BETWEEN SUBPOPULATIONS IN POPULATION 10 AND ETA 9055 REPORTING CELLS

Section A. Age of Pending Lower Authority Single Claimant Appeals Cases

Days	Total
Total	10.1-10.7
≤ 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

VALIDATION POPULATION 11

**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	1 (Step 1F) (Rule 1) SSN	2 (Step 1F) (Rule 2) Docket Number Unique ID	3 (Step 24B) Appeal Level	4 (Step 30B) Appeal Pending	5 (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.”

VALIDATION POPULATION 11

**HIGHER AUTHORITY APPEALS CASE AGING
APPEALS PENDING AT THE END OF THE MONTH BEING VALIDATED
SORT BY DAYS PENDING WITHIN EACH CATEGORY**

RELATIONSHIP BETWEEN SUBPOPULATIONS IN POPULATION 11 AND ETA 9055 REPORTING CELLS

Section B. Age of Pending Higher Authority Single Claimant Appeals Cases

Days	Total
Total	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

Population 10 and 11 Notes

1. Capture the lower authority and higher authority appeals data at the end of the month.
2. Column 4 (Step 30B), Appeal Pending, is an optional field for both population 10 and 11.

VALIDATION POPULATION 12
OVERPAYMENTS ESTABLISHED - SORTED BY CAUSES
ETA 227 - SECTION A

Subpop #	ETA 227A Line and Column	1 (Step 1G) (Rule 1) SSN	2 (Step 1G) (Rule 2) Unique ID	3 (Step 4) Program Type	4 (Step 33) Type of Overpayment	5 (Step 34) Cause of Overpayment	6 (Step 35) Detection Type	7 (Step 36) Date Established	8 (Step 37A) UI Amount	9 (Step 37B) Federal Amount ^a
OVERPAYMENTS (12.1 through 12.16)										
1) Random Sample: 60 or 200 (includes review of folders); 2) Supplemental sample--missing strata; 3) Supplemental sample--outliers by dollars										
12.1	101 (2, 4, 5)	Required	Required if State maintains a unique ID	UI	Fraud	Other	Required	Required	> 0	> 0 if joint claim; otherwise blank or 0
12.2	102 (2, 4, 5)	Required	Required if State maintains a unique ID	UI	Fraud	Multi Claimant Schemes*	Required	Required	> 0	> 0 if joint claim; otherwise blank or 0
12.3	104 (2, 4, 5)	Required	Required if State maintains a unique ID	UI	Nonfraud	Reversals	Required	Required	> 0	> 0 if joint claim; otherwise blank or 0
12.4	105 (2, 4, 5)	Required	Required if State maintains a unique ID	UI	Nonfraud	SESA Errors*	Required	Required	> 0	> 0 if joint claim; otherwise blank or 0
12.5	106 (2, 4, 5)	Required	Required if State maintains a unique ID	UI	Nonfraud	Employer Errors*	Required	Required	> 0	> 0 if joint claim; otherwise blank or 0
12.6	107 (2, 4, 5)	Required	Required if State maintains a unique ID	UI	Nonfraud	Claimant Errors*	Required	Required	> 0	> 0 if joint claim; otherwise blank or 0

VALIDATION POPULATION 12
OVERPAYMENTS ESTABLISHED - SORTED BY CAUSES
ETA 227 - SECTION A

Subpop #	ETA 227A Line and Column	1 (Step 1G) (Rule 1) SSN	2 (Step 1G) (Rule 2) Unique ID	3 (Step 4) Program Type	4 (Step 33) Type of Overpayment	5 (Step 34) Cause of Overpayment	6 (Step 35) Detection Type	7 (Step 36) Date Established	8 (Step 37A) UI Amount	9 (Step 37B) Federal Amount ^a
12.7	108 (2, 4, 5)	Required	Required if State maintains a unique ID	UI	Nonfraud	Other	Required	Required	> 0	> 0 if joint claim; otherwise blank or 0
12.8	109 (4, 5)	Required	Required if State maintains a unique ID	UI	Penalty		Required	Required	> 0	> 0 if joint claim; otherwise blank or 0
12.9	101 (3, 5)	Required	Required if State maintains a unique ID	UCFE or UCX	Fraud	Other	Required	Required	Must be blank or 0	> 0
12.10	102 (3, 5)	Required	Required if State maintains a unique ID	UCFE or UCX	Fraud	Multi Claimant Schemes*	Required	Required	Must be blank or 0	> 0
12.11	104 (3, 5)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	Reversals	Required	Required	Must be blank or 0	> 0
12.12	105 (3, 5)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	SESA Errors*	Required	Required	Must be blank or 0	> 0
12.13	106 (3, 5)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	Employer Errors*	Required	Required	Must be blank or 0	> 0
12.14	107 (3, 5)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	Claimant Errors*	Required	Required	Must be blank or 0	> 0

VALIDATION POPULATION 12
OVERPAYMENTS ESTABLISHED - SORTED BY CAUSES
ETA 227 - SECTION A

Subpop #	ETA 227A Line and Column	1 (Step 1G) (Rule 1) SSN	2 (Step 1G) (Rule 2) Unique ID Required if State maintains a unique ID	3 (Step 4) Program Type UCFE or UCX	4 (Step 33) Type of Overpayment Nonfraud	5 (Step 34) Cause of Overpayment Other	6 (Step 35) Detection Type Required	7 (Step 36) Date Established Required	8 (Step 37A) UI Amount Must be blank or 0	9 (Step 37B) Federal Amount ^a > 0
12.15	108 (3, 5)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	Other	Required	Required	Must be blank or 0	> 0
12.16	109 (5)	Required	Required if State maintains a unique ID	UCFE or UCX	Penalty		Required	Required	Must be blank or 0	> 0

*These values are abbreviated in the record layout data format specifications (see Appendix I) but are shown here in their entirety for informational purposes.

^aFor Subpopulations 12.1 through 12.8, the federal amount is the federal share of the joint claim.

**RELATIONSHIP BETWEEN SUBPOPULATIONS IN POPULATION 12
AND ETA 227 REPORTING CELLS
A. PAGE 1 OF FORM**

A. OVERPAYMENT ESTABLISHED – CAUSES							
Cause	Line No.	No. Schemes	Number of Cases		Dollar Amounts		
			UI	UCFE/UCX	UI	UCFE/UCX	
		(1)	(2)	(3)	(4)	(5)	
Fraud – Total	101		1	9	1	1 and 9	
Multi Claimant Schemes	102		2	10	2	2 and 10	
Nonfraud – Total	103						
Reversals	104		3	11	3	3 and 11	
SESA Errors	105		4	12	4	4 and 12	
Employer Errors	106		5	13	5	5 and 13	
Claimant Errors	107		6	14	6	6 and 14	
Other	108		7	15	7	7 and 15	
Penalty	109					8	8 and 16

Population 12 Notes

1. Subpopulations 12.1 – 12.8: 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 “multi-claimant schemes” or “other.” The software will reject records for fraud overpayments where the cause is not “multi-claimant schemes” or “other.” States that use multiple codes for types of fraud should code these as “other.”

VALIDATION POPULATION 13

OVERPAYMENT RECONCILIATION ACTIVITIES
 OVERPAYMENT RECONCILIATION TRANSACTION OCCURRED DURING
 REPORTING QUARTER BEING VALIDATED
 ETA 227 - SECTION C

Subpop #	ETA 227C Line and Column	1 (Step 1H) (Rule 1) SSN	2 (Step 1H) (Rule 2) Unique ID	3 (Step 4) Program Type	4 (Step 33) Type of Overpayments	5 (Step 38) Type of Reconciliation Activity	6 (Step 39) Date of Reconciliation Activity	7 (Step 40A) UI Reconciliation Amount	8 (Step 40B) Federal Reconciliation Amount ^a
OVERPAYMENT RECONCILIATION TRANSACTIONS (13.1 through 13.34)									
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
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
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
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
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

VALIDATION POPULATION 13

OVERPAYMENT RECONCILIATION ACTIVITIES
 OVERPAYMENT RECONCILIATION TRANSACTION OCCURRED DURING
 REPORTING QUARTER BEING VALIDATED
 ETA 227 - SECTION C

Subpop #	ETA 227C Line and Column	1 (Step 1H) (Rule 1) SSN	2 (Step 1H) (Rule 2) Unique ID	3 (Step 4) Program Type	4 (Step 33) Type of Overpayments	5 (Step 38) Type of Reconciliation Activity	6 (Step 39) Date of Reconciliation Activity	7 (Step 40A) UI Reconciliation Amount	8 (Step 40B) Federal Reconciliation Amount ^a
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
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
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
13.9	303 (12)	Required	Required if State maintains a unique ID	UCFE or UCX	Fraud	Cash	Required	Must be blank or 0	> 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
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
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

VALIDATION POPULATION 13

OVERPAYMENT RECONCILIATION ACTIVITIES
 OVERPAYMENT RECONCILIATION TRANSACTION OCCURRED DURING
 REPORTING QUARTER BEING VALIDATED
 ETA 227 - SECTION C

Subpop #	ETA 227C Line and Column	1 (Step 1H) (Rule 1) SSN	2 (Step 1H) (Rule 2) Unique ID	3 (Step 4) Program Type	4 (Step 33) Type of Overpayments	5 (Step 38) Type of Reconciliation Activity	6 (Step 39) Date of Reconciliation Activity	7 (Step 40A) UI Reconciliation Amount	8 (Step 40B) Federal Reconciliation Amount ^a
13.13	307 (12)	Required	Required if State maintains a unique ID	UCFE or UCX	Fraud	Other	Required	Must be blank or 0	> 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
13.15	310 (12)	Required	Required if State maintains a unique ID	UCFE or UCX	Fraud	Addition	Required	Must be blank or 0	> 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
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
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
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

VALIDATION POPULATION 13

OVERPAYMENT RECONCILIATION ACTIVITIES
 OVERPAYMENT RECONCILIATION TRANSACTION OCCURRED DURING
 REPORTING QUARTER BEING VALIDATED
 ETA 227 - SECTION C

Subpop #	ETA 227C Line and Column	1 (Step 1H) (Rule 1) SSN	2 (Step 1H) (Rule 2) Unique ID	3 (Step 4) Program Type	4 (Step 33) Type of Overpayments	5 (Step 38) Type of Reconciliation Activity	6 (Step 39) Date of Reconciliation Activity	7 (Step 40A) UI Reconciliation Amount	8 (Step 40B) Federal Reconciliation Amount ^a
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
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
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
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
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
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

VALIDATION POPULATION 13

OVERPAYMENT RECONCILIATION ACTIVITIES
 OVERPAYMENT RECONCILIATION TRANSACTION OCCURRED DURING
 REPORTING QUARTER BEING VALIDATED
 ETA 227 - SECTION C

Subpop #	ETA 227C Line and Column	1 (Step 1H) (Rule 1) SSN	2 (Step 1H) (Rule 2) Unique ID	3 (Step 4) Program Type	4 (Step 33) Type of Overpayments	5 (Step 38) Type of Reconciliation Activity	6 (Step 39) Date of Reconciliation Activity	7 (Step 40A) UI Reconciliation Amount	8 (Step 40B) Federal Reconciliation Amount ^a
13.26	303 (14)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	Cash	Required	Must be blank or 0	> 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
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
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
13.30	307 (14)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	Other	Required	Must be blank or 0	> 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
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
13.33	310 (14)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	Addition	Required	Must be blank or 0	> 0

VALIDATION POPULATION 13

OVERPAYMENT RECONCILIATION ACTIVITIES
 OVERPAYMENT RECONCILIATION TRANSACTION OCCURRED DURING
 REPORTING QUARTER BEING VALIDATED
 ETA 227 - SECTION C

Subpop #	ETA 227C Line and Column	1 (Step 1H) (Rule 1) SSN	2 (Step 1H) (Rule 2) Unique ID	3 (Step 4) Program Type	4 (Step 33) Type of Overpayments	5 (Step 38) Type of Reconciliation Activity	6 (Step 39) Date of Reconciliation Activity	7 (Step 40A) UI Reconciliation Amount	8 (Step 40B) Federal Reconciliation Amount ^a
13.34	311 (14)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	Subtraction	Required	Must be blank or 0	> 0

*These values are abbreviated in the record layout data format specifications (see Appendix I) but are shown here in their entirety for informational purposes.

^aFor Subpopulations 13.9 through 13.16 and Subpopulations 13.26 through 13.34, the federal amount is the federal share of the joint claim.

**RELATIONSHIP BETWEEN SUBPOPULATIONS IN POPULATION 13
AND ETA 227 REPORTING CELLS
C. PAGE 2 OF FORM**

C. RECOVERY/RECONCILIATION						
Item	Line No.	Dollar Amount				
		Fraud		Nonfraud		
		UI	UCFE/UCX	UI	UCFE/UCX	
		Column 7	Column 8	Column 7	Column 8	
		(11)	(12)	(13)	(14)	
Recovered - Total	302					
Cash	303	1	1 and 9	17	17 and 26	
Benefit Offset	304	2	2 and 10	18	18 and 27	
State Income Tax Offset	305	3	3 and 11	19	19 and 28	
By Other States	306	4	4 and 12	20	20 and 29	
Other	307	5	5 and 13	21	21 and 30	
Waived	308			22	22 and 31	
Written-Off	309	6	6 and 14	23	23 and 32	
Additions	310	7	7 and 15	24	24 and 33	
Subtractions	311	8	8 and 16	25	25 and 34	

Population 13 Notes

1. Reconstructing this population requires a detailed transaction history file that associates activities (column 5) with particular overpayment types (column 4).
2. Subpopulations 13.1 – 13.8 and 13.17 – 13.25: Enter the federal amount in column 8 for joint claims (field number 9 on the record layout).
3. Column 5 (Type of Reconciliation Activity). Additions include payments made on 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.

**VALIDATION POPULATION 14
AGE OF OVERPAYMENTS**

Subpop #	ETA 227C ETA 227E Report, Line, and Column	1 (Step 1G) (Rule 1) SSN	2 (Step 1G) (Rule 2) Unique ID	3 (Step 36) Date Established	4 (Step 4) Program Type	5 (Step 41) Outstanding Overpayment	6 (Step 44) Active Collection	7 (Step 33) Type of Overpayments	8 (Step 42A) UI Balance at End of Qtr	9 (Step 42B) Federal Balance at End of Qtr
14.1	E501 (18, 19) Age ≤ 90 days	Required	Required if State maintains a unique ID	Required ^a	UI				> 0	> 0 if joint claim; otherwise blank or 0
14.2	E502 (18, 19) Age 91-180 days	Required	Required if State maintains a unique ID	Required ^a	UI				> 0	> 0 if joint claim; otherwise blank or 0
14.3	E503 (18, 19) Age 181-270 days	Required	Required if State maintains a unique ID	Required ^a	UI				> 0	> 0 if joint claim; otherwise blank or 0
14.4	E504 (18, 19) Age 271-360 days	Required	Required if State maintains a unique ID	Required ^a	UI				> 0	> 0 if joint claim; otherwise blank or 0
14.5	E505 (18, 19) Age 361-450 days	Required	Required if State maintains a unique ID	Required ^a	UI				> 0	> 0 if joint claim; otherwise blank or 0
14.6	E506 (18, 19) Age > 450 days	Required	Required if State maintains a unique ID	Required ^a	UI		Y or N*		> 0	> 0 if joint claim; otherwise blank or 0
14.7	E501 (19) Age ≤ 90 days	Required	Required if State maintains a unique ID	Required ^a	UCFE or UCX				Must be blank or 0	> 0

**VALIDATION POPULATION 14
AGE OF OVERPAYMENTS**

Subpop #	ETA 227C ETA 227E Report, Line, and Column	1 (Step 1G) (Rule 1) SSN	2 (Step 1G) (Rule 2) Unique ID	3 (Step 36) Date Established	4 (Step 4) Program Type	5 (Step 41) Outstanding Overpayment	6 (Step 44) Active Collection	7 (Step 33) Type of Overpayments	8 (Step 42A) UI Balance at End of Qtr	9 (Step 42B) Federal Balance at End of Qtr
14.8	E502 (19) Age 91-180 days	Required	Required if State maintains a unique ID	Required ^a	UCFE or UCX				Must be blank or 0	> 0
14.9	E503 (19) Age 181-270 days	Required	Required if State maintains a unique ID	Required ^a	UCFE or UCX				Must be blank or 0	> 0
14.10	E504 (19) Age 271-360 days	Required	Required if State maintains a unique ID	Required ^a	UCFE or UCX				Must be blank or 0	> 0
14.11	E505 (19) Age 361-450 days	Required	Required if State maintains a unique ID	Required ^a	UCFE or UCX				Must be blank or 0	> 0
14.12	E506 (19) Age > 450 days	Required	Required if State maintains a unique ID	Required ^a	UCFE or UCX		Y or N*		Must be blank or 0	> 0
14.13	C312 (11, 12)	Required	Required if State maintains a unique ID	Required ^b	UI		N or D*	Fraud	> 0	> 0 if joint claim; otherwise blank or 0
14.14	C312 (13, 14)	Required	Required if State maintains a unique ID	Required ^b	UI		N or D*	Nonfraud	> 0	> 0 if joint claim; otherwise blank or 0

**VALIDATION POPULATION 14
AGE OF OVERPAYMENTS**

Subpop #	ETA 227C ETA 227E Report, Line, and Column	1 (Step 1G) (Rule 1) SSN	2 (Step 1G) (Rule 2) Unique ID Required if State maintains a unique ID	3 (Step 36) Date Established	4 (Step 4) Program Type	5 (Step 41) Outstanding Overpayment	6 (Step 44) Active Collection	7 (Step 33) Type of Overpayments	8 (Step 42A) UI Balance at End of Qtr	9 (Step 42B) Federal Balance at End of Qtr
14.15	C312 (12)	Required	Required if State maintains a unique ID	Required ^b	UCFE or UCX		N or D*	Fraud	Must be blank or 0	> 0
14.16	C312 (14)	Required	Required if State maintains a unique ID	Required ^b	UCFE or UCX		N or D*	Nonfraud	Must be blank or 0	> 0

Column 3:

^aAges 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."

^bThese overpayments have been reported in line 506 (18, 19) in at least 3 prior quarters.

Column 6:

*Y = Yes, overpayment in active collection in the report quarter

N = No, overpayment not in active collection in the report quarter and has been reported in Section E for eight previous quarters

D = Dropped, overpayment not in active collection in the report quarter after being in active collection in the prior quarter and reported in Section E at least nine previous quarters.

RELATIONSHIP BETWEEN SUBPOPULATIONS IN POPULATION 14
AND ETA 227 REPORTING CELLS
E. PAGE 3 OF FORM

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

RELATIONSHIP BETWEEN SUBPOPULATIONS IN POPULATION 14
AND ETA 227 REPORTING CELLS
C. PAGE 2 OF FORM

C. RECOVERY/RECONCILIATION					
Item	Line No.	Dollar Amount			
		Fraud		Nonfraud	
		UI	UCFE/UCX	UI	UCFE/UCX
		Column 6	Column 7	Column 6	Column 7
		(11)	(12)	(13)	(14)
Receivables Removed at End of Period	312	13	13, 15	14	14, 16

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 9th 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 6 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 7 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.

APPENDIX B

DEV SAMPLING METHODOLOGY

SAMPLING SPECIFICATIONS

A. 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:

- X **Random samples**
- X **Supplemental samples of subpopulations missing from the random sample (missing subpopulations)**
- X **Supplemental samples to examine data outliers**
- X **Supplemental minimum samples**

Each of these four sample types is described below.

1. 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. Initial samples of 30 or 60 cases are reviewed to detect errors; additional cases are reviewed only if the results of the initial sample are inconclusive. However, in the sample selection process, the software will miss some types of payments that occur infrequently. The procedures used by the software for selecting random samples are found on page B.81 of this Appendix. Specifications for each type of random sample are found in Table B.1 on page B.82.

The random sampling approach is very efficient because it allows states with good data and programming to review a relatively small number of cases while still ensuring that the data meet UI validation standards. If a review of 60 cases produces no errors, then it can be concluded that the state's error rate for the sampled type of transaction is less than 5%. If a certain number of errors are detected, however, then an additional 140 cases must be reviewed to more precisely measure the error rate (see Table B.1).

Random samples are used to conduct data element validation for the most important and high risk performance and reporting elements. Depending on the type of sample, the software selects 100 or 200 cases at random to be validated. After the validator reviews the first set of cases (30 for samples of 100 and 60 for samples of 200), the validator makes a determination as to whether it is necessary to continue to review the remaining cases. If there are no errors or a large number of errors, it is not necessary to validate the remaining cases because the error rate 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%.

Pass/fail determinations will be made using the 16 random sample groups. For these groups, if the random sample fails to pass validation, not only must the sample be revalidated within a year but also the report validation must be repeated because the counts cannot be considered reliable. Non-random sample groups are not used when deriving pass/fail scores.

PROCEDURES FOR DETERMINING HOW MANY CASES TO REVIEW

Procedures for reviewing 30 cases:

Step 1: Review the original sample of 30 cases.

0 errors: the error rate is considered to be below 5%, and it is not necessary to review an additional sample.

5 or more errors: the error rate is considered to be above 5%, and it is not necessary to review an additional sample.

1 - 4 errors: the error rate is inconclusive, and an additional sample of 70 cases must be reviewed (proceed to step 2).

Step 2: Review an additional sample of 70 cases.

9 or fewer errors (out of 100): the error rate is considered to be below 5%.

10 or more errors (out of 100): the error rate is considered to be above 5%.

Procedures for reviewing 60 cases:

Step 1: Review the original sample of 60 cases.

0 errors: the error rate is considered to be below 5%, and it is not necessary to review an additional sample.

7 or more or more errors: the error rate is considered to be above 5%, and it is not necessary to review an additional sample

1 - 6 errors: the error rate is inconclusive, and an additional sample of 140 cases must be reviewed (proceed to step 2).

Step 2: Review an additional sample of 140 cases.

15 or fewer errors (out of 200): the error rate is considered to be below 5%.

16 or more errors (out of 200): the error rate is considered to be above 5%.

2. Supplemental Samples to Check One Transaction from Each Subpopulation Missing from the Random Sample (Missing Subpopulations)

It is important to ensure that the validation files are programmed correctly. For populations where random samples are reviewed, the software draws a supplemental sample of one case for each subpopulation that is not selected by the random sample. For example, the random sample of first payments may not include any payments from population 4.12, interstate first payments for claimants with both state UI and federal wages, because this type of payment will occur infrequently. The software would select a sample transaction from subpopulation 4.12 and from any other subpopulation not represented in the random sample. The results of the validation of the supplemental sample are recorded separately from the random sample on the summary and analytical reports.

3. Supplemental Samples to Examine Data Outliers

The random samples and the supplemental samples of missing subpopulations ensure that the population as a whole has been defined correctly, and that each specific subpopulation within the population has been defined correctly. However, neither sample will necessarily examine the high-risk area of time lapse and dollar amount extremes (the shortest and longest time lapses, and the lowest and highest dollar amounts) where data errors or programming errors in time lapse or dollar calculations may occur. Review of data outliers is the most efficient means of detecting calculation or logic errors because it examines the extremes in a distribution of cases sorted by time lapse or dollar amount. To ensure that calculation and date errors have not occurred, this type of sample examines 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 software sorts the file by time lapse days and selects the first five and last five cases on the file. This type of outlier sample is similarly drawn from transactions that report dollar amounts, such as overpayments established and overpayment reconciliation activities. Specifications for each sample of data outliers are found in Table B.1.

4. Supplemental Minimum Samples

Supplemental minimum samples are used for transactions which are 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 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 2 cases per subpopulation (or 8 cases in total) is reviewed and no random sample is drawn. Specifications for each supplemental minimum sample are found in Table B.1.

B. SPECIFICATIONS FOR SELECTING EACH TYPE OF SAMPLE

Table B.1 is a summary of the sampling specifications that appear on each validation population specification. It details each of the samples drawn by the software and specifies the subpopulations sampled, the sample size, the sample name, the sample type, and the type of supporting documentation needed to validate the sample. The validation software draws all of the specified samples and displays them on the worksheet.

Column 1: Sample number

Column 2: Type of Transaction (population)

Column 3: Sample ID corresponds to the sample numbers in the sun-based 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 each RV Pass/Fail sample group

Column 8: Group Name for each RV Pass/Fail sample group

The following example illustrates how Table B.1 works. For example, the first sample grouping of subpopulations 1.1 through 1.3 (intrastate weeks claimed) requires an initial random sample of 60 cases.

TABLE B.1

Benefits Population		Data Element Validation Samples				Pass/Fail Groups	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
Number	Type of Transaction	Sample ID	Sample Name	Type and Size	Universe (Subpops)	Group Number	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
3a	Additional Claims	330	Entering Self Employment Program	Minimum--2	3.46	3.10	218 BY Established by Weeks
		350	Intrastate Additional Claims	Random 60/200	3A.1-3A.3	3a.01	5159 Additional Intrastate
		360	Interstate Liable Additional Claims	Minimum--6	3A.4-3A.6		

Table B.1 (continued)

Benefits Population		Data Element Validation Samples					Pass/Fail Groups	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	
Number	Type of Transaction	Sample ID	Sample Name	Type and Size	Universe (Subpops)	Group Number	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	4.10	5159 UI Weeks Compensated	
		450	CWC Prior Weeks Compensated	Minimum--4	4.50-4.51	4.11	5159 UCFE/JUCX Weeks Compensated	
						4.12	5159 UI Amount Paid (\$)	
						4.13	5159 UCFE/JUCX Amount Paid (\$)	

Table B.1 (continued)

Benefits Population		Data Element Validation Samples				Pass/Fail Groups		
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	
Number	Type of Transaction	Sample ID	Sample Name	Type and Size	Universe (Subpops)	Group Number	Group Name	
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	5.11	9053 Single Claimant Non Monetary Determinations	
		505	Single Claimant Nonmon Determinations	Outliers--10	5.1-5.60	5.03	207 Total Single Claimant Dets and UCFE/UCX Redets	
		510	UI Multi-Claimant Determinations	Minimum--8	5.61-5.64	5.11	207 Single Claimant Denials	
								9053 Multi-Claimant Non Monetary Determinations
								9052 Multi-Claimant Non Monetary Determinations
		520	Single Claimant Redeterminations	Random 30/100	5.65-5.70	5.12	207 UI Single Claimant Redeterminations	
								207 UI Multi-Claimant Determinations
								207 Separation Determinations
								207 Separation Denials
6	Appeals Filed, Lower Authority	600	Appeals Filed, Lower Authority	Minimum--4	6.1-6.2	6.01	207 UI Non Separation Determinations	
		700	Appeals Filed, Higher Authority	Minimum--4	7.1-7.2	7.01	207 UI Non Separation Denials	
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	

Table B.1 (continued)

Benefits Population		Data Element Validation Samples				Pass/Fail Groups	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
Number	Type of Transaction	Sample ID	Sample Name	Type and Size	Universe (Subpops)	Group Number	Group Name
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
		806				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
9	Appeals Decisions, Higher Authority					8.05	5130 UI Decisions (by Issue)
		900	Higher Authority Appeals Decisions	Random 30/100	9.1-9.20; 9.22-9.23	9.01	5130 All Decisions
		905				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)
10	Appeals Case Aging, Lower Authority					9.04	5130 UI in Favor of Appellant
		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

Table B.1 (continued)

Benefits Population		Data Element Validation Samples					Pass/Fail Groups	
		(3)	(4)	(5)	(6)	(7)	(8)	
(1)	(2)	Sample ID	Sample Name	Type and Size	Universe (Subpops)	Group Number	Group Name	
12	Overpayments Established	1200	Overpayment \$ Established	Random 60/200	12.1-12.7; 12.9-12.15	12.04	227 Total Dollars Established (\$)	
		1210	Overpayment \$ Established	Missing Subpops ≤13	12.1-12.7; 12.9-12.15	12.01	227 Multi Schemes, # Cases	
		1220	Overpayment \$ Established	Outliers--10	12.1-12.7; 12.9-12.15	12.02	227 Fraud	
						12.03	227 Non-fraud	
13	Overpayment Reconciliation Activities	1300	Overpayment Reconciliation Activities	Random 30/100	13.1-13.34	13.01	227 Recovered (\$)	
		1310	Overpayment Reconciliation Activities	Missing Subpops ≤33	13.1-13.34	13.02	227 Waived (\$)	
		1320	Overpayment Reconciliation Activities	Outliers--10	13.1-13.34	13.03	227 Written-Off (\$)	
						13.04	227 Addition (\$)	
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 UCFFE/UCX Total Accounts Receivable (\$)	

C. 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 state should refer to the following table (Table B.2) which provides information on the number of errors and conclusions for sample sizes that are less than the supplemented guidelines.

TABLE B.2
NUMBERS OF ERRORS AND CONCLUSIONS FOR SAMPLES
UNDER SUPPLEMENTED GUIDELINES

Total Number of Transactions Sampled (Range)	Conclude Error Rate is Less than 5 Percent if Number of Errors is No More Than:	Conclude Error Rate is at Least 5 Percent if Number of Errors is at Least
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
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APPENDIX C

LADT AND CWC TECHNICAL GUIDANCE

APPENDIX C

CONTENTS

INSTRUCTIONS FOR CREATING RECORDS FOR INTERSTATE
FILED FROM AGENT STATE (LADT)..... C.3

TRAINING GUIDE FOR VALIDATION OF 586 REPORT C.10

**INSTRUCTIONS FOR CREATING RECORDS
FOR INTERSTATE FILED FROM AGENT STATE
WEEKS CLAIMED (POPULATION 1)
AND CLAIMS (POPULATION 3)
FROM THE LIABLE/AGENT DATA TRANSFER (LADT) RECORD**

Attached are two record layouts which provide guidance for creating the parts of the import files for populations 1 and 3 (subpopulations 1.7-1.9 and 3.19-3.21 only) that are derived from LADT individual records transferred to the state from the ICON system. These subfiles must be appended to the other records for populations 1 and 3 before importing the files into the validation software. Consult field number 62 (Record Type) in the LADT record layout to determine which records belong in each respective population. If Record Type = 2, then the record belongs in population 1. If Record Type = 1 or 3, then the record belongs in population 3.

The extract type for each of the two subfiles is ASCII, comma delimited columns. Data must be in the order listed on the record layout. The Module 3 reference indicates the step where the state-specific values for each field are documented. The LADT Field Number indicates the field number of the data element on the LADT record, where applicable. 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.

Population 1: Weeks Claimed

Record Layout for Creating Records for

Interstate Filed From Agent State Weeks Claimed

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)

Number	Field Name	Module 3 Reference	LADT Field Number	Field Description	Data Type/Format
1.	OBS	NA		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 Interstate Received as Liable State: Step 5B – Rules 1 and 2 Interstate Filed From Agent State: Step 5D – Rules 1 and 2	Insert “Interstate Agent”	Intrastate, Interstate received as liable state, or Interstate filed from agent state.	Text – Intrastate; Interstate liable; Interstate agent (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 and had not exhausted their benefits or pending, if there was no final determination of the claimant’s monetary eligiblity.	Text - Eligible; Pending (Optional)

Number	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	NA	Leave Blank	User defined field. Can be used for any additional data element. Not mandatory.	Text (Optional)

Population 3: Claims

Instructions for Creating Records for

Interstate Filed From Agent State Claims

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)

Number	Field Name	Module 3 Reference	LADT Field Number	Field Description	Data Type/Format
1.	OBS	NA		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.	Text – New; Transitional; Entering Self-Employment; Additional; Reopened; CWC New; Prior Qtr New CWC; Prior Qtr New Claim (Required)

Number	Field Name	Module 3 Reference	LADT Field Number	Field Description	Data Type/Format
6.	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 except optional for CWC and entering self-employment program claims)
7.	Intrastate/ Interstate	Intrastate: Step 5A – Rules 1 and 2 Interstate Received as Liable State: Step 5B – Rules 1 and 2 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, Interstate received as liable, Interstate taken as agent, 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 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)

Number	Field Name	Module 3 Reference	LADT Field Number	Field Description	Data Type/Format
9.	Sufficient/ Insufficient/ Combined Wages	Sufficient Wages – New Benefit Year: Step 6C – Rules 1 and 2 Sufficient Wages – No New Benefit Year: Step 6C – Rule 3 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, Sufficient – no new base year established, 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)
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.)

Number	Field Name	Module 3 Reference	LADT Field Number	Field Description	Data Type/Format
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	NA	Leave Blank	User defined filed. Can be used for any additional data element. Not mandatory.	Text (Optional)

TRAINING GUIDE FOR VALIDATION OF 586 REPORT

Using as Example the Quarter of January – March 2006

A. GENERAL GUIDANCE FOR EXTRACTING CWC CLAIMS AND PAYMENTS

The 5159 report includes information on claims filed. Some of those claims are also reported on the 586 report if they involve wages from more than one state (combined wage claims). The reporting logic for the two reports, however, is completely different. Therefore, the validation methodology treats a claim involving wages from more than one state as two separate reporting and validation transactions, even though they represent a single claim. It is important for state programmers to not combine the extract logic for CWC claims with other claims in building the file for population 3.

State programmers need to extract claim records for population 3 (subpopulations 3.1 to 3.33; 3.40 to 3.46) using the 5159 logic (where the issue of wages from multiple states is irrelevant). Then, the programmers need to extract claim records for population 3 (subpopulations for CWC claims 3.34 to 3.39) following the logic presented in the scenarios on the following pages where wages from more than one state are involved (including where wages were requested but not added to the claim). Once the claims are extracted, the programmer must merge the records into a single file to load into the DV software for population 3.

The same methodology is used for CWC payments in population 4. The reporting of weeks compensated on the 5159 report and payments time lapse on the 9050 and 9051 reports is not affected by how many states' wages are used. The reporting logic for weeks compensated on the 586 report is explained in this training guide and is very different from the logic used for the 5159, 9050, and 9051 reports. As with claims, the same payments are reported twice (if they are for a combined wage claim) and are extracted twice for data validation in population 4.

State programmers should extract payments for subpopulations 4.1 to 4.43 using the 5159, 9050, and 9051 logic. Then, using the logic explained in the scenarios on the following pages, create a separate extract 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. CWC CLAIMS AND PAYMENTS REPORTING LOGIC: SIX SCENARIOS

The following scenarios illustrate three ways that combined wage claims and their associated payments are reported and validated on the ETA 586, for the first quarter of 2006 (January to March, 2006.) Therefore, activities in each scenario that were reported on prior 586 reports are listed as NA for that specific quarter. Reporting activities on the 5159 and 218 reports are also listed. Each scenario is very different from the others for reporting and validation purposes.

Scenario 1:

Under the first scenario, wages were requested and combined for the initial claim within the same quarter and before the issuance of the First Payment.

Scenario 2:

Under the second scenario, 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 claim is the payment for the first compensable week after wages were combined. In this scenario, CWC First Payment occurs before an adjustment check is issued for the week compensated prior to the combining of wages.

Scenario 3:

Under the third scenario, 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 and is considered, for data validation purposes, the CWC First Payment.

Scenario 4:

Under the fourth scenario, wages were requested and combined in the quarter after the UI claim was filed. The first check issued to the claimant after wages are combined is an adjustment payment for the four weeks compensated prior to wages being combined, two of which occurred in the prior quarter and are considered CWC Prior Weeks Compensated. The next check is for the first week compensated after wages are combined and is considered for data validation purposes, the CWC First Payment.

Scenario 5:

Under the fifth scenario, 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 claim." 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 claim but not a CWC benefit year since these two events

occur in different quarters. Data validation treats this transaction as an "insufficient CWC claim."

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 claim.

Scenario 6:

Under the sixth scenario, the IB-4 was sent to another state but no new wages were received by the agent state at the time the 218 report is to be filed. This scenario describes the process of reporting for the quarter in which the IB-4 was sent (and a new CWC claim is filled) in Scenario 5.

SCENARIO 1

	Date	Activity	CWC Validation Subpopulation	586 Report Element
1	02/02/2006	New intra UI claim and request for wages from another state	NA	NA
2	02/03/2006	IB-4 sent	Depends on outcome of Monetary New CWC Claim	586-101-1
3	02/06/2006	Monetary determination for \$150 WBA based on wages from two states	3.35 New CWC BY	586-101-2
4	02/10/2006	First Payment \$150	4.44 CWC first payment	586-101-4, 586-101-5 (\$)
5	02/17/2006	Payment \$150	4.46 CWC continued payment	586-101-4, 586-101-5 (\$)
6	02/24/2006	Payment \$150	4.46 CWC continued payment	586-101-4, 586-101-5 (\$)
7	03/03/2006	Payment \$150	4.46 CWC continued payment	586-101-4, 586-101-5 (\$)

1. A new UI intrastate claim is filed and determined sufficient for the maximum WBA on 02/02/2006.
2. 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.
3. A monetary determination is issued that combines wages from two states and sets the WBA at \$150. This results in a new CWC benefit year and is reported on the 586 in cell 101-2.
4. A payment of \$150 is made. This is considered a CWC first payment and is reported on the 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 CWC continued payment and is reported on the 586 in cell 101-4. The dollar amount is reported in cell 101-5.
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.
7. A fourth 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 sample 586 below illustrates the total counts and dollar amounts that the state would report in each applicable cell of the 586 for the first quarter of 2006, if the preceding scenario occurred.

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

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

SCENARIO 2

	Date	Activity	CWC Validation Subpopulation	586 Report Element
1	01/02/2006	New intra UI claim, and a sufficient monetary determination for less than the maximum WBA	NA	NA
2	01/13/2006	Payment \$100	4.46 CWC continued payment	586-101-4, 586-101-5 (\$)
3	01/20/2006	Payment \$100	4.46 CWC continued payment	586-101-4, 586-101-5 (\$)
4	01/24/2006	Request to combine wages, IB-4 sent	Depends on outcome of Monetary New CWC claim	586-101-1
5	01/25/2006	Monetary redetermination increasing WBA to \$150 after wages combined	3.35 New CWC BY	586-101-2
6	02/03/2006	First Payment \$150	4.44 CWC first payment	586-101-4, 586-101-5 (\$)
7	02/09/2006	Adjustment payment for prior weeks compensated \$100 (2 x \$50)	4.48 CWC Adjustment	586-101-5 (\$ only)
8	02/10/2006	Payment \$150	4.46 CWC continued payment	586-101-4, 586-101-5 (\$)
9	02/17/2006	Payment \$150	4.46 CWC continued payment	586-101-4, 586-101-5 (\$)
10	02/24/2006	Payment \$150	4.46 CWC continued payment	586-101-4, 586-101-5 (\$)

1. A new UI intrastate claim is filed and determined sufficient on 01/02/2006.
2. A payment of \$100 is made on 01/13/2006. This payment will be reported as a CWC continued payment on the 586 in cell 101-4. The dollar amount is reported in cell 101-5.
3. A second payment of \$100 is made on 01/04/02. This payment will be reported as a CWC continued payment on the 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 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 and is reported on the 586 in cell 101-2.
6. A payment of \$150 is made. This is considered a CWC first payment and is reported on the 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 586 in cell 101-5.

8. A 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.
9. A 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.
10. A 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 sample 586 below illustrates the total counts and dollar amounts that the state would report in each applicable cell of the 586 for the first quarter of 2006, if the preceding scenario occurred.

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

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

SCENARIO 3

	Date	Activity	CWC Validation Subpopulation	586 Report Element
1	01/02/2006	New intra UI claim, and a sufficient monetary determination for less than the maximum WBA	NA	NA
2	01/13/2006	Payment \$100	4.46 CWC continued payment	586-101-4, 586-101-5 (\$)
3	01/20/2006	Payment \$100	4.46 CWC continued payment	586-101-4, 586-101-5 (\$)
4	01/24/2006	Request to combine wages, IB-4 sent	Depends on outcome of Monetary New CWC claim	586-101-1
5	01/25/2006	Monetary redetermination increasing WBA to \$150 after wages combined	3.35 New CWC BY	586-101-2
6	02/02/2006	Adjustment payment for prior weeks compensated \$100 (2 x \$50)	4.48 CWC Adjustment	586-101-5 (\$)
7	02/03/2006	Payment \$150	4.44 CWC first payment	586-101-4 586-101-5 (\$)
8	02/10/2006	Payment \$150	4.46 CWC continued payment	586-101-4, 586-101-5 (\$)
9	02/17/2006	Payment \$150	4.46 CWC continued payment	586-101-4, 586-101-5 (\$)

1. A new UI intrastate claim is filed on 01/02/2006.
2. A payment of \$100 is made on 01/13/2006. This payment will be reported as a CWC continued payment on the 586 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. This payment will be reported as a CWC continued payment on the 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 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 and is reported on the 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 586 in cell 101-5.
7. A payment of \$150 is made. This is considered a CWC First Payment and is reported on the 586 in cell 101-4. The dollar amount is reported in cell 101-5.
8. A 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.

9. A 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 sample 586 below illustrates the total counts and dollar amounts that the state would report in each applicable cell of the 586 for the first quarter of 2006, if the preceding scenario occurred.

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

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

SCENARIO 4

	Date	Activity	CWC Validation Subpopulation	586 Report Element
1	12/02/2005	New intra UI claim, and a sufficient monetary determination for less than the maximum WBA	NA	NA
2	12/09/2005	Payment \$100	4.50 CWC prior week comp.	586-101-6, 586-101-7 (\$)
3	12/16/2005	Payment \$100	4.50 CWC prior week comp.	586-101-6 586-101-7 (\$)
4	01/06/2006	Payment \$100	4.46 CWC continued payment	586-101-4, 586-101-5 (\$)
5	01/13/2006	Payment \$100	4.46 CWC continued payment	586-101-4, 586-101-5 (\$)
6	01/24/2006	Request to combine wages, IB-4 sent	Depends on outcome of Monetary New CWC claim	586-101-1
7	01/25/2006	Monetary redetermination increasing WBA to \$150 after wages combined	3.35 (include only once) New CWC BY	586-101-2
8	02/02/2006	Adjustment payment \$200 (4 x \$50)	4.48 CWC Adjustment	586-101-5 (\$)
9	02/03/2006	Payment \$150	4.44 CWC first payment	586-101-4, 586-101-5 (\$)
10	02/10/2006	Payment \$150	4.46 CWC continued payment	586-101-4, 586-101-5 (\$)
11	02/17/2006	Payment \$150	4.46 CWC continued payment	586-101-4, 586-101-5 (\$)

1. A new UI intrastate claim is filed and determined sufficient on 12/02/2005.
2. A payment of \$100 is made on 12/09/2005. This payment will be reported as a CWC prior week compensated on the 586 in cell 101-6. The dollar amount is reported in cell 101-7.
3. A second payment of \$100 is made on 12/16/2005. This payment will be reported as a CWC prior week compensated on the 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 payment will be reported as a CWC continued payment on the 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 payment will be reported as a CWC continued payment on the 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 and is reported on the 586 in cell 101-2.

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 586 in cell 101-5
9. A payment of \$150 is made. This is considered a CWC first payment and is reported on the 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 and is reported on the 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 and is reported on the 586 in cell 101-4. The dollar amount is reported in cell 101-5.

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

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

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

SCENARIO 5

	Date	Activity	CWC Validation Subpopulation	586 Report Element
1	12/28/2005	New intra UI claim, determined insufficient.	NA	NA
2	12/28/2005	Request to combine wages, IB-4 sent	3.34 New CWC Claim, wages not combined reported in Q4 2005	Reported in 586-101-1 as new CWC claim in prior quarter in Q1 2006
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
4	01/20/2006	Payment \$150	4.44 CWC first payment	586-101-4, 101-5 (\$)
5	01/27/2006	Payment \$150	4.46 CWC continued payment	586-101-4, 101-5 (\$)

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 claim and is reported on the 586 in cell 101-1 for the fourth quarter of 2005.
3. A monetary redetermination is issued that combines wages and increases the WBA to \$150. This establishes the CWC benefit year and is reported on the 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 for new CWC benefit years when the new claim was reported in the prior quarter.
4. A payment of \$150 is made. This is considered a CWC first payment and is reported on the 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 CWC continued payment and is reported on the 586 in cell 101-4. The dollar amount is reported in cell 101-5.

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

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

		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 Recvd. as Paying State	102	0	0	0	0

SCENARIO 6

	Date	Activity	CWC Validation Subpopulation	586 Report Element
1	12/28/2005	New intra UI claim	NA	NA
2	12/28/2005	Request to combine wages, IB-4 sent	3.34 New CWC Claim with no Monetary. Classified as "Insufficient" (No Wages Combined)	Reported in 586-101-1 as new CWC claim in Q4 2005

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 claim and is reported on the 586 in cell101-1 for the fourth quarter of 2005.

C. EXAMPLE OF ETA 586 REPORT FOR JANUARY TO MARCH, 2006

The sample 586 below illustrates the total counts and dollar amounts that the state would report in each applicable cell of the 586 for the first quarter of 2006, if all of the preceding scenarios occurred. For scenario 6, there is nothing to report in this quarter since wages were never combined to create a new CWC Benefit Year. For both scenarios 5 and 6, the new claim was counted in the previous quarter.

ETA 586A			Persons Establishing Benefit Years
State UI	Line No.	New Claims (1)	(2)
Intrastate	101	4	5
Interstate Recvd. as Paying State	102	0	0

		Weeks Compensated	Benefits Paid	Prior Weeks Compensated	Prior Benefits Paid
State UI	Line No.	(4)	(5)	(6)	(7)
Intrastate	101	22	\$3400	2	\$200
Interstate Recvd. as Paying State	102	0	0	0	0

APPENDIX D
RV SUMMARY REPORTS

Reported Counts for Population 1

Period: 06/01/2003 - 06/30/2003

Report Cell	Description	Validation Counts	Reported Counts	Difference	Percent Difference	Pass/Fail
5159A-201-10	UI, Intrastate	0	865,237	865,237	100.00%	
5159A-202-10	UCFE, Intrastate	0	3,117	3,117	100.00%	
5159A-203-10	UCX, Intrastate	0	8,029	8,029	100.00%	
5159 Intrastate Weeks Claimed Total		0	876,383	876,383	100.00%	FAIL
5159A-201-12	UI, Received as liable	0	24,294	24,294	100.00%	
5159A-202-12	UCFE, Received as liable	0	220	220	100.00%	
5159A-203-12	UCX, Received as liable	0	581	581	100.00%	
5159 Interstate Liable Weeks Claimed Total		0	25,095	25,095	100.00%	FAIL
5159A-201-11	UI, Filed from Agent	6,981	32,891	25,910	371.15%	
5159A-202-11	UCFE, Filed from Agent	26	207	181	696.15%	
5159A-203-11	UCX, Filed from Agent	31	331	300	967.74%	
Interstate Weeks Claimed from Agent State Total		7,038	33,429	26,391	374.98%	FAIL
<input type="button" value="Submit to National Office"/>						

Reported Counts for Population 2

Period: 04/01/2003 - 06/30/2003

Report Cell	Description	Validation Counts	Reported Counts	Difference	Percent Difference	Pass/Fail
5159B-303-26	UI, Final Payment	8,989	70,415	61,426	683.35%	
5159B-303-27	UCFE, Final Payment	11	261	250	2,272.73%	
5159B-303-28	UCX, Final Payment	46	696	650	1,413.04%	
5159 Final Payments Total		9,046	71,372	62,326	688.99%	FAIL
218B-102-8	< 10 Weeks	17	0	17	100.00%	
218B-102-9	10-14 Weeks	1,392	11,979	10,587	760.56%	
218B-102-10	15-19 Weeks	2,146	12,666	10,520	490.21%	
218B-102-11	20-21 Weeks	729	5,611	4,882	669.68%	
218B-102-12	22-23 Weeks	628	7,400	6,772	1,078.34%	
218B-102-13	24-25 Weeks	578	10,083	9,505	1,644.46%	
218B-104-14	26-27 Weeks	3,409	22,676	19,267	565.18%	
218B-104-15	28-29 Weeks	0	0	0	0.00%	
218B-104-16	30-31 Weeks	0	0	0	0.00%	
218B-104-17	32-33 Weeks	0	0	0	0.00%	
218B-104-18	34 Weeks and over	90	0	90	100.00%	
218 Weeks Total		8,989	70,415	61,426	683.35%	FAIL
218B-104-20	4 weeks or more	20	20	0	0.00%	

Reported Counts for Population 3

Period: 01/01/2003 - 03/31/2003

Report Cell	Description	Validation Counts	Reported Counts	Difference	Percent Difference	Pass/Fail
5159A/101-2	UI, New Intra	31,051	212,653	181,602	584.85%	
5159A/101-7	UI, Received as Liable	1,236	6,796	5,560	449.84%	
5159A/102-2	UCFE, New Intra	46	223	177	384.78%	
5159A/102-7	UCFE, Received as Liable	0	25	25	100.00%	
5159A/103-2	UCX, New Intra	81	718	637	786.42%	
5159A/103-7	UCX, Received as Liable	1	45	44	4,400.00%	
5159 New Intra & Inter Received as Liable Total		32,415	220,460	188,045	580.12%	FAIL
5159A/101-4	UI, Filed from Agent	19	11,699	11,680	61,473.68%	
5159A/102-4	UCFE, Filed from Agent	72	89	17	23.61%	
5159A/103-4	UCX, Filed from Agent	0	96	96	100.00%	
5159 Filed from Agent Total		91	11,884	11,793	12,959.34%	FAIL
5159A/101-5	UI, Taken as Agent	11	3,319	3,308	30,072.73%	
5159A/102-5	UCFE, Taken as Agent	0	38	38	100.00%	
5159A/103-5	UCX, Taken as Agent	0	0	0	0.00%	
5159 Taken as Agent Total		11	3,357	3,346	30,418.18%	FAIL

Reported Counts for Population 3a

Period: 01/01/2003 - 03/31/2003

Report Cell	Description	Validation Counts	Reported Counts	Difference	Percent Difference	Pass/Fail
5159A-101-3	UI, Additional Intra	6,062	45,772	39,710	655.06%	
5159A-102-3	UCFE, Additional Intra	6	118	112	1,866.67%	
5159A-103-3	UCX, Additional Intra	4	144	140	3,500.00%	
Additional Intra Total		6,072	46,034	39,962	658.14%	FAIL

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Reported Counts for Population 4

Period: 07/01/2004 - 09/30/2004

Report Cell	Description	Validation Counts	Reported Counts	Difference	Percent Difference	Pass/Fail
9050ALL/2	UI First	217	101,467	101,250	46,658.99%	
9050ALL/3	UCFE First	0	881	881	100.00%	
9050ALL/4	UCX First	7	1,862	1,855	26,500.00%	
9050ALL/6	Inter UI First	10	1,954	1,944	19,440.00%	
9050ALL/7	Inter UCFE First	0	27	27	100.00%	
9050ALL/8	Inter UCX First	0	37	37	100.00%	
9050 First Payments Total		234	106,228	105,994	45,296.58%	FAIL
9050PART/2	UI First Partial	5	5,956	5,951	119,020.00%	
9050PART/3	UCFE First Partial	0	33	33	100.00%	
9050PART/4	UCX First Partial	0	56	56	100.00%	
9050PART/6	Inter UI First Partial	0	70	70	100.00%	
9050PART/7	Inter UCFE First Partial	0	2	2	100.00%	
9050PART/8	Inter UCX First Partial	0	2	2	100.00%	
9050 Partial First Payments Total		5	6,119	6,114	122,280.00%	FAIL
9051ALL/2	UI Continued	4,451	1,549,223	1,544,772	34,706.18%	
9051ALL/3	UCFE Continued	11	10,569	10,558	95,981.82%	

Reported Counts for Population 5

Period: 10/01/2004 - 12/31/2004

Report Cell	Description	Validation Counts	Reported Counts	Difference	Percent Difference	Pass/Fail
207A/101-2	UI,Total Determinations	29,920	0	29,920	100.00%	
207A/103-1	UI,Total Detsm & Redets)	90	0	90	100.00%	
207A/105-1	UCX,Total(Dets & Redets)	91	0	91	100.00%	
207 Total Single Claimant Dets and UCFE/UCX Redets Total		30,101	0	30,101	100.00%	FAIL
207A/101-3	UI,Total Redeterminations	2,294	0	2,294	100.00%	
207 UI Single Claimant Redeterminations Total		2,294	0	2,294	100.00%	FAIL
207A/102-2	UI,Total Determinations Denials	21,700	0	21,700	100.00%	
207A/102-3	UI,Redeterminations Denials	153	0	153	100.00%	
207A/104-1	UCFE,Total Denials	64	0	64	100.00%	
207A/106-1	UCX,Total Denials	82	0	82	100.00%	
207 Single Claimant Denials Total		21,999	0	21,999	100.00%	FAIL
207A/101-5	UI Multi-Claimant Labor Dispute	67	0	67	100.00%	
207A/101-6	UI Multi-Claimant Other	0	0	0	0.00%	
207 UI Multi-Claimant Determinations Total		67	0	67	100.00%	FAIL

Reported Counts for Population 6

Period: 12/01/2004 - 12/31/2004

Report Cell	Description	Validation Counts	Reported Counts	Difference	Percent Difference	Pass/Fail
5130B/200-8	Single Claimant	100	0	100	100.00%	
5130B/200-10	Multi-Claimant	5	0	5	100.00%	
5130 Lower Authority Appeals Total		105	0	105	100.00%	FAIL

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Reported Counts for Population 7

Period: 07/01/2003 - 07/31/2003

Report Cell	Description	Validation Counts	Reported Counts	Difference	Percent Difference	Pass/Fail
5130B/200-9	Single Claimant	100	1,984	1,884	1,884.00%	
5130B/200-11	Multi-Claimant	16	0	16	100.00%	
5130 Higher Authority Appeals Total		116	1,984	1,868	1,610.34%	FAIL

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Reported Counts for Population 8

Period: 12/01/2004 - 12/31/2004

Report Cell	Description	Validation Counts	Reported Counts	Difference	Percent Difference	Pass/Fail
5130A/100-1	UI Decision	1,325	0	1,325	100.00%	
5130A/100-3	UCFE Decision	4	0	4	100.00%	
5130A/100-5	UCX Decision	4	0	4	100.00%	
5130 All Decisions Total		1,333	0	1,333	100.00%	FAIL
5130B/210-8	UI Single Claimant Disposed of	1,277	0	1,277	100.00%	
5130B/210-10	UI Multi Claimant Disposed of	58	0	58	100.00%	
5130 UI Disposed of During Month Total		1,335	0	1,335	100.00%	FAIL
5130C/300-14	UI Total Claimant	870	0	870	100.00%	
5130C/300-16	UI Total Employer	443	0	443	100.00%	
5130C/300-18	UI Total Other	12	0	12	100.00%	
5130 UI Decision(by Type) Total		1,325	0	1,325	100.00%	FAIL
5130C/310-14	UI In Favor of Claimant	253	0	253	100.00%	
5130C/310-16	UI In Favor of Employer	167	0	167	100.00%	
5130C/310-18	UI In Favor of Other	6	0	6	100.00%	

Reported Counts for Population 9

Period: 07/01/2003 - 07/31/2003

Report Cell	Description	Validation Counts	Reported Counts	Difference	Percent Difference	Pass/Fail
5130A/100-2	UI Decision	343	2,192	1,849	539.07%	
5130A/100-4	UCFE Decision	1	9	8	800.00%	
5130A/100-6	UCX Decision	0	5	5	100.00%	
5130 All Decisions Total		344	2,206	1,862	541.28%	FAIL
5130B/210-9	UI Single Claimant Disposed	291	2,192	1,901	653.26%	
5130B/210-11	UI Multi Claimant Disposed	62	0	62	100.00%	
5130 UI Disposed of During Month Total		353	2,192	1,839	520.96%	FAIL
5130C/300-15	UI Decision/Claimant	208	1,603	1,395	670.67%	
5130C/300-17	UI Decision/Employer	123	589	466	378.86%	
5130C/300-19	UI Decision/Other	12	0	12	100.00%	
5130 UI Decision(by Type) Total		343	2,192	1,849	539.07%	FAIL
5130C/310-15	UI In Decision Favor of Claimant	53	31	22	41.51%	
5130C/310-17	UI In Decision Favor of Employer	17	114	97	570.59%	
5130 UI in Favor of Apellant Total		70	145	75	107.14%	FAIL

Reported Counts for Population 10

Period: 07/01/2003 - 07/31/2003

Report Cell	Description	Validation Counts	Reported Counts	Difference	Percent Difference	Pass/Fail
9055A/1	Total Aging	870	36,927	36,057	4,144.48%	
9055 Lower Authority Appeals Case Aging Total		870	36,927	36,057	4,144.48%	FAIL

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View Reported Counts for Population 11 - Microsoft Internet Explorer

Address <http://uisqa2.uis.doleta.gov:8080/dataval/options.jsp> Go

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Reported Counts for Population 11

Period: 07/01/2003 - 07/31/2003

Report Cell	Description	Validation Counts	Reported Counts	Difference	Percent Difference	Pass/Fail
9055B/1	Total Aging	355	2,185	1,830	515.49%	
9055 Higher Authority Appeals Case Aging Total		355	2,185	1,830	515.49%	FAIL

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Reported Counts for Population 12

Period: 07/01/2005 - 09/30/2005

Report Cell	Description	Validation Counts	Reported Counts	Difference	Percent Difference	Pass/Fail
227A/102-2	Multi Schemes- UI # Cases	0	0	0	0.00%	
227A/102-3	Multi Schemes- UCFE/UCX# Cases	0	0	0	0.00%	
227 Multi Schemes,# Cases Total		0	0	0	0.00%	PASS
227A/101-2	Fraud- UI#	120	0	120	100.00%	
227A/101-3	Fraud- UCFE/UCX#	1	0	1	100.00%	
227 Fraud Total		121	0	121	100.00%	FAIL
227A/104-2	Reversal- UI#	1	0	1	100.00%	
227A/104-3	Reversal- UCFE/UCX#	0	0	0	0.00%	
227A/105-2	SESA- UI#	88	0	88	100.00%	
227A/105-3	SESA - UCFE/UCX#	4	0	4	100.00%	
227A/106-2	Employer- UI#	74	0	74	100.00%	
227A/106-3	Employer- UCFE/UCX#	1	0	1	100.00%	
227A/107-2	Claimant - UI#	457	0	457	100.00%	
227A/107-3	Claimant - UCFE/UCX#	4	0	4	100.00%	
227A/108-2	Other - UI#	0	0	0	0.00%	

Reported Dollars for Population 13

Period: 04/01/2003 - 06/30/2003

Report Cell	Description	Validation Dollars	Reported Dollars	Difference	Percent Difference	Pass/Fail
227C/303-11	Cash- UI Fraud \$	124,658	657,301	532,643	427.28%	
227C/303-12	Cash- UCFE/UCX Fraud \$	1,512	9,787	8,275	547.29%	
227C/303-13	Cash- UI Non Fraud \$	303,389	1,446,411	1,143,022	376.75%	
227C/303-14	Cash- UCFE/UCX Non Fraud \$	2,859	43,689	40,830	1,428.12%	
227C/304-11	Offset- UI Fraud \$	203,416	1,114,588	911,172	447.94%	
227C/304-12	Offset- UCFE/UCX Fraud \$	682	10,995	10,313	1,512.17%	
227C/304-13	Offset- UI Non Fraud \$	649,141	6,255,755	5,606,614	863.70%	
227C/304-14	Offset- UCFE/UCX Non Fraud \$	3,564	104,572	101,008	2,834.12%	
227C/305-11	State Offset- UI Fraud \$	116,088	0	116,088	100.00%	
227C/305-12	State Offset- UCFE/UCX Fraud \$	299	0	299	100.00%	
227C/305-13	State Offset- UI Non Fraud \$	597,934	0	597,934	100.00%	
227C/305-14	State Offser- UCFE/UCX Non Fraud \$	8,281	0	8,281	100.00%	
227C/306-11	Other State Offset- UI Fraud \$	1,384	2,066	682	49.28%	
227C/306-12	Other State Offset- UCFE/UCX Fraud \$	0	0	0	0.00%	
227C/306-13	Other State Offset- UI Non Fraud \$	1,732	9,875	8,143	470.15%	
227C/306-14	Other State Offser- UCFE/UCX Non Fraud	0	0	0	0.00%	

Reported Dollars for Population 14

Period: 07/01/2005 - 09/30/2005

Report Cell	Description	Validation Dollars	Reported Dollars	Difference	Percent Difference	Pass/Fail
227E/501-18	UI<=90	358,764	0	358,764	100.00%	
227E/502-18	UI 91 - 180	322,359	0	322,359	100.00%	
227E/503-18	UI 181- 270	231,652	0	231,652	100.00%	
227E/504-18	UI 271- 360	215,884	0	215,884	100.00%	
227E/505-18	UI 361-450	237,661	0	237,661	100.00%	
227E/506-18	UI >= 451	1,039,725	0	1,039,725	100.00%	
227 UI Total Accounts Receivable (\$)		2,406,045	0	2,406,045	100.00%	FAIL
227E/501-19	UCFE/UCX<=90	11,061	0	11,061	100.00%	
227E/502-19	UCFE/UCX 91 - 180	2,426	0	2,426	100.00%	
227E/503-19	UCFE/UCX 181- 270	20	0	20	100.00%	
227E/504-19	UCFE/UCX 271- 360	0	0	0	0.00%	
227E/505-19	UCFE/UCX 361-450	0	0	0	0.00%	
227E/506-19	UCFE/UCX >= 451	1,172	0	1,172	100.00%	
227 UCFE/UCX Total Accounts Receivable (\$)		14,679	0	14,679	100.00%	FAIL
227C/312-11	UI Fraud\$	39,070	0	39,070	100.00%	

APPENDIX E

DEV WORKSHEETS

Sample Validation for Population 1

120 (Interstate Weeks Claimed from Agent) - Minimum

Save Save As... Save and Submit to National Office Print Preview Print Worksheets

Check All	Row #	OBS	Subpop	1 (Step 1A) Week Claimed	2 (Step 1A) SSN	Pass/Fail	3 (Step 2) Type UI Program	Pass/Fail	4 (Step 4) Program Type	Pass/Fail	5 (Step 5) Intra/Inter	Pass/Fail	6 (Step 11) (Rule 1) Date week Claimed	Pass/Fail	7 (Step 11) (Rule 2) Mon Elig / Pending	Pass/Fail	8 (Step 11) (Fail Exam)
<input type="checkbox"/>	1	100000001	1.7	2003-06-14		Pass	REGULAR UI-2	Fail	UI-0	Pass	INTERSTATE AGENT -1	Pass	2003-06-28	Pass	ELIGIBLE -0	Pass	0.00
<input type="checkbox"/>	2	100000002	1.7	2003-06-21		Fail	REGULAR UI-2	Fail	UI-0	Fail	INTERSTATE AGENT -1	Pass	2003-06-28	Pass	ELIGIBLE -0	Pass	0.00
<input type="checkbox"/>	3	100001867	1.8	2003-05-24		Fail	REGULAR UI-2	Fail	UCFE-5	Pass	INTERSTATE AGENT -1	Pass	2003-06-07	Pass	ELIGIBLE -0	Pass	0.00
<input type="checkbox"/>	4	100001868	1.8	2003-05-31		Fail	REGULAR UI-2	Fail	UCFE-5	Pass	INTERSTATE AGENT -1	Pass	2003-06-07	Pass	ELIGIBLE -0	Pass	0.00
<input type="checkbox"/>	5	100000720	1.9	2003-05-24		Fail	REGULAR UI-2	Fail	UCX-7	Fail	INTERSTATE AGENT -1	Pass	2003-06-02	Pass	ELIGIBLE -0	Pass	0.00
<input type="checkbox"/>	6	100000721	1.9	2003-05-31		Fail	REGULAR UI-2	Fail	UCX-7	Fail	INTERSTATE AGENT -1	Pass	2003-06-02	Pass	ELIGIBLE -0	Pass	0.00

Match Errors	UI Program Type	Program Type	Intra/Inter	Date Week Claimed	Elig/Pending	Earnings	Cases Reviewed	Cases in Error
5	6	3	0	0	0	0	6	6

Save Save As... Save and Submit to National Office Print Preview Print Worksheets

Sample Validation for Population 2

200 (Final Payments) - Random

Save Save As... Save and Submit to National Office Print Preview Print Worksheets

Check All <input type="checkbox"/>	Row #	OBS	Subpop	1 (Step 1C) SSN	2 (Step 1C) Check #	Pass/Fail	3 (Step 2) Type UI Program	Pass/Fail	4 (Step 4) Program Type	Pass/Fail	5 (Step 9A) MBEA	6 (Step 9A) WBEA	7 (Step 9A) Actual Weeks Duration	Pass/Fail	8 (Step 9B, 9C) Max Weeks	Pass/Fail	9 (Step 10C) Mail Date	Pass/Fail
Pass Row <input type="checkbox"/>	1	3108	2.1		0000		REGULAR UI-2		UI-0		7,878.00	303.00	26		Y		2003-06-04	
Pass Row <input type="checkbox"/>	2	7324	2.1		0000		REGULAR UI-2		UI-0		3,042.00	117.00	26		Y		2003-06-09	
Pass Row <input type="checkbox"/>	3	3314	2.1		0000		REGULAR UI-2		UI-0		8,164.00	314.00	26		Y		2003-06-10	
Pass Row <input type="checkbox"/>	4	5453	2.1		0000		REGULAR UI-2		UI-0		6,930.00	273.00	26		Y		2003-05-29	
Pass Row <input type="checkbox"/>	5	6397	2.1		0000		REGULAR UI-2		UI-0		4,316.00	166.00	26		Y		2003-05-28	
Pass Row <input type="checkbox"/>	6	1584	2.1		0000		REGULAR UI-2		UI-0		7,644.00	294.00	26		Y		2003-04-16	
Pass Row <input type="checkbox"/>	7	6800	2.1		0000		REGULAR UI-2		UI-0		7,592.00	292.00	26		Y		2003-06-18	
Pass Row <input type="checkbox"/>	8	4453	2.1		0000		REGULAR UI-2		UI-0		7,592.00	292.00	26		Y		2003-05-07	

http://uisqa2.uis.doleta.gov - Sample Validation for Population 3 Sample ID - 300 Type = Random - Microsoft Internet Explorer

Sample Validation for Population 3

300 (New Intra & Inter Liable Claims) - Random

Check All <input type="checkbox"/>	Row #	OBS	Subpop	1 (Step 1B) SSN	Pass/Fail	2 (Step 3A) (Step 3C) (Rule 1) Claim Filed	Pass/Fail	3 (Step 2) Type UI Program	Pass/Fail	4 (Step 3) Claim Type	Pass/Fail	5 (Step 4) Program Type	Pass/Fail	6 (Step 5) Intra/Inter	Pass/Fail	7 (Step 6A) (Step 6B) Date of Orig Monetary	Pass/Fail
Pass Row <input type="checkbox"/>	1	22278	3.4	<input type="text"/>	Pass	2004-12-13	Pass	REGULAR UI-UI	Pass	NEW	Pass	UI-MN	Pass	INTRASTATE 1	Pass	2004-12-13	Pass
Pass Row <input type="checkbox"/>	2	21005	3.4	<input type="text"/>	Fail	2004-10-28	Pass	REGULAR UI-UI	Pass	NEW	Pass	UI-MN	Pass	INTRASTATE 1	Pass	2004-10-28	Pass
Pass Row <input type="checkbox"/>	3	13218	3.4	<input type="text"/>	Pass	2004-12-27	Pass	REGULAR UI-UI	Pass	NEW	Pass	UI-MN	Pass	INTRASTATE 1	Pass	2004-12-27	Pass
Pass Row <input type="checkbox"/>	4	10053	3.5	<input type="text"/>	Pass	2004-12-23	Pass	REGULAR UI-UI	Pass	NEW	Pass	UI-MN	Pass	INTRASTATE 1	Pass	2004-12-23	Pass
Pass Row <input type="checkbox"/>	5	25622	3.4	<input type="text"/>	Pass	2004-10-18	Pass	REGULAR UI-UI	Pass	NEW	Pass	UI-MN	Pass	INTRASTATE 1	Pass	2004-10-18	Pass
Pass Row <input type="checkbox"/>	6	1261	3.5	<input type="text"/>	Pass	2004-12-07	Pass	REGULAR UI-UI	Pass	NEW	Pass	UI-MN	Pass	INTRASTATE 1	Pass	2004-12-07	Pass
Pass Row <input type="checkbox"/>	7	35056	3.4	<input type="text"/>	Pass	2004-12-27	Pass	REGULAR UI-UI	Pass	NEW	Pass	UI-MN	Pass	INTRASTATE 1	Pass	2004-12-27	Pass

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Sample Validation for Population 3a

350 (Intrastate Additional Claims) - Random

Save Save As... Save and Submit to National Office Print Preview Print Worksheets

Check All <input type="checkbox"/>	Row #	OBS	Subpop	1 (Step 1A) SSN	Pass/Fail	2 (Step 1B) (Step 3E) Claim Filed	Pass/Fail	3 (Step 2) Type UI Program	Pass/Fail	4 (Step 3E) Claim Type	Pass/Fail	5 (Step 4) Program Type	Pass/Fail	6 (Step 5) Intra/Inter	Pass/Fail	7 (Step 3E) (Rule 3) Unclaimed Week
Pass Row <input type="checkbox"/>	1	3764	3A.1			2003-03-03		REGULAR UI-2		ADDITIONAL		UI-0		INTRASTATE -0		2003-03-01
Pass Row <input type="checkbox"/>	2	5658	3A.1			2003-03-26		REGULAR UI-2		ADDITIONAL		UI-0		INTRASTATE -0		2003-03-22
Pass Row <input type="checkbox"/>	3	1530	3A.1			2003-03-24		REGULAR UI-2		ADDITIONAL		UI-0		INTRASTATE -0		2003-03-22
Pass Row <input type="checkbox"/>	4	4932	3A.1			2003-01-22		REGULAR UI-2		ADDITIONAL		UI-0		INTRASTATE -0		2003-01-18
Pass Row <input type="checkbox"/>	5	4222	3A.1			2003-01-17		REGULAR UI-2		ADDITIONAL		UI-0		INTRASTATE -0		2003-01-11
Pass Row <input type="checkbox"/>	6	5522	3A.1			2003-02-25		REGULAR UI-2		ADDITIONAL		UI-0		INTRASTATE -0		2003-02-22
Pass Row <input type="checkbox"/>	7	5052	3A.1			2003-01-22		REGULAR UI-2		ADDITIONAL		UI-0		INTRASTATE -0		2003-01-18
Pass Row <input type="checkbox"/>	8	5736	3A.1			2003-02-11		REGULAR UI-2		ADDITIONAL		UI-0		INTRASTATE -0		2003-02-08

Sample Validation for Population 4

400 (First Payments) - Random

Save Save As... Save and Submit to National Office Print Preview Print Worksheets

Check All	Row #	OBS	Subpop	1 (Step 1C) SSN	2 (Step 1C) Check ID	Pass/Fail	3 (Step 2) Type UI Program	Pass/Fail	4 (Step 4) Program Type	Pass/Fail	5 (Step 5) Intra/Inter	Pass/Fail	6 (Step 10A) (Step 10B) (Step 10F) (Step 10G) Comp Type	Pass/Fail	7 (Step 10D) (Step 10E) Partial/Total	Pass/Fail
<input type="checkbox"/>	Pass Row 1	955	4.1		0425119838		REGULAR UI		UI ONLY		INTRASTATE		FIRST PAYMENT		TOTAL	
<input type="checkbox"/>	Pass Row 2	2066	4.1		0425900089		REGULAR UI		UI ONLY		INTRASTATE		FIRST PAYMENT		TOTAL	
<input type="checkbox"/>	Pass Row 3	2724	4.1		0427300102		REGULAR UI		UI ONLY		INTRASTATE		FIRST PAYMENT		TOTAL	
<input type="checkbox"/>	Pass Row 4	275	4.2		0427100077		REGULAR UI		UI ONLY		INTERSTATE		FIRST PAYMENT		TOTAL	
<input type="checkbox"/>	Pass Row 5	2390	4.1		0426400175		REGULAR UI		UI ONLY		INTRASTATE		FIRST PAYMENT		TOTAL	
<input type="checkbox"/>	Pass Row 6	1058	4.1		0425800070		REGULAR UI		UI ONLY		INTRASTATE		FIRST PAYMENT		TOTAL	
<input type="checkbox"/>	Pass Row 7	131	4.1		0425300042		REGULAR UI		UI ONLY		INTRASTATE		FIRST PAYMENT		TOTAL	
<input type="checkbox"/>	Pass Row 8	2536	4.1		0420200124		REGULAR UI		UI ONLY		INTRASTATE CWC		FIRST PAYMENT		TOTAL	

Sample Validation for Population 5

500 (Single Claimant Nonmon Determinations) - Random

Save Save As... Save and Submit to National Office Print Preview Print Worksheets

Check All	Row #	OBS	Subpop	1 (Step 1D) SSN	2 (Step 1D) Issue Number	Pass/Fail	3 (Step 2) Type UI Program	Pass/Fail	4 (Step 4) Program Type	Pass/Fail	5 (Step 5) Intra/Inter	Pass/Fail	6 (Step 16) Det/Redet	Pass/Fail	7 (Step 17) Single/Multi	Pass/Fail
<input type="checkbox"/>	1	13301	5.22		100004		REGULAR UI-UI		UI-MN		INTRASTATE -0171		DETERMINATION		SINGLE-0	
<input type="checkbox"/>	2	24707	5.23		100001		REGULAR UI-UI		UI-MN		INTRASTATE -0171		DETERMINATION		SINGLE-0	
<input type="checkbox"/>	3	16444	5.22		100002		REGULAR UI-UI		UI-MN		INTRASTATE -0724		DETERMINATION		SINGLE-0	
<input type="checkbox"/>	4	23769	5.2		100002		REGULAR UI-UI		UI-MN		INTRASTATE -1193		DETERMINATION		SINGLE-0	
<input type="checkbox"/>	5	29552	5.22		100006		REGULAR UI-UI		UI-MN		INTRASTATE -0141		DETERMINATION		SINGLE-0	
<input type="checkbox"/>	6	26861	5.26		100003		REGULAR UI-UI		UI-MN		INTRASTATE -0477		DETERMINATION		SINGLE-0	
<input type="checkbox"/>	7	817	5.2		100001		REGULAR UI-UI		UI-MN		INTRASTATE -0711		DETERMINATION		SINGLE-0	
<input type="checkbox"/>	8	15885	5.23		100001		REGULAR UI-UI		UI-MN		INTRASTATE -0171		DETERMINATION		SINGLE-0	

ETA-DESKTOP - Citrix ICA Client
 http://uisqa2.uis.doleta.gov - Sample Validation for Population 6 Sample ID - 600 Type = Minimu - Microsoft Internet Explorer

Sample Validation for Population 6

600 (Appeals Filed, Lower Authority) - Minimum

Check All <input type="checkbox"/>	Row #	OBS	Subpop	1 (Step 1E) SSN	2 (Step 1E) Docket #	Pass/Fail	3 (Step 24A) Low Auth Appeal	Pass/Fail	4 (Step 25A) (Step 25B) Single/Multi	Pass/Fail	5 (Step 25E) Num of Claimants	Pass/Fail	6 (Step 32) Date Filed	Pass/Fail
Pass Row <input type="checkbox"/>	1	1	6.1		1078904003		LOWER-AP		S		0		2004-12-06	
Pass Row <input type="checkbox"/>	2	2	6.1		1232804003		LOWER-AP		S		0		2004-12-02	
Pass Row <input type="checkbox"/>	3	1298	6.2		1929804001		LOWER-AP		M		2		2004-12-29	
Pass Row <input type="checkbox"/>	4	1299	6.2		1929904001		LOWER-AP		M		3		2004-12-29	
Match Errors		Low Auth Appeal			Single/Multi		Num of Claimants		Date Filed		Cases Reviewed		Cases in Error	
0		0			0		0		0		0		0	

Start | View Samples for Populat... | http://uisqa2.uis.dole...

Sample Validation for Population 7

700 (Appeals Filed, Higher Authority) - Minimum

Save Save As... Save and Submit to National Office Print Preview Print Worksheets

Check All	Row #	OBS	Subpop	1 (Step 1E) SSN	2 (Step 1E) Docket #	Pass/Fail	3 (Step 24B) High Auth Appeal	Pass/Fail	4 (Step 25A) (Step 25B) Single/Multi	Pass/Fail	5 (Step 25B) Num of Claimants	Pass/Fail	6 (Step 32) Date Filed	Pass/Fail
Pass Row <input type="checkbox"/>	1	1	7.1		10307092		HIGHER-B		S		1		2003-07-17	
Pass Row <input type="checkbox"/>	2	2	7.1		10307614		HIGHER-B		S		1		2003-07-31	
Pass Row <input type="checkbox"/>	3	1298	7.2		1929804001		HIGHER-B		M		2		2003-07-23	
Pass Row <input type="checkbox"/>	4	1299	7.2		1929904001		HIGHER-B		M		3		2003-07-23	
Match Errors		High Auth Appeal			Single/Multi		Num of Claimants		Date Filed		Cases Reviewed		Cases in Error	
0		0			0		0		0		0		0	

Save Save As... Save and Submit to National Office Print Preview Print Worksheets

http://uisqa2.uis.doleta.gov - Sample Validation for Population 8 Sample ID - 800 Type = Random - Microsoft Internet Explorer

Sample Validation for Population 8

800 (Lower Authority Appeals Decisions) - Random

Check All <input type="checkbox"/>	Row #	OBS	Subpop	1 (Step 1E) SSN	2 (Step 1E) Docket #	Pass/Fail	3 (Step 2) Type UI Program	Pass/Fail	4 (Step 4) Program Type	Pass/Fail	5 (Step 5) Intra/Inter	Pass/Fail	6 (Step 24A) Low Auth Appeal	Pass/Fail	7 (Step 25A) (Step 25B) Single/Multi	Pass/Fail
Pass Row <input type="checkbox"/>	1	322	8.3		1834704001		REGULAR UI-UI		UI-MN		INTRASTATE- 0145		LOWER- AP		S -0000	
Pass Row <input type="checkbox"/>	2	657	8.10		1775804001		REGULAR UI-UI		UI-MN		INTRASTATE- 0171		LOWER- AP		S -0000	
Pass Row <input type="checkbox"/>	3	244	8.3		1747604001		REGULAR UI-UI		UI-MN		INTRASTATE- 0161		LOWER- AP		S -0000	
Pass Row <input type="checkbox"/>	4	819	8.11		1703104002		REGULAR UI-UI		UI-MN		INTRASTATE- 0141		LOWER- AP		S -0000	
Pass Row <input type="checkbox"/>	5	936	8.12		1754904001		REGULAR UI-UI		UI-MN		INTRASTATE- 0171		LOWER- AP		S -0000	
Pass Row <input type="checkbox"/>	6	1336	8.35		1809104001		REGULAR UI-UI		UI-MN		INTRASTATE- 0100		LOWER- AP		S -0000	
Pass Row <input type="checkbox"/>	7	843	8.11		1714804002		REGULAR UI-UI		UI-MN		INTRASTATE- 0146		LOWER- AP		S -0000	
Pass Row <input type="checkbox"/>	8	982	8.12		1711404001		REGULAR UI-UI		UI-MN		INTRASTATE- 0146		LOWER- AP		S -0000	

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Sample Validation for Population 9

900 (Higher Authority Appeals Decisions) - Random

Save Save As... Save and Submit to National Office Print Preview Print Worksheets

Check All <input type="checkbox"/>	Row #	OBS	Subpop	1 (Step 1F) SSN	2 (Step 1F) Docket #	Pass/Fail	3 (Step 2) Type UI Program	Pass/Fail	4 (Step 4) Program Type	Pass/Fail	5 (Step 5) Intra/Inter	Pass/Fail	6 (Step 24B) High Auth Appeal	Pass/Fail	7 (Step 25A) (Step 25B) Single/Multi	Pass/Fail
Pass Row <input type="checkbox"/>	1	6	9.1		10308386		REGULAR UI-0		UI-0		INTRASTATE -1		HIGHER- 0		S-	
Pass Row <input type="checkbox"/>	2	38	9.1		10304388		REGULAR UI-0		UI-0		INTRASTATE -1		HIGHER- A		S-	
Pass Row <input type="checkbox"/>	3	238	9.1		10305003		REGULAR UI-0		UI-0		INTRASTATE -1		HIGHER- A		S-	
Pass Row <input type="checkbox"/>	4	141	9.1		10303275		REGULAR UI-0		UI-0		INTRASTATE -1		HIGHER- A		S-	
Pass Row <input type="checkbox"/>	5	93	9.1		10304722		REGULAR UI-0		UI-0		INTRASTATE -1		HIGHER- A		S-	
Pass Row <input type="checkbox"/>	6	281	9.1		10304943		REGULAR UI-0		UI-0		INTRASTATE -1		HIGHER- A		S-	
Pass Row <input type="checkbox"/>	7	86	9.1		10304291		REGULAR UI-0		UI-0		INTRASTATE -1		HIGHER- A		S-	
Pass Row <input type="checkbox"/>	8	171	9.1		10304351		REGULAR UI-0		UI-0		INTRASTATE -1		HIGHER- A		S-	

Sample Validation for Population 10

1000 (Appeals Case Aging, Lower Authority) - Outliers

Save Save As... Save and Submit to National Office Print Preview Print Worksheets

Check All <input type="checkbox"/>	Row #	OBS	Subpop	1 (Step 1E) SSN	2 (Step 1E) Docket #	Pass/Fail	3 (Step 24A) Low Auth Appeal	Pass/Fail	4 (Step 29E) Time Lapse	Pass/Fail	5 (Step 30E) Appeal Pending	Pass/Fail	6 (Step 32) Date Filed	Pass/Fail
Pass Row <input type="checkbox"/>	1	603	10.1		0010308731		LOWER-A		0		NO DECISION-		2003-07-31	
Pass Row <input type="checkbox"/>	2	496	10.1		0010308707		LOWER-A		0		NO DECISION-		2003-07-31	
Pass Row <input type="checkbox"/>	3	121	10.1		0010308727		LOWER-A		0		NO DECISION-		2003-07-31	
Pass Row <input type="checkbox"/>	4	745	10.1		0010308733		LOWER-A		0		NO DECISION-		2003-07-31	
Pass Row <input type="checkbox"/>	5	381	10.1		0010308705		LOWER-A		0		NO DECISION-		2003-07-31	
Pass Row <input type="checkbox"/>	6	339	10.6		0010211055		LOWER-A		337		NO DECISION-		2002-08-28	
Pass Row <input type="checkbox"/>	7	298	10.6		0010211054		LOWER-A		337		NO DECISION-		2002-08-28	
Pass Row <input type="checkbox"/>	8	635	10.6		0010211052		LOWER-A		337		NO DECISION-		2002-08-28	
Pass <input type="checkbox"/>														

Sample Validation for Population 11

1100 (Appeals Case Aging, Higher Authority) - Outliers

Save Save As... Save and Submit to National Office Print Preview Print Worksheets

Check All <input type="checkbox"/>	Row #	OBS	Subpop	1 (Step 1F) SSN	2 (Step 1F) Docket #	Pass/Fail	3 (Step 24E) High Auth Appeal	Pass/Fail	4 (Step 29E) Time Lapse	Pass/Fail	5 (Step 30B) Appeal Pending	Pass/Fail	6 (Step 32) Date Filed	Pass/Fail
Pass Row <input type="checkbox"/>	1	117	11.1		0010307511		HIGHER-B		0		NO DECISION-		2003-07-31	
Pass Row <input type="checkbox"/>	2	284	11.1		0010307942		HIGHER-B		0		NO DECISION-		2003-07-31	
Pass Row <input type="checkbox"/>	3	54	11.1		0010307716		HIGHER-B		1		NO DECISION-		2003-07-30	
Pass Row <input type="checkbox"/>	4	262	11.1		0010307650		HIGHER-B		2		NO DECISION-		2003-07-29	
Pass Row <input type="checkbox"/>	5	215	11.1		0010307456		HIGHER-B		2		NO DECISION-		2003-07-29	
Pass Row <input type="checkbox"/>	6	180	11.2		0010304200		HIGHER-		63		NO		2003-	

Sample Validation for Population 12

1200 (Overpayment \$ Established) - Random

Save Save As... Save and Submit to National Office Print Preview Print Worksheets

Check All	Row #	OBS	Subpop	1 (Step 1G) SSN	2 (Step 1G) Unique ID	Pass/Fail	3 (Step 4) Program Type	Pass/Fail	4 (Step 33) Overpay Type	Pass/Fail	5 (Step 34) Overpay Cause	Pass/Fail	6 (Step 35) Detection Type	Pass/Fail	7 (Step 36) Overpay Date	Pa
<input type="checkbox"/>	1	397	12.6		000033754	Pass	UL-1	Pass	NONFRAUD-N	Pass	CLAIMANT-1	Pass	SYSTEM DEFAULT-U	Pass	2005-07-19	F
<input type="checkbox"/>	2	685	12.4		000034358	Fail	UL-1	Pass	NONFRAUD-A	Pass	SESA-3	Pass	SYSTEM DEFAULT-U	Pass	2005-09-23	F
<input type="checkbox"/>	3	449	12.4		000033818	Pass	UL-1	Pass	NONFRAUD-N	Pass	SESA-3	Pass	SYSTEM DEFAULT-U	Pass	2005-08-02	F
<input type="checkbox"/>	4	219	12.6		000034282	Pass	UL-1	Pass	NONFRAUD-N	Pass	CLAIMANT-1	Pass	NEW HIRES-E	Pass	2005-09-14	F
<input type="checkbox"/>	5	96	12.6		000033695	Pass	UL-1	Pass	NONFRAUD-N	Pass	CLAIMANT-1	Pass	SYSTEM DEFAULT-U	Pass	2005-08-05	F
<input type="checkbox"/>	6	257	12.6		000034213	Pass	UL-1	Pass	NONFRAUD-N	Pass	CLAIMANT-1	Pass	SYSTEM DEFAULT-U	Pass	2005-09-10	F
<input type="checkbox"/>	7	436	12.4		000033855	Pass	UL-1	Pass	NONFRAUD-N	Pass	SESA-3	Pass	SYSTEM DEFAULT-U	Pass	2005-07-22	F
<input type="checkbox"/>	8	252	12.6		000034200	Pass	UL-1	Pass	NONFRAUD-N	Pass	CLAIMANT-1	Pass	NEW HIRES-E	Pass	2005-09-02	F

Sample Validation for Population 13

1300 (Overpayment Reconciliation Activities) - Random

Save Save As... Save and Submit to National Office Print Preview Print Worksheets

Check All	Row #	OBS	Subpop	1 (Step 1H) SSN	2 (Step 1H) Unique ID	Pass/Fail	3 (Step 4) Program Type	Pass/Fail	4 (Step 33) Overpay Type	Pass/Fail	5 (Step 38) Activity	Pass/Fail	6 (Step 39) Activity Date	Pass/Fail	7 (Step 40) UIAmount	8 (Step 40) FedAmount
Pass Row <input type="checkbox"/>	1	4206	13.2		1215020103	<input type="text"/>	UI-01	<input type="text"/>	FRAUD -1	<input type="text"/>	BENEFIT OFFSET-0	<input type="text"/>	2003-06-30	<input type="text"/>	1.00	0.00
Pass Row <input type="checkbox"/>	2	4350	13.18		0105030102	<input type="text"/>	UI-01	<input type="text"/>	NONFRAUD-2	<input type="text"/>	BENEFIT OFFSET-0	<input type="text"/>	2003-06-11	<input type="text"/>	6.31	0.00
Pass Row <input type="checkbox"/>	3	7620	13.17		1228970105	<input type="text"/>	UI-01	<input type="text"/>	NONFRAUD-2	<input type="text"/>	CASH -2	<input type="text"/>	2003-05-05	<input type="text"/>	7.00	0.00
Pass Row <input type="checkbox"/>	4	4737	13.17		1107990123	<input type="text"/>	UI-01	<input type="text"/>	NONFRAUD-2	<input type="text"/>	CASH -1	<input type="text"/>	2003-05-06	<input type="text"/>	15.83	0.00
Pass Row <input type="checkbox"/>	5	10360	13.23		0626880104	<input type="text"/>	UI-01	<input type="text"/>	NONFRAUD-2	<input type="text"/>	WRITE-OFF -A	<input type="text"/>	2003-05-30	<input type="text"/>	18.00	0.00
Pass Row <input type="checkbox"/>	6	13313	13.17		0112030106	<input type="text"/>	UI-01	<input type="text"/>	NONFRAUD-2	<input type="text"/>	CASH -1	<input type="text"/>	2003-06-09	<input type="text"/>	20.00	0.00
Pass Row <input type="checkbox"/>	7	7797	13.17		1222020103	<input type="text"/>	UI-01	<input type="text"/>	NONFRAUD-2	<input type="text"/>	CASH -1	<input type="text"/>	2003-04-24	<input type="text"/>	20.00	0.00
Pass Row <input type="checkbox"/>	8	7339	13.17		0702000131	<input type="text"/>	UI-01	<input type="text"/>	NONFRAUD-2	<input type="text"/>	CASH -1	<input type="text"/>	2003-06-24	<input type="text"/>	20.00	0.00

Sample Validation for Population 14

1400 (Aged Overpayments) - Random

Save Save As... Save and Submit to National Office Print Preview Print Worksheets

Check All	Row #	OBS	Subpop	1 (Step 1G) SSN	2 (Step 1G) Unique ID	Pass/Fail	3 (Step 36) Date Established	Pass/Fail	4 (Step 4) Program Type	Pass/Fail	5 (Step 41) Out Overpayment	Pass/Fail	6 (Step 44) Active Collection	Pass/Fail	7 (Step 33) Type of Overpayment	Pass/Fail
Pass Row	1	92075	14.1		34131		2005-08-23		UI-1						NONFRAUD	
Pass Row	2	87900	14.1		34089		2005-08-18		UI-1						NONFRAUD	
Pass Row	3	89755	14.2		32984		2005-05-20		UI-1						NONFRAUD	
Pass Row	4	90963	14.1		33822		2005-09-03		UI-1						NONFRAUD	
Pass Row	5	90183	14.1		33821		2005-09-03		UI-1						NONFRAUD	
Pass Row	6	91979	14.5		22845		2004-09-06		UI-1						NONFRAUD	
Pass Row	7	89660	14.6		29442		2004-05-25		UI-1			Y			NONFRAUD	
Pass Row	8	87580	14.2		32864		2005-04-19		UI-1						NONFRAUD	

APPENDIX F
DEV REPORTS

http://uisqa2.uis.doleta.gov - Data Element Validation Report - Microsoft Internet Explorer

Data Element Validation Report

Population 1

Sample ID	100	110	120
Sample Name	Intrastate Weeks Claimed	Interstate Liable Weeks Claimed	Interstate Weeks Claimed from Agent
Sample Type	Random	Random	Minimum
Size	60/200	30/100	6
Universe (subpops)	1.1 - 1.3	1.4 - 1.6	1.7 - 1.9
Cases Reviewed	0	0	6
Cases in Error	0	0	6
% Error	0%	0%	100%
Pass/Fail			N/A

Invalid Weeks Claimed		100	110	120
1&2 (Step 1A) Match	Cases in Error	0	0	5
	% Error	0%	0%	83.33%
6 (Step 11) Rule 1 Date Week Claimed	Cases in Error	0	0	0
	% Error	0%	0%	0%
7 (Step 11) Rule 2 Mon. Elig or Pending	Cases in Error	0	0	0
	% Error	0%	0%	0%
8&9 (Step 11) Rule 3 Excess Earnings	Cases in Error	0	0	0
	% Error	0%	0%	0%
Reporting Errors		100	110	120

Windows taskbar: Start, View Samples for Populat..., http://uisqa2.uis.dole...

http://uisqa2.uis.doleta.gov - Data Element Validation Report - Microsoft Internet Explorer

Data Element Validation Report

Population 2

Sample ID	200	
Sample Name	Final Payments	
Sample Type	Random	
Size	30/100	
Universe (subpops)	2.1 - 2.4	
Cases Reviewed	0	
Cases in Error	0	
% Error	0%	
Pass/Fail		
Invalid Final Payments		200
1&2 (Step 1C) Match	Cases in Error	0
	% Error	0%
9 (Step 10C) Mail Date	Cases in Error	0
	% Error	0%
10 (Step 10C) Balance	Cases in Error	0
	% Error	0%
Reporting Errors		200
3 (Step 2) Type UI Program	Cases in Error	0
	% Error	0%

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http://uisqa2.uis.doleta.gov - Data Element Validation Report - Microsoft Internet Explorer

Data Element Validation Report

Population 3

Sample ID	300	301	305	310	315	320	321	325	330
Sample Name	New Intra & Inter Liable Claims	New Intra & Inter Liable Claims	Interstate Filed from Agent	Interstate Claims Taken as Agent	Intra & Inter Transitional Claims	CWC Claims	CWC Claims	Monetary Sent w/o New Claim	Entering Self Employment Program
Sample Type	Random	Missing	Minimum	Minimum	Random	Random	Missing	Minimum	Minimum
Size	60/200	<= 17	6	6	30/100	30/100	<= 5	12	2
Universe (subpops)	3.1 - 3.18	3.1 - 3.18	3.19 - 3.21	3.22 - 3.24	3.25 - 3.33	3.34 - 3.39	3.34 - 3.39	3.40 - 3.45	3.46 - 3.46
Cases Reviewed	0	0	0	0	0	0	0	0	0
Cases in Error	0	0	0	0	0	0	0	0	0
% Error	0%	0%	0%	0%	0%	0%	0%	0%	0%
Pass/Fail		N/A	N/A	N/A			N/A	N/A	N/A

Invalid New Initial Claims		300	301	305	310	315	320	321	325	330
1 (Step 1B) Match	Cases in Error	0	0	0	0	0	0	0	0	0
	% Error	0%	0%	0%	0%	0%	0%	0%	0%	0%
2 (Step3A) (Step 3C) Rule 1 Date Claim filed	Cases in Error	0	0	0	0	0	0	0	0	0
	% Error	0%	0%	0%	0%	0%	0%	0%	0%	0%
	Cases in Error	0	0	0	0	0	0	0	0	0

Start | View Samples for Populat... | http://uisqa2.uis.dole...

http://uisqa2.uis.doleta.gov - Data Element Validation Report - Microsoft Internet Explorer

Data Element Validation Report

Population 3a

Sample ID	350	360
Sample Name	Intrastate Additional Claims	Interstate Liabile Additional Claims
Sample Type	Random	Minimum
Size	60/200	6
Universe (subpops)	3A.1 - 3A.3	3A.4 - 3A.6
Cases Reviewed	0	0
Cases in Error	0	0
% Error	0%	0%
Pass/Fail		N/A

Invalid Additional Claims		350	360
1 (Step 1A) Match	Cases in Error	0	0
	% Error	0%	0%
2 (Step 1B) (Step 3B) Date Claim Filed	Cases in Error	0	0
	% Error	0%	0%
4 (Step 3B) Type of Claim	Cases in Error	0	0
	% Error	0%	0%
7 (Step 3B Rule 3) Unclaimed Week	Cases in Error	0	0
	% Error	0%	0%
8 (Step 3B Rule 4) Sep. Date	Cases in Error	0	0
	% Error	0%	0%

Start | View Samples for Populat... | http://uisqa2.uis.dole...

http://uisqa2.uis.doleta.gov - Data Element Validation Report - Microsoft Internet Explorer

Data Element Validation Report

Population 4

Sample ID	400	405	410	415	420	425	430	435	440	445	450
Sample Name	First Payments	First Payments	First Payments	Continued Weeks Total Payments	Continued Weeks Partial Payments	Adjusted Payments	Self Employment Payments	CWC First Payments	CWC Continued Payments	CWC Adjusted Payments	CWC Prior Weeks Compensated
Sample Type	Random	Missing	Outliers	Outliers	Random	Outliers	Minimum	Random	Minimum	Minimum	Minimum
Size	60/200	<= 15	10	10	30/100	10	2	30/100	4	4	4
Universe (subpops)	4.1 - 4.16	4.1 - 4.16	4.1 - 4.15	4.17 - 4.24	4.25 - 4.32	4.33 - 4.42	4.43 - 4.43	4.44 - 4.45	4.46 - 4.47	4.48 - 4.49	4.50 - 4.51
Cases Reviewed	0	0	0	0	0	0	0	0	0	0	0
Cases in Error	0	0	0	0	0	0	0	0	0	0	0
% Error	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Pass/Fail		N/A	N/A	N/A		N/A	N/A		N/A	N/A	N/A

Invalid Payments		400	405	410	415	420	425	430	435	440	445	450
1&2 (Step 1C) Match	Cases in Error	0	0	0	0	0	0	0	0	0	0	0
	% Error	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
6 (Step 10A-B) (Step F-G) Type of Compensation	Cases in Error	0	0	0	0	0	0	0	0	0	0	0
	% Error	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%

Start | View Samples for Populat... | http://uisqa2.uis.dole...

http://uisqa2.uis.doleta.gov - Data Element Validation Report - Microsoft Internet Explorer

Data Element Validation Report

Population 5

Sample ID	500	501	505	510	520
Sample Name	Single Claimant Nonmon Determinations	Single Claimant Nonmon Determinations	Single Claimant Nonmon Determinations	UI Multi-Claimant Determinations	Single Claimant Redeterminations
Sample Type	Random	Missing	Outliers	Minimum	Random
Size	30/100	<= 59	10	8	30/100
Universe (subpops)	5.1 - 5.60	5.1 - 5.60	5.1 - 5.60	5.61 - 5.64	5.65 - 5.70
Cases Reviewed	0	0	0	0	0
Cases in Error	0	0	0	0	0
% Error	0%	0%	0%	0%	0%
Pass/Fail		N/A	N/A	N/A	

Invalid Decisions		500	501	505	510	520
1&2 (Step 1D) Match	Cases in Error	0	0	0	0	0
	% Error	0%	0%	0%	0%	0%
6 (Step 16) Det/Redet	Cases in Error	0	0	0	0	0
	% Error	0%	0%	0%	0%	0%

Reporting Errors		500	501	505	510	520
3 (Step 2) Type UI Program	Cases in Error	0	0	0	0	0
	% Error	0%	0%	0%	0%	0%

Start | View Samples for Populat... | http://uisqa2.uis.dole...

http://uisqa2.uis.doleta.gov - Data Element Validation Report - Microsoft Internet Explorer

Data Element Validation Report

Population 6

Sample ID	600	
Sample Name	Appeals Filed, Lower Authority	
Sample Type	Minimum	
Size	4	
Universe (subpops)	6.1 - 6.2	
Cases Reviewed	0	
Cases in Error	0	
% Error	0%	
Pass/Fail	N/A	

Invalid Appeals Filed		600
1&2 (Step 1E) Match	Cases in Error	0
	% Error	0%
3 (Step 24A) Lower Auth Appeal	Cases in Error	0
	% Error	0%
Reporting Errors		600
4 (Step 25A-B) Single/Multi Claimants	Cases in Error	0
	% Error	0%
5 (Step 25B) # of Claimants	Cases in Error	0
	% Error	0%

Start | View Samples for Populat... | http://uisqa2.uis.dole...

http://uisqa2.uis.doleta.gov - Data Element Validation Report - Microsoft Internet Explorer

Data Element Validation Report

Population 7

Sample ID	700	
Sample Name	Appeals Filed, Higher Authority	
Sample Type	Minimum	
Size	4	
Universe (subpops)	7.1 - 7.2	
Cases Reviewed	0	
Cases in Error	0	
% Error	0%	
Pass/Fail	N/A	
Invalid Appeals Filed		700
1&2 (Step 1E) Match	Cases in Error	0
	% Error	0%
3 (Step 24A) Higher Auth Appeal	Cases in Error	0
	% Error	0%
Reporting Errors		700
4 (Step 25A-B) Single/Multi Claimants	Cases in Error	0
	% Error	0%
5 (Step 25B) # of Claimants	Cases in Error	0
	% Error	0%

Start | View Samples for Populat... | http://uisqa2.uis.dole...

http://uisqa2.uis.doleta.gov - Data Element Validation Report - Microsoft Internet Explorer

Data Element Validation Report

Population 8

Sample ID	800	810	820
Sample Name	Lower Authority Appeals Decisions	Lower Authority Appeals Decisions	Lower Authority Appeals Decisions
Sample Type	Random	Missing	Outliers
Size	60/200	<= 21	10
Universe (subpops)	8.1 - 8.55 exclude 8.53	8.33 - 8.55 exclude 8.53	8.1 - 8.55 exclude 8.53
Cases Reviewed	0	0	0
Cases in Error	0	0	0
% Error	0%	0%	0%
Pass/Fail		N/A	N/A

Invalid Decisions		800	810	820
1&2 (Step 1E) Match	Cases in Error	0	0	0
	% Error	0%	0%	0%
6 (Step 24A) Lower Auth Appeal	Cases in Error	0	0	0
	% Error	0%	0%	0%
14 (Step 30A) Disposed of by Decision	Cases in Error	0	0	0
	% Error	0%	0%	0%
Reporting Errors		800	810	820
3 (Step 2) Type UI Program	Cases in Error	0	0	0
	% Error	0%	0%	0%

Start | View Samples for Populat... | http://uisqa2.uis.dole...

http://uisqa2.uis.doleta.gov - Data Element Validation Report - Microsoft Internet Explorer

Data Element Validation Report

Population 9

Sample ID	900	910	920
Sample Name	Higher Authority Appeals Decisions	Higher Authority Appeals Decisions	Higher Authority Appeals Decisions
Sample Type	Random	Missing	Outliers
Size	30/100	<= 9	10
Universe (subpops)	9.1 - 9.03, 1.1 - 0.01	0.13 - 0.03, 1.1 - 0.01	0.1 - 0.03
Cases Reviewed	0		
Cases in Error	0		
% Error	0%		
Pass/Fail			

Capture Express 2000

Capture Screen
 Capture Window
 Capture Window Client Area
 Capture Rectangular Area
 Capture Shaped Area

Shape:

	900	910	920
Invalid Decisions			
1 (Step 1F) Match	0	0	0
	% Error	0%	0%
3 (Step 24A) Higher Auth Appeal	0	0	0
	% Error	0%	0%
14 (Step 30A) Disposed of by Decision	0	0	0
	% Error	0%	0%
Reporting Errors	900	910	920
3 (Step 2) Type UI Program	0	0	0
	Cases in Error	0	0
	% Error	0%	0%

Start | View Samples for Populat... | http://uisqa2.uis.dole...

http://uisqa2.uis.doleta.gov - Data Element Validation Report - Microsoft Internet Explorer

Data Element Validation Report

Population 10

Sample ID	1000	
Sample Name	Appeals Case Aging, Lower Authority	
Sample Type	Outliers	
Size	10	
Universe (subpops)	10.1 - 10.7	
Cases Reviewed	0	
Cases in Error	0	
% Error	0%	
Pass/Fail	N/A	

Invalid Appeals Pending		1000
1&2 (Step 1E) Match	Cases in Error	0
	% Error	0%
3 (Step 24A) Lower Auth Appeal	Cases in Error	0
	% Error	0%
5 (Step 30B) Appeal Pending	Cases in Error	0
	% Error	0%
Time Lapse Errors		1000
4 (Step 29B) Time Lapse Calc	Cases in Error	0
	% Error	0%

Start | View Samples for Populat... | http://uisqa2.uis.dole...

Data Element Validation Report		
Population 11		
Sample ID	1100	
Sample Name	Appeals Case Aging, Higher Authority	
Sample Type	Outliers	
Size	10	
Universe (subpops)	11.1 - 11.6	
Cases Reviewed	0	
Cases in Error	0	
% Error	0%	
Pass/Fail	N/A	
Invalid Appeals Pending		1100
1&2 (Step 1F) Match	Cases in Error	0
	% Error	0%
3 (Step 24B) Higher Auth Appeal	Cases in Error	0
	% Error	0%
	Cases in Error	0

Data Element Validation Report

Population 12

Sample ID	1200	1210	1220
Sample Name	Overpayment \$ Established	Overpayment \$ Established	Overpayment \$ Established
Sample Type	Random	Missing	Outliers
Size	60/200	<= 13	10
Universe (subpops)	12.1 - 12.15 exclude 12.8	12.1 - 12.15 exclude 12.8	12.1 - 12.15 exclude 12.8
Cases Reviewed	60	0	0
Cases in Error	1	0	0
% Error	1.67%	0%	0%
Pass/Fail		N/A	N/A

Invalid Decisions		1200	1210	1220
1&2 (Step 1G) Match	Cases in Error	1	0	0
	% Error	1.67%	0%	0%
7 (Step 36) Date Overpay Established	Cases in Error	0	0	0
	% Error	0%	0%	0%

Reporting Errors		1200	1210	1220
3 (Step 4) Prog Type	Cases in Error	0	0	0
	% Error	0%	0%	0%
4 (Step 33) Type of Overpayment	Cases in Error	0	0	0
	% Error	0%	0%	0%

http://uisqa2.uis.doleta.gov - Data Element Validation Report - Microsoft Internet Explorer

Data Element Validation Report

Population 13

Sample ID	1300	1310	1320
Sample Name	Overpayment Reconciliation Activities	Overpayment Reconciliation Activities	Overpayment Reconciliation Activities
Sample Type	Random	Missing	Outliers
Size	30/100	<= 33	10
Universe (subpops)	13.1 - 13.34	13.1 - 13.34	13.1 - 13.34
Cases Reviewed	0	0	0
Cases in Error	0	0	0
% Error	0%	0%	0%
Pass/Fail		N/A	N/A

Invalid Decisions		1300	1310	1320
1&2 (Step 1G) Match	Cases in Error	0	0	0
	% Error	0%	0%	0%
5 (Step 39) Date of Activity	Cases in Error	0	0	0
	% Error	0%	0%	0%
6 (Step 38) Activity	Cases in Error	0	0	0
	% Error	0%	0%	0%
Reporting Errors		1300	1310	1320
3 (Step 4) Program Type	Cases in Error	0	0	0
	% Error	0%	0%	0%

Start | View Samples for Populat... | http://uisqa2.uis.dole...

Data Element Validation Report

Population 14

Sample ID	1400	1410	1420
Sample Name	Aged Overpayments	Aged Overpayments	Aged Overpayments
Sample Type	Random	Outliers	Missing
Size	30/100	10	<= 11
Universe (subpops)	14.1 - 14.12	14.1 - 14.12	14.1 - 14.12
Cases Reviewed	0	0	0
Cases in Error	0	0	0
% Error	0%	0%	0%
Pass/Fail		N/A	N/A

Invalid Transactions		1400	1410	1420
1&2 (Step 1G) Match	Cases in Error	0	0	0
	% Error	0%	0%	0%
5 (Step 41) Outstanding Overpayment	Cases in Error	0	0	0
	% Error	0%	0%	0%
8 (Step 42) UI Balance end of Qtr	Cases in Error	0	0	0
	% Error	0%	0%	0%
9 (Step 42) Fed Balance end of Qtr	Cases in Error	0	0	0
	% Error	0%	0%	0%
Reporting Errors		1400	1410	1420

APPENDIX G
INDEPENDENT COUNT

APPENDIX G IS ONLY APPLICABLE TO STATES THAT GENERATE THE FEDERAL REPORTS FROM A DETAILED RECORD FILE, WHETHER ACCUMULATED DAILY, WEEKLY, MONTHLY OR AS A SNAPSHOT. THIS EXTRACT FILE CANNOT BE USED FOR VALIDATION AND STATES MUST CONDUCT AN INDEPENDENT COUNT.

A. PURPOSE

The validation exercises described in Module 1 and those outlined in Module 2 address the validation of all UI transactions that have been *included* in federal reports. However, it is also important to confirm that no transactions have been improperly or systematically *excluded* from the federal reports. Although this problem is a difficult one, it is important to ensure that funding, economic statistics, and performance outcomes have not been biased by the systematic elimination of particular types of transactions.

This module is not applicable for states that produce the report validation files directly from the benefits database, because the report validation reconstruction process itself constitutes an independent count. When the report validation file is produced from the same file used to produce the federal reports, it is necessary to conduct an independent count in order to identify any errors that may have occurred in the federal reports, since these errors will be duplicated in the reconstruction file.

Table G.1 on page G.4 provides the criteria required to conduct the independent count.

B. MATERIALS (ADP STAFF)

Task 1. Produce Independent Count Files

ADP staff create independent total counts of transactions from the main database for comparison with counts generated on the extract files used to create the federal reports. In general, the way that the independent count is created is the opposite of how the report validation file is created. The report validation file should be programmed from the bottom up, by selecting only the issue codes and criteria indicated on the file specification. However, the independent count should be programmed from the top down, by including all issue codes relevant to a population and then subtracting observations not indicated on the file specification.

Table G.1 describes independent count criteria for each population.

Task 2. Produce Independent Count Summary Spreadsheet

The independent count summary spreadsheet on page G.7 helps the state to compare the reported and validation counts with the results of the independent count procedure. Validation staff enter the results of the independent count and the reported and validation counts onto the spreadsheet.

Task 3. Transfer Counts from Independent Count Summary Spreadsheet to the Report Validation Summary Spreadsheet

See Module 1 for an explanation of the purpose and construct of the Report Validation Summary.

TABLE G.1

INDEPENDENT COUNT CRITERIA, BY POPULATION (USING QUERY CAPABILITY)¹

Population Description	Independent Count Criteria	Validation Count and Reported Count Criteria
1 - Weeks Claimed	Count all dates when weeks were claimed within the month. Subtract duplicates, ineligible claims, special programs.	Validation Count: sum of subpopulations 1.1-1.6 Reported Count: ETA 5159, sum of lines 201-203, columns 9 and 12
2 - Final Payments	Recreate the logic used to count final payments. ² Subtract special programs.	Validation Count: sum of subpopulations 2.1-2.4 Reported Count: sum of ETA 5159, line 303, columns 26-28
3/3a - Claims Filed	Count all claims filed dates within the month. Subtract duplicates, special programs, and filed dates for interstate agent claims (if the state maintains these dates).	Validation Count: sum of subpopulations 3.1-3.21, 3.25-3.27, 3.41-3.46 Reported Count: ETA 5159, lines 101-103, columns 2, 3, 4, 6, and 7
4 - Payments	Count all payment mailed dates within the month. Subtract replacement checks. Subtract duplicate week-ending dates but not duplicate mail dates (if the state pays biweekly).	Validation Count: sum of subpopulations 4.1-4.42, 4.52-4.53, columns 10-12 (dollars paid) Reported Count: ETA 5159, sum of line 302, columns 14, 17 (amounts compensated)
5 - Nonmonetary Determinations/Redeterminations	Count all notice mailed dates within the quarter. For informal determinations without a mailed date, include determination date. Subtract issue codes that do not represent reportable nonmonetary determinations, duplicates, or special programs.	Validation Count: sum of subpopulations 5.1-5.70 Reported Count: sum of ETA 207, lines 101, 103, 105, column 1
6 - Appeals Filed, Lower Authority	Count all appeal filed dates within the month.	Validation Count: count of subpopulation 6.1 Reported Count: ETA 5130, line 200, column 8
7 - Appeals Filed, Higher Authority	Count all appeal filed dates within the month.	Validation Count: count of subpopulation 7.1 Reported Count: ETA 5130, line 200, column 9
8 - Appeals Decisions, Lower Authority	Count all decision mailed dates within the month being validated.	Validation Count: sum of subpopulations 8.1-8.52, 8.54-8.55 Reported Count: ETA 5130, line 100, columns 1,3,5
9 - Appeals Decisions, Higher Authority	Count all decision mailed dates within the month being validated.	Validation Count: sum of subpopulations 9.1-9.20, 9.22, 9.23 Reported Count: ETA 5130, line 100, columns 2,4,6
10 - Pending Appeals, Lower Authority	Count all appeals without a decision date at the end of the month.	
11 - Pending Appeals, Higher Authority	Count all appeals without a decision date at the end of the month.	
12 - Overpayments Established	Count all overpayments established dates within the quarter.	Validation Count: sum of subpopulations 12.1-12.16 Reported Count: ETA 227, lines 101-107, columns 1 and 2
13 - Overpayment Reconciliation Transactions	Count all reconciliation activities within the quarter.	Validation Count: sum of subpopulations 13.1-13.34 Reported Count: ETA 227, lines 202-207, columns 5-8
14 - Age of Overpayments	Count all overpayments with a balance greater than zero at the end of the quarter.	

¹Populations 10, 11, and 14 cannot be reconstructed from a statistical file, so an independent count is not necessary.

²There are multiple ways to specify how to create an independent count of final payments.

C. METHODOLOGY (VALIDATION STAFF)

Task 1

The ADP staff generate counts from the main database, according to the specified independent count criteria (Table G.1). Compare the counts from the database with counts generated on the extract files used to create the federal reports.

Task 2

Either manually enter or have the ADP staff download the results onto the independent count summary spreadsheet. Also enter the corresponding validation counts and reported counts from the report validation summary spreadsheets onto the independent count summary spreadsheet.

Task 3

Compare the results of the independent count with the corresponding adjusted validation counts and reported counts.

Task 4

Calculate the % Differences by dividing both the reported count and the adjusted validation count by the independent count. **If the resulting figure is greater than plus or minus two percent, the population fails.**

D. EXAMPLE

Figure G.1 shows a sample of an independent count summary spreadsheet for lower authority appeals decisions. The columns for reported counts and adjusted validation counts are either manually completed or are downloaded from the report validation summary spreadsheet. The independent count is derived by generating a count of all lower authority appeals decision dates that fall within the period being validated. Percentage differences between the reported count and the independent count and between the adjusted validation count and the independent count are calculated according to the following formula:

Reported count or adjusted validation count minus the independent count divided by the independent count times 100 equals the % difference.

Example: $(90-86)/86 * 100 = 4.65\%$ (fail)

FIGURE G.1
 VALIDATION POPULATION 8
 INDEPENDENT COUNT
 SUMMARY SPREADSHEET

POPULATION	REPORT/RECONSTRUCTION DATA SOURCE	REPORTED COUNT	ADJUSTED VALIDATION COUNT	INDEPENDENT T COUNT*	% DIFFERENCES		ADJUSTED INDEPENDENT T COUNT	PASS/FAIL	COMMENTS
					REPORTED COUNT/INDEPENDENT T COUNT	ADJUSTED VALIDATION COUNT/INDEPENDENT T COUNT			
1									
2									
3									
4									
5									
6									
7									
*8	extract file	90	90	86	4.65%	4.65%		FAIL	
9									
10									
11									
12									
13									
14									

*The independent count may be higher than the validation count if it includes observations in issue codes not specified on the record layouts. An adjusted validation count may be calculated in these circumstances, and should be explained in the comments column.

E. RESULTS

The results of this procedure are compared both with the reported count and the adjusted validation count from the report validation summary spreadsheet. The independent count may legitimately be higher than the validation count if it includes observations that deliberately had not been specified on the report validation files (e.g., certain issue codes or payment types that are not reported). Otherwise, if the differences in counts are within 2%, no action is required. If they are significant, research must be conducted to determine the source of the problem and the solution.

NOTE: Although the threshold is set at $\nabla 2\%$ for each population as a whole, it is quite possible that there may be a significant percentage of transactions in a subpopulation that were either over-reported or under-reported. State and regional validation staff should investigate these occurrences and record the causes of such variances in the comments column of the summary spreadsheet.

APPENDIX H

UI BENEFITS DUPLICATION DETECTION CRITERIA

TABLE H.1

CRITERIA FOR IDENTIFYING DUPLICATE TRANSACTIONS

Population	Reporting Rule	Relevant Data Elements from Extract file	Duplicate Detection Criteria	Comments
1. Weeks Claimed	The same week of unemployment can only be claimed once.	SSN, Claim Week Ending Date	Remove as duplicates all multiple records with the same SSN and Claim Week Ending Date.	
2. Final Payments	A Benefit Year normally has only one final payment, unless wages were added/returned after initial exhaustion.	SSN, Mail Date, Check #/Unique ID	Remove as duplicates all multiple records with the same SSN, check number/unique ID and mail date.	The mail date criterion would falsely reject the unlikely but legitimate case of two Final Payments for separate claims that exhaust on the same day. For manual detection, the validator could take a sample of all records of multiple instances of the same SSN.

TABLE H.1

CRITERIA FOR IDENTIFYING DUPLICATE TRANSACTIONS

Population	Reporting Rule	Relevant Data Elements from Extract file	Duplicate Detection Criteria	Comments
<p>3. Claims</p>	<p>Report each legitimate claim once. Most claim types will be reportable only once in a quarter. Multiple UI New or Transitional claims may be legitimate; however, there can be only one claim with a <i>sufficient</i> monetary per SSN within the same quarter. Although there can be more than one with an <i>insufficient</i> monetary, none may follow a <i>sufficient</i> claim.</p>	<p>SSN, Date Claim Filed, Program Type, Claim Type, “Sufficient / Insufficient” (Field 9)</p>	<p>1. For all Claim Type and Program Type combinations: Remove as duplicates all multiple records with the same SSN, Date Claim Filed, and Claim Type.</p> <p>2. For UI New and Transitional Claims: Remove as duplicates</p> <ul style="list-style-type: none"> • all multiple records for which SSN and Claim Type are the same for multiple records where Field 9 = Sufficient; and • all records for the same SSN and Claim type with Field 9 = Insufficient with a Claim Filed Date later than the same SSN and Claim Type with Field 9 = Sufficient. 	<p>Duplicate claims in Population 3 must sort out (a) counting legitimate claims more than once and (b) counting illegitimate claims. (b) is mostly an issue for UI New and Transitional claims. To define legitimate UI New and Transitional claims, the decision was made to not allow more than one Sufficient determination in the same quarter for the same claim type and not to allow an insufficient claim to follow a sufficient claim for the same SSN and claim type.</p>

TABLE H.1

CRITERIA FOR IDENTIFYING DUPLICATE TRANSACTIONS

Population	Reporting Rule	Relevant Data Elements from Extract file	Duplicate Detection Criteria	Comments
3.a Additional Claims	Every additional claim is associated with a week of unemployment and involves at least a 1-week break in the claims series due to intervening employment and separation from an employer.	SSN, Date Claim Filed, Separation Date	Remove as duplicates all multiple records with the same SSN, Date Claim Filed, and Separation Date. Possible Future Release: SSN and Effective Date are the same for multiple records	SSN and Separation Date represent “hard” duplicate detection. SSN and Date Claim Filed could be used as “soft” duplicate detection where the validator would take a sample of all records of multiple instances of the same SSN and Date Claim Filed. Note: Need to add Effective Date to the extract in the future
4. Payments	There can only be one countable regular week compensated for a given week. Where there is a CWC payment, there is a separate count of one CWC payment per week. There is no rule limiting the number of adjustment checks.	SSN, Intra/Inter, Week-End Date, Mail Date	1. For all but CWC payments and adjustments (i.e., subpops 4.1-4.32 and 4.43), Remove as duplicates all multiple records where SSN, Intra/Inter, Mail Date and Week End Date are the same. 2. CWCs only: Remove as duplicates all multiple records where SSN and Week End Date are the same. Adjustment Payments: No duplicate check	Cannot count a week compensated twice for the same week ending date. Since the week can be counted both as a regular week and a CWC week, need to perform the check separately for both groups. No check at all for adjustment checks.

TABLE H.1

CRITERIA FOR IDENTIFYING DUPLICATE TRANSACTIONS

Population	Reporting Rule	Relevant Data Elements from Extract file	Duplicate Detection Criteria	Comments
5. Nonmonetary Determinations	Count every monetary determination once.	SSN, Unique ID, issue code, mail date.	<p>Remove as duplicates all multiple records with the same SSN and Unique ID.</p> <ul style="list-style-type: none"> When state has Unique ID, this will definitively identify duplicate records. When Unique ID is <i>null</i>, validator must manually mark duplicates for removal and assign a Unique ID (e.g., 1, 2, 3) to legitimate multiple transactions and reload them to the file. 	Good candidate for manual duplicate detection in which a sample would be taken of multiple instances of the same SSNs with the same issue codes and mail dates. Second dot point implements a variant of manual detection.
6. Lower Authority Appeals Filed	Count every appeal once.	SSN, Docket #/Unique ID	Remove as duplicates all multiple records with the same SSN and Docket Number/Unique ID.	If the same SSN and docket number appears more than once in a count, the additional records are duplicates.
7. Higher Authority Appeals Filed	Count every appeal once.	SSN, Docket #/Unique ID	Remove as duplicates all multiple records with the same SSN and Docket Number/Unique ID.	If the same SSN and docket number appears more than once in a count, the additional records are duplicates.
8. Lower Authority Appeals Decisions	Count every appeal once.	SSN, Docket #/Unique ID	Remove as duplicates all multiple records with the same SSN and Docket Number/Unique ID.	If the same SSN and docket number appears more than once in a count, the additional records are duplicates.

TABLE H.1

CRITERIA FOR IDENTIFYING DUPLICATE TRANSACTIONS

Population	Reporting Rule	Relevant Data Elements from Extract file	Duplicate Detection Criteria	Comments
9. Higher Authority Appeals Decisions	Count every appeal once.	SSN, Docket #/Unique ID	Remove as duplicates all multiple records with the same SSN and Docket Number/Unique ID.	If the same SSN and docket number appears more than once in a count, the additional records are duplicates.
10. Lower Authority Appeals Case Aging	Count every appeal once.	SSN, Docket #/Unique ID	Remove as duplicates all multiple records with the same SSN and Docket Number/Unique ID.	If the same SSN and docket number appears more than once in a count, the additional records are duplicates.
11. Higher Authority Appeals Case Aging	Count every appeal once.	SSN, Docket #/Unique ID	Remove as duplicates all multiple records with the same SSN and Docket Number/Unique ID.	If the same SSN and docket number appears more than once in a count, the additional records are duplicates.
12. Overpayments Established	Count each transaction only once.	SSN, Date OP established, Unique ID	Remove as duplicates all multiple records with the same SSN, Date Overpayment Established, and Unique ID. <ul style="list-style-type: none"> • If state has Unique ID this definitively identifies duplicates. • If Unique ID is null, validator must manually mark duplicates for removal and assign a Unique ID (e.g., 1, 2, 3) to legitimate multiple transactions and reload them to the file. 	Second dot point implements a variant of manual detection.

TABLE H.1

CRITERIA FOR IDENTIFYING DUPLICATE TRANSACTIONS

Population	Reporting Rule	Relevant Data Elements from Extract file	Duplicate Detection Criteria	Comments
13. Overpayment Reconciliation	Count each transaction only once.	SSN, Unique ID, Activity Type, Date of Activity	<p>Remove as duplicates all multiple records with the same SSN, Unique ID, Date of Activity, and Activity Type.</p> <ul style="list-style-type: none"> • If state has Unique ID this definitively identifies duplicates. • If Unique ID is null, validator must manually mark duplicates for removal and assign a Unique ID (e.g., 1, 2, 3) to legitimate multiple transactions and reload them to the file. 	Second dot point implements a variant of manual detection.

TABLE H.1

CRITERIA FOR IDENTIFYING DUPLICATE TRANSACTIONS

Population	Reporting Rule	Relevant Data Elements from Extract file	Duplicate Detection Criteria	Comments
14. Overpayments Case Aging	Count each overpayment once.	SSN, Unique ID	Remove as duplicates all multiple records with the same SSN and Unique ID. <ul style="list-style-type: none"> • If state has Unique ID this definitively identifies duplicates. • If Unique ID is null, validator must manually mark duplicates for removal and assign a Unique ID (e.g., 1, 2, 3) to legitimate multiple transactions and reload them to the file. 	Second dot point implements a variant of manual detection.

APPENDIX I

UI BENEFITS RECORD LAYOUTS

EXPLANATION OF UI BENEFITS DATA FORMATS

There are 5 types of data formats referred to in Appendix A and Appendix I.

1. **Required.** These fields cannot be blank. They may be mandatory dates and dollar values.
2. **Text.** These fields have text values that must be entered, such as UI, partial, voluntary quit, etc. All of the allowable generic text values for each field are listed in the record layout. The generic text values must be followed by a dash and the corresponding state-specific value.
3. **Optional** (these fields are gray in Appendix A). 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 monetary date where the subpopulation is 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 where the presence of data other than “0” indicates an error.

Some values are abbreviated in the record layouts (Appendix I) but are shown in the report validation specifications (Appendix A) in their entirety for informational purposes.

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 review the other rules in that step in order to develop the required validation logic.

Unique ID is required for populations 2, 4, 6, 7, 8, 9, 10, and 11 and optional for populations 5, 12, 13, and 14 because not all states maintain the indicators for these four populations. There is no unique ID field for populations 1 and 3.

Federal Wages are required in certain situations. In population 4, for Joint UI/Federal payments UCFE amount and/or UCX amount is required. In population 4 for UCFE or UCFE/UCX payments, UCX amount is only required for joint UCFE and UCX claims. In populations 12, 13 and 14 federal amount is required for UI overpayments when there are also federal wages.

UI Benefits Record Layout for Population 1

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 UI Program Type is 01, then the data format would be UI-01.

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
1	OBS		State assigned sequential unique identifier for each record in the extract file.	Number - 00000000 (Required)	INTEGER	NOT NULL
2	Claim Week- ending Date	Step 1A - Rule 2	The week-ending date of the week claimed.	Date - MM/DD/YYYY (Required)	DATE	NOT NULL
3	SSN	Step 1A - Rule 1	Social Security Number	Number - 000000000 (Required)	CHAR (9)	NOT NULL
4	Type of UI Program	Regular UI: Step 2A - Rule 1	Regular UI claim.	Text - Regular UI (Required)	CHAR (20)	NOT NULL
5	Program Type	UI: Step 4A - Rule 1 UCFE: Step 4B - Rule 1 UCX: Step 4C - Rule 1	UI, UCFE, or UCX.	Text - UI UCFE UCX (Required)	CHAR (30)	NOT NULL
6	Intrastate/ Interstate	Intrastate: Step 5A - Rules 1 and 2 Interstate Received as Liable State: Step 5B - Rules 1 and 2 Interstate Filed From Agent State: Step 5D - Rules 1 and 2	Intrastate, Interstate received as liable state, or Interstate filed from agent state.	Text - Intrastate Interstate liable Interstate agent (Required)	CHAR (30)	NOT NULL
7	Date Week Claimed	Step 11 - Rule 1	The date the week was claimed.	Date - MM/DD/YYYY (Required)	DATE	NOT NULL

UI Benefits Record Layout for Population 1

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
8	Monetarily Eligible or Pending	Step 11 - Rule 2	Claimant is monetarily eligible for benefits when the week was claimed and had not exhausted their benefits or pending, if there was no final determination of the claimant's monetary eligibility.	Text - Eligible Pending (Optional)	CHAR (30)	
9	Earnings	Step 11 - Rule 3	Earnings for the week claimed except for interstate filed from agent state claims.	Number - 0000000.00 (Required except optional for Interstate filed from agent state claims)	DECIMAL (9,2)	
10	WBA	Step 11 - Rule 3	Weekly benefit allowance	Number - 0000000.00 (Required)	DECIMAL (9,2)	NOT NULL
11	User		User defined field. Can be used for any additional data element. Not mandatory.	Text (Optional)	CHAR (100)	

UI Benefits Record Layout for Population 2

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 UCFE is 5, then the data format would be UCFE-5.

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
1	OBS		Sequential number, start at 1. Provides for a unique identifier for each record in the extract file.	Number - 00000000 (Required)	INTEGER	NOT NULL
2	SSN	Step 1C - Rule 1	Social Security Number	Number - 000000000 (Required)	CHAR (9)	NOT NULL
3	Check Number Unique ID	Step 1C - Rule 2	The check number or other unique ID.	Number - 0000000000 (Required)	CHAR (30)	NOT NULL
4	Type of UI Program	Regular UI: Step 2A - Rule 1	Regular UI claim.	Text - Regular UI (Required)	CHAR (20)	NOT NULL
5	Program Type	UI: Step 4A - Rule 1 UCFE: Step 4B - Rule 1 UCX: Step 4C - Rule 1	UI, UCFE or UCX.	Text - UI UCFE UCX (Required)	CHAR (30)	NOT NULL
6	MBA	Step 9A and 9B - Rule 1	The maximum benefit allowance.	Number - 00000000.00 (Required)	DECIMAL (9,2)	NOT NULL
7	WBA	Step 7 - Rules 1 and 2	The weekly benefit allowance.	Number - 00000000.00 (Required)	DECIMAL (9,2)	NOT NULL
8	Actual Weeks of Duration	Step 9A - Rules 1 and 2	The number of actual weeks of duration of the claim.	Number - 00 (Required except optional for UCFE and UCX claims)	INTEGER	
9	Maximum Weeks of Duration	Steps 9B and 9C - Rule 1	The number of actual weeks of duration at the maximum or not.	Text - Y N (Required except optional for UCFE and UCX claims)	CHAR (20)	
10	Mail Date of Final Payment	Step 10C - Rule 3	The mail date of the final payment.	Date - MM/DD/YYYY (Required)	DATE	NOT NULL

UI Benefits Record Layout for Population 2

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
11	Balance	Step 10C - Rule 2	The balance left on the claim at the time of the final payment.	Number - 00000000.00 (Required)	DECIMAL (9,2)	NOT NULL
12	User		User defined field. Can be used for any additional data element. Not mandatory.	Text (Optional)	CHAR (100)	

UI Benefits Record Layout for Population 3

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 Transitional claim is T, then the data format would be TRANSITIONAL-T.

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
1	OBS		State assigned sequential unique identifier for each record in the extract file.	Number - 000000000 (Required)	INTEGER	NOT NULL
2	SSN	Step 1B - Rule 1	Social Security Number	Number - 000000000 (Required)	CHAR (9)	NOT NULL
3	Date Claim Filed/IB-4 Sent	Step 3A - Rules 1 and 6 Step 3C - Rule 1	The date the claim was filed in person, by mail or telephone, or by other means.	Date - MM/DD/YYYY (Required)	DATE	NOT NULL
4	Type of UI Program	Regular UI: Step 2A - Rule 1	Regular UI claim.	Text - Regular UI (Required)	CHAR (20)	NOT NULL

UI Benefits Record Layout for Population 3

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
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	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.	Text - New Transitional Entering Self-Employment Additional Reopened CWC New Prior Qtr New CWC Prior Qtr New Claim (Required)	CHAR (30)	NOT NULL
6	Program Type	UI: Step 4A - Rule 1 UCFE: Step 4B - Rule 1 UCX: Step 4C - Rule 1	UI, UCFE or UCX.	Text - UI UCFE UCX (Required except optional for CWC and entering self- employment program claims)	CHAR (30)	

UI Benefits Record Layout for Population 3

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
7	Intrastate/ Interstate	Intrastate: Step 5A - Rules 1 and 2 Interstate Received as Liable State: Step 5B - Rules 1 and 2 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	Intrastate, Interstate received as liable, Interstate taken as agent, 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)	CHAR (30)	
8	Date of Original Monetary	Step 6A - Rules 1 and 2 Step 6B - Rule 1	Date 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)	DATE	

UI Benefits Record Layout for Population 3

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
9	Sufficient/ Insufficient/ Combined Wages	<p>Sufficient Wages: New Benefit Year: Step 6C - Rules 1 and 2</p> <p>Sufficient Wages - No New Benefit Year: Step 6C - Rule 3</p> <p>Insufficient Wages: Step 6D - Rule 1</p> <p>New CWC Wages: Step 6C - Rule 4</p> <p>No New CWC Wages: Step 6D - Rules 2 and 3</p>	<p>The status of the new UI or CWC claim at the time the 218 report was run: Sufficient-new benefit year established; Sufficient-no new benefit year established; Insufficient; Sufficient-new CWC benefit year established.</p>	<p>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)</p>	CHAR (30)	
10	WBA	Step 7 - Rules 1 and 2	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.)	CHAR (30)	

UI Benefits Record Layout for Population 3

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
11	MBA	Steps 8A and 8B - Rule 1	Maximum benefit allowance	Number - 0000000.00 (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)	DECIMAL (9,2)	
12	Potential Weeks of Duration	Step 8A - Rule 1	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)	INTEGER	

UI Benefits Record Layout for Population 3

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
13	Potential Weeks Maximum Duration	Step 8B - Rules 1 and 2	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)	CHAR (20)	
14	User		User defined field. Can be used for any additional data element. Not mandatory.	Text (Optional)	CHAR (100)	

UI Benefits Record Layout for Population 3a

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 Additional Claim is A, then the data format would be ADDITIONAL-A.

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
1	OBS		State assigned sequential unique identifier for each record in the extract file.	Number - 000000000 (Required)	INTEGER	NOT NULL
2	SSN	Step 1B - Rule 1	Social Security Number	Number - 000000000 (Required)	CHAR (9)	NOT NULL
3	Date Claim Filed	Step 3B - Rule 1	The date the claim was filed in person, by mail or telephone.	Date - MM/DD/YYYY (Required)	DATE	NOT NULL
4	Type of UI Program	Regular UI: Step 2A - Rule 1	Regular UI claim.	Text - Regular UI (Required)	CHAR (20)	NOT NULL
5	Type of Claim	Additional: Step 3B - Rule 2	Additional claim.	Text - Additional (Required)	CHAR (20)	NOT NULL
6	Program Type	UI: Step 4A - Rule 1 UCFE: Step 4B - Rule 1 UCX: Step 4C - Rule 1	Program type is UI, UCFE or UCX.	Text - UI UCFE UCX (Required)	CHAR (30)	NOT NULL
7	Intrastate/ Interstate	Intrastate: Step 5A - Rules 1 and 2 Interstate Received as Liable State: Step 5B - Rules 1 and 2	Claim is intrastate, or interstate received as liable.	Text - Intrastate Interstate liable (Required)	CHAR (30)	NOT NULL
8	Unclaimed Week	Step 3B - Rule 3	The week-ending date of the unclaimed week prior to the additional claim.	Date - MM/DD/YYYY (Optional)	DATE	

UI Benefits Record Layout for Population 3a

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
9	Separation Date	Step 3B - Rule 4	The date of separation from an employer since the last claim was filed.	Date - MM/DD/YYYY (Required)	DATE	NOT NULL
10	Last Employer	Step 3B - Rule 5	The name of the separating employer.	Text (Required)	CHAR (50)	NOT NULL
11	Separation Reason	Step 3B - Rule 6	The reason for separation.	Text (Required)	CHAR (30)	NOT NULL
12	User		User defined field. Can be used for any additional data element. Not mandatory.	Text (Optional)	CHAR (100)	

UI Benefits Record Layout for Population 4

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 Adjustment payment is 13, then the data format would be ADJUSTMENT-13.

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
1	OBS		State assigned sequential unique identifier for each record in the extract file.	Number - 00000000 (Required)	INTEGER	NOT NULL
2	SSN	Step 1C - Rule 1	Social Security Number	Number - 0000000000 (Required)	CHAR (9)	NOT NULL
3	Check Number Unique ID	Step 1C - Rule 2	The check number ID or other unique check ID. For offsets assign a unique ID number.	Number - 000000000000 (Required)	CHAR (30)	NOT NULL
4	Type of UI Program	Regular UI: Step 2A - Rule 1	Regular UI claim.	Text - Regular UI (Required)	CHAR (20)	NOT NULL
5	Program Type	UI: Step 4A - Rule 1 UCFE: Step 4B - Rule 1 UCX Only: Step 4C - Rule 1 UI/Federal: Step 4D - Rule 1 Self-Employment: Step 4E - Rule 1	Type of Program is UI only, UCFE, UCFE/UCX, UCX only, Joint UI/Federal, or Self-Employment.	Text - UI Only UCFE Only UCFE/UCX UCX Only Joint UI/Federal Self-employ (Required except optional for CWC payments)	CHAR (30)	

UI Benefits Record Layout for Population 4

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
6	Intrastate/ Interstate	Intrastate: Step 5A - Rule 1 Interstate Received as Liable State: Step 5B - Rule 1 Intrastate CWC: Step 5E - Rule 1 Interstate CWC: Step 5F - Rule 1	Intrastate, Interstate, Intrastate CWC, or Interstate CWC claim.	Text - Interstate Intrastate Intrastate CWC Interstate CWC (Required except optional for UCFE only, UCFE/UCX, and UCX only adjustments)	CHAR (30)	
7	Type of Compensation	First: Step 10A - Rule 1 Continued: Step 10B - Rule 1 Adjustment: Step 10F - Rule 1 Prior Weeks Compensated: Step 10G - Rule 1	First Payment, Continued Payment, Adjustment, Self-Employment, Prior Weeks Compensated.	Text - First Payment Continued Payment Adjustment Self-Employment Prior Weeks Compensated (Required)	CHAR (50)	NOT NULL
8	Partial/Total Weeks of Unemployment	Partial: Step 10D - Rule 1 Total: Step 10E - Rule 1	Week of partial or total unemployment.	Text - Partial Total (Required except optional for UCFE only, UCFE/UCX, and UCX only adjustments, and for self-employment and CWC payments)	CHAR (20)	
9	Earnings	Step 10D - Rule 2 Step 10E - Rule 2	The earnings for the week claimed.	Number - 0000000.00 (Required except optional for UCFE only, UCFE/UCX, and UCX only adjustments, and self-employment and CWC payments)	DECIMAL (9,2)	

UI Benefits Record Layout for Population 4

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
10	WBA	Step 10D - Rule 3 Step 10E - Rule 3	The weekly benefit allowance.	Number - 0000000.00 (Required except optional for UCFE only, UCFE/UCX, and UCX only adjustments, and self-employment and CWC payments)	DECIMAL (9,2)	
11	UI Amount	Step 12A - Rule 1	The amount of benefits paid from State Unemployment Funds.	Number - 0000000.00 (Required except must be blank or 0 for UCFE only, UCFE/UCX, UCX only, self-employment, and CWC payments)	DECIMAL (9,2)	
12	UCFE Amount	Step 12B - Rule 1	The amount of benefits paid from Federal Funds.	Number - 0000000.00 (Required for UCFE only, Joint UI/Federal, and UCFE/UCX payments; must be blank or 0 for all other payment types)	DECIMAL (9,2)	
13	UCX Amount	Step 12C - Rule 1	The amount of benefits paid from military funds.	Number - 0000000.00 (Required for UCX only, Joint UI/Federal, and UCFE/UCX payments; must be blank or 0 for all other payment types)	DECIMAL (9,2)	

UI Benefits Record Layout for Population 4

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
14	CWC Amount	Step 12D - Rule 1	The amount of benefits paid for a combined wage claim payment.	Number - 0000000.00 (Required for all CWC payments; must be blank or 0 for all other payment types)	DECIMAL (9,2)	
15	Self-Employ Amount	Step 12E - Rule 1	The total dollars paid under the SEA program.	Number - 0000000.00 (Required for self-employment payments; must be blank or 0 for all other payment types)	DECIMAL (9,2)	
16	Week End Date	Step 13 - Rule 1	The week-ending date of the week compensated.	Date - MM/DD/YYYY (Required except optional for adjustment, self-employment, and all CWC payments with the exception of CWC first payments)	DATE	
17	Mail Date	Step 14 - Rule 1	The date on which the payment is actually mailed to the claimant.	Date - MM/DD/YYYY (Required)	DATE	NOT NULL
18	User		User defined field. Can be used for any additional data element. Not mandatory.	Text (Optional)	CHAR (100)	

UI Benefits Record Layout for Population 5

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 UI Program Type is 01, then the data format would be UI-01.

No.	Field Name	Module 3 Reference	Field Description	DataFormat	Data Type	Constraint
1	OBS		State assigned sequential unique identifier for each record in the extract file.	Number - 00000000 (Required)	INTEGER	NOT NULL
2	SSN	Step 1D - Rule 1	Social Security Number	Number - 000000000 (Required)	CHAR (9)	NOT NULL
3	Issue Number (Unique ID)	Step 1D - Rule 2	The unique issue number or other unique number assigned to the nonmonetary determination.	Number - 000000 (Required if State maintains a unique ID)	CHAR (50)	
4	Type of UI Program	Regular UI: Step 2A - Rule 1 Workshare: Step 2B - Rule 1	Regular UI claim or Workshare claim.	Text - Regular UI Workshare (Required)	CHAR (20)	NOT NULL
5	Program Type	UI: Step 4A - Rule 1 UCFE: Step 4B - Rule 1 UCX: Step 4C - Rule 1	UI, UCFE, or UCX.	Text - UI UCFE UCX (Required except optional for multi-claimants)	CHAR (30)	
6	Intrastate/ Interstate	Intrastate: Step 5A - Rule 1 Interstate Received as Liable State: Step 5B - Rule 1	Intrastate or interstate.	Text - Intrastate Interstate (Required except optional for multi-claimants)	CHAR (30)	

UI Benefits Record Layout for Population 5

No.	Field Name	Module 3 Reference	Field Description	DataFormat	Data Type	Constraint
7	Determination/ Redetermination	Step 16A - Rule 1 Step 16B - Rule 1	The decision made by the authority on an issue was a determination or redetermination.	Text - Determination Redetermination (Required)	CHAR (30)	NOT NULL
8	Type of Determination	Step 17A - Rules 1 and 2 Step 17B - Rule 1	The determination was based upon facts related to an individual situation or to groups of similarly situated individuals.	Text - Single Multi (Required)	CHAR (20)	NOT NULL
9	Issue Types	VL: Step 18A - Rule 1 MC: Step 18B - Rule 1 Sep/Other: Step 18C - Rule 1 A & A: Step 18D - Rule 1 Ded. Income: Step 18E - Rule 1 Suitable Work: Step 18F - Rule 1 Reporting: Step 18G - Rule 1 Profiling: Step 18H - Rule 1 Other/Nonsep: Step 18I - Rule 1 Labor Dispute: Step 18J - Rule 1 Other Multiclaimeint Issues: Step 18K - Rule 1	The separating issue was voluntary leaving, misconduct, or other separation issue. The nonseparation issue was able and available for work, deductible income, suitable work refusal, reporting requirements, profiling, other nonseparation issue, or labor dispute or other multi-claimant issue.	Text - VL MC Sep/Other A & A Ded. Income Suitable Work Reporting Profiling Other Nonsep Labor Dispute Other Multiclaimeint (Required)	CHAR (50)	NOT NULL
10	First Week Affected	Step 19 - Rules 1 and 2	The week-ending date of the first week in a claim series to which a notice of nonmonetary determination applies.	Date - MM/DD/YYYY (Required except optional for redeterminations)	DATE	

UI Benefits Record Layout for Population 5

No.	Field Name	Module 3 Reference	Field Description	DataFormat	Data Type	Constraint
11	Detection Date	Step 20 - Rule 1	The earliest date that the agency is in possession of information indicating the existence of a nonmonetary issue.	Date - MM/DD/YYYY (Required except optional for redeterminations)	DATE	
12	Notice Date	Step 21 - Rule 1	The date the determination notice is mailed or, if no notice is required, the date payment is authorized, waiting week credit is given, or an offset is applied.	Date - MM/DD/YYYY (Required)	DATE	NOT NULL
13	Allow or Deny	Step 23A - Rules 1 and 2 Step 23B - Rules 1 and 2	The outcome of the nonmonetary determination was an allow or a deny.	Text - Allow Deny (Required)	CHAR (20)	NOT NULL
14	User		User defined field. Can be used for any additional data element. Not mandatory.	Text (Optional)	CHAR (100)	

UI Benefits Record Layout for Population 6

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 Single Claimant is N, then the data format would be S-N.

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
1	OBS		State assigned sequential unique identifier for each record in the extract file.	Number - 000000000 (Required)	INTEGER	NOT NULL
2	SSN	Step 1E - Rule 1	Social Security Number	Number - 000000000 (Required)	CHAR (9)	NOT NULL
3	Docket Number Unique ID	Step 1E - Rule 2	The Docket Number of the lower authority appeal.	Number - 00000000000 (Required)	CHAR (30)	NOT NULL
4	Appeal Level	Step 24A - Rule 1	The appeal type was a lower authority appeal.	Text - Lower (Required)	CHAR (20)	NOT NULL
5	Type of Appeal (Single or Multiclaimgant)	Single: Step 25A - Rule 1 Multi: Step 25B - Rule 1	The appeals case involves one or more than one claimant.	Text - S M (Required)	CHAR (20)	NOT NULL

UI Benefits Record Layout for Population 6

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
6	Number of Claimants	Step 25B - Rules 3 and 5	The number of claimants in a multiclaimant appeal. If the State stores a single record for a multi-claimant appeal with a field for the number of claimants, insert the number in this field. If the State stores a record for each claimant involved in a multi-claimant appeal, include all of the records in the file and insert a '1' in this field.	Number => 1 (Required for multiple claimant appeals; optional for single claimant appeals)	INTEGER	
7	Filed Date	Step 32 - Rule 1	The date on which the appeal was filed.	Date - MM/DD/YYYY (Required)	DATE	NOT NULL
8	User		User defined field. Can be used for any additional data element. Not mandatory.	Text (Optional)	CHAR (100)	

UI Benefits Record Layout for Population 7

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 Higher Authority Appeal is B, then the data format would be HIGHER-B.

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
1	OBS		State assigned sequential unique identifier for each record in the extract file.	Number - 000000000 (Required)	INTEGER	NOT NULL
2	SSN	Step 1F - Rule 1	Social Security Number	Number - 000000000 (Required)	CHAR (9)	NOT NULL
3	Docket Number Unique ID	Step 1F - Rule 2	The Docket Number of the higher authority appeal.	Number - 000000000000 (Required)	CHAR (30)	NOT NULL
4	Appeal Level	Step 24B - Rule 1	The appeal type was a higher authority appeal.	Text - Higher (Required)	CHAR (20)	NOT NULL
5	Type of Appeal (Single or Multiclaimgant)	Single: Step 25A - Rule 1 Multi: Step 25B - Rule 1	The appeals case involves one or more than one claimant.	Text - S M (Required)	CHAR (20)	NOT NULL

UI Benefits Record Layout for Population 7

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
6	Number of Claimants	Step 25B - Rules 3 and 5	The number of claimants in a multiclaimant appeal. If the State stores a single record for a multi-claimant appeal with a field for the number of claimants, insert the number in this field. If the State stores a record for each claimant involved in a multi-claimant appeal, include all of the records in the file and insert a '1' in this field.	Number => 1 (Required for multiple claimant appeals; optional for single claimant appeals)	INTEGER	
7	Filed Date	Step 32 - Rule 1	The date on which the appeal was filed.	Date - MM/DD/YYYY (Required)	DATE	NOT NULL
8	User		User defined field. Can be used for any additional data element. Not mandatory.	Text (Optional)	CHAR (100)	

UI Benefits Record Layout for Population 8

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 UI Program Type is 01, then the data format would be UI-01.

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
1	OBS		State assigned sequential unique identifier for each record in the extract file.	Number - 00000000 (Required)	INTEGER	NOT NULL
2	SSN	Step 1E - Rule 1	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 ID assigned to the appeal.	Number - 0000000000 (Required)	CHAR (30)	NOT NULL
4	Type of UI Program	Regular UI: Step 2A - Rule 1 Workshare: Step 2B - Rule 1	Regular UI claim or Workshare claim.	Text - Regular UI Workshare (Required)	CHAR (20)	NOT NULL
5	Program Type	UI: Step 4A - Rule 1 UCFE: Step 4B - Rule 1 UCX: Step 4C - Rule 1	UI, UCFE, or UCX.	Text - UI UCFE UCX (Required)	CHAR (20)	NOT NULL
6	Intrastate/ Interstate	Intrastate: Step 5A - Rules 1 and 2 Interstate Received as Liable State: Step 5B - Rules 1 and 2	Intrastate or Interstate.	Text - Intrastate Interstate (Required)	CHAR (30)	NOT NULL
7	Appeal Level	Step 24A - Rule 1	The appeal type is a lower authority appeal.	Text - Lower (Required)	CHAR (20)	NOT NULL

UI Benefits Record Layout for Population 8

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
8	Type of Appeal (Single or Multiclaimeant)	Single: Step 25A - Rule 1 Multi: Step 25B - Rule 1	<p>The determination is based upon facts related to an individual situation or to groups of similarly situated individuals.</p> <p>States which maintain a single record for multi-claimant appeals with a field for the number of claimants involved should insert a text prefix of 'M-1' for a multi-claimant appeal with only one record for the whole appeal.</p> <p>States which maintain multiple records (one for each claimant) for a multi-claimant appeal should designate one of the records as the lead claimant. States should insert a text prefix of 'M-Lead' in this field for the lead claimant record. Both of these types of records will be assigned to subpopulations 8.45 to 8.52 (lower) or 9.13 to 9.20 (higher). States which maintain multiple records should insert a prefix of 'M-Nonlead' in the multi-claimant field for the non-lead claimants. These records will be assigned to subpopulations 8.53 (lower) or 9.21 (higher).</p>	Text - S M-1 M-Lead M-Nonlead (Required)	CHAR (20)	NOT NULL

UI Benefits Record Layout for Population 8

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
9	Number of Claimants in Multiclaimgant Appeal	Step 25B - Rules 3 and 5	The number of claimants involved in a multiclaimgant appeal (could be one if separate records are provided for each participating claimant)	Number => 1 (Required for multiple claimant appeals; must be blank or 0 for single claimant appeals)	INTEGER	
10	Appellant	Claimant: Step 26A - Rule 1 Employer: Step 26B - Rule 1 Other: Step 26C - Rule 1	The appellant is the claimant, employer, or other than claimant or employer.	Text - Claimant Employer Other (Required except optional for UCFE, UCX, and non-lead multi-claimant claims)	CHAR (20)	
11	In Favor of Appellant	In Favor: Step 27A - Rule 1 Not in Favor: Step 27B - Rule 1	The decision was or was not in favor of the appellant.	Text - Y N (Required except optional for UCFE, UCX, and non-lead multi-claimant claims)	CHAR (20)	
12	Filed Date	Step 32 - Rule 1	The date on which the appeal was filed.	Date - MM/DD/YYYY (Required)	DATE	NOT NULL
13	Decision Date	Step 28 - Rule 1	The date the decision was mailed to the interested parties concerned.	Date - MM/DD/YYYY (Required)	DATE	NOT NULL
14	Disposed of by Decision	By Decision: Step 30A - Rule 1 Not by Decision: Step 30B - Rule 1	The appeals case was disposed of by a written ruling.	Text - Y N (Optional)	CHAR (20)	

UI Benefits Record Layout for Population 8

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
15	Issue Code	VL: Step 31A - Rule 1 MC: Step 31B - Rule 1 Suit: Step 31C - Rule 1 A&A: Step 31D - Rule 1 Other: Step 31E - Rule 1 Labor Disp: Step 31F - Rule 1	The issue code of the appeal was voluntary leaving, misconduct, refusal of suitable work, able and available to work, other issues, or labor dispute.	Text - VL MC Suit A & A Other Labor Disp (Required except optional for UCFE and UCX claims)	CHAR (30)	
16	User		User defined field. Can be used for any additional data element. Not mandatory.	Text (Optional)	CHAR (100)	

UI Benefits Record Layout for Population 9

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 In Favor Of is F, then the data format would be Y-F.

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
1	OBS		State assigned sequential unique identifier for each record in the extract file.	Number - 00000000 (Required)	INTEGER	NOT NULL
2	SSN	Step 1F - Rule 1	Social Security Number	Number - 000000000 (Required)	CHAR (9)	NOT NULL
3	Docket Number Unique ID	Step 1F - Rule 2	The Docket ID or other unique number assigned to the appeal.	Number - 0000000000 (Required)	CHAR(30)	NOT NULL
4	Type of UI Program	Regular UI: Step 2A - Rule 1 Workshare: Step 2B - Rule 1	Regular UI claim or Workshare claim.	Text - Regular UI Workshare (Required)	CHAR(20)	NOT NULL
5	Program Type	UI: Step 4A - Rule 1 UCFE: Step 4B - Rule 1 UCX: Step 4C - Rule 1	UI, UCFE, or UCX.	Text - UI UCFE UCX (Required)	CHAR (20)	NOT NULL
6	Intrastate/ Interstate	Intrastate: Step 5A - Rules 1 and 2 Interstate Received as Liable State: Step 5B - Rules 1 and 2	Intrastate or interstate.	Text - Intrastate Interstate (Required except optional for non-lead claimant multi-claimant appeals)	CHAR (20)	
7	Appeal Level	Step 24B - Rule 1	The appeal is a higher authority appeal.	Text - Higher (Required)	CHAR (20)	NOT NULL

UI Benefits Record Layout for Population 9

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
8	Type of Appeal (Single or Multiclaimeant)	Single: Step 25A - Rule 1 Multi: Step 25B - Rule1	<p>The determination is based upon facts related to an individual situation or to groups of similarly situated individuals.</p> <p>States which maintain a single record for multi-claimant appeals with a field for the number of claimants involved should insert a text prefix of 'M-1' for a multi-claimant appeal with only one record for the whole appeal.</p> <p>States which maintain multiple records (one for each claimant) for a multi-claimant appeal should designate one of the records as the lead claimant. States should insert a text prefix of 'M-Lead' in this field for the lead claimant record. Both of these types of records will be assigned to subpopulations 8.45 to 8.52 (lower) or 9.13 to 9.20 (higher). States which maintain multiple records should insert a prefix of 'M-Nonlead' in the multi-claimant field for the non-lead claimants. These records will be assigned to subpopulations 8.53 (lower) or 9.21 (higher).</p>	Text - S M-1 M-Lead M-Nonlead (Required)	CHAR (20)	NOT NULL

UI Benefits Record Layout for Population 9

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
9	Number of Claimants in Multiclaimgant Appeal	Step 25B - Rules 3 and 5	The number of claimants involved in a multiclaimgant appeal (could be one if separate records are provided for each participating claimant)	Number => 1 (Required for multiple claimant appeals; must be blank or 0 for single claimant appeals)	INTEGER	
10	Appellant	Claimant: Step 26A - Rule 1 Employer: Step 26B - Rule 1 Other: Step 26C - Rule 1	The appellant is the claimant, employer, or other than claimant or employer.	Text - Claimant Employer Other (Required except optional for UCFE and UCX claims, and non-lead multi-claimant appeals)	CHAR (30)	
11	In Favor of Appellant	In Favor: Step 27A - Rule 1 Not in Favor: Step 27B - Rule 1	The decision was or was not in favor of the appellant.	Text - Y N (Required except optional for UCFE and UCX claims, and non-lead multi-claimant appeals)	CHAR (20)	
12	Filed Date	Step 32 - Rule 1	The date on which the appeal was filed.	Date - MM/DD/YYYY (Required)	DATE	NOT NULL
13	Decision Date	Step 28 - Rule 1	The date the decision was mailed to the interested parties concerned.	Date - MM/DD/YYYY (Required)	DATE	NOT NULL
14	Disposed of by Decision	By Decision: Step 30A - Rule 1 Not by Decision: Step 30B - Rule 1	The appeals case was disposed of by a written ruling.	Text - Y N (Optional)	CHAR (20)	

UI Benefits Record Layout for Population 9

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
15	User		User defined field. Can be used for any additional data element. Not mandatory.	Text (Optional)	CHAR (100)	

UI Benefits Record Layout for Population 10

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.

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
1	OBS		State assigned sequential unique identifier for each record in the extract file.	Number - 00000000 (Required)	INTEGER	NOT NULL
2	SSN	Step 1E - Rule 1	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)	

UI Benefits Record Layout for Population 11

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 Higher Authority Appeal is 200, then the data format would be HIGHER-200.

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
1	OBS		State assigned sequential unique identifier for each record in the extract file.	Number - 000000000 (Required)	INTEGER	NOT NULL
2	SSN	Step 1F - Rule 1	Social Security Number	Number - 000000000 (Required)	CHAR (9)	NOT NULL
3	Docket Number Unique ID	Step 1F - Rule 2	The Docket Number or other unique number assigned to the appeal.	Number - 0000000000 (Required)	CHAR (30)	NOT NULL
4	Appeal Level	Step 24B - Rule 1	The appeal was a higher authority appeal.	Text - Higher (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)	

UI Benefits Record Layout for Population 12

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 Fraud is F, then the data format would be FRAUD-F.

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
1	OBS		State assigned sequential unique identifier for each record in the extract file.	Number - 00000000 (Required)	INTEGER	NOT NULL
2	SSN	Step 1G - Rule 1	Social Security Number	Number - 000000000 (Required)	CHAR (9)	NOT NULL
3	Unique ID	Step 1G - Rule 2	The unique ID of the overpayment.	Number - 0000000000 (Required if State maintains a unique ID)	CHAR (30)	
4	Program Type	UI: Step 4A - Rule 1 UCFE: Step 4B - Rule 1 UCX: Step 4C - Rule 1	Type of program is UI, UCFE, or UCX.	Text - UI UCFE UCX (Required)	CHAR (30)	NOT NULL
5	Type of Overpayment	Fraud: Step 33A - Rule 1 Nonfraud: Step 33B - Rule 1 Penalty: Step 33C - Rule 1	The type of overpayment is Fraud, Nonfraud or Penalty.	Text - Fraud Nonfraud Penalty (Required)	CHAR (20)	NOT NULL
6	Cause of Overpayment	Multi Claimant Scheme: Step 34A - Rule 1 Reversal (JAVA): Step 34B - Rule 1 SESA: Step 34C - Rule 1 Employer: Step 34D - Rule 1 Claimant: Step 34E - Rule 1 Other: Step 34F - Rules 1 and 3 Penalty: Step 34G - Rule 1	The cause of the overpayment was Multi Claimant Schemes, Reversals, SESA Errors, Employer Errors, Claimant Errors, or other Fraud or Nonfraud causes.	Text - Multiclient Reversals SESA Employer Claimant Other (Required except optional for penalties)	CHAR (30)	

UI Benefits Record Layout for Population 12

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
7	Detection Type	Wage/Benefit Crossmatch: Step 35A - Rule 1 IB Crossmatch: Step 35B - Rule 1 New Hires System: Step 35C - Rule 1 Multi-Claimant Scheme Systems: Step 35D - Rule 1 Special Project: Step 35E - Rule 1 Other Controllable: Step 35F - Rule 1 Noncontrollable: Step 35G - Rule 1	The detection type used to establish the overpayment was Wage/Benefit Crossmatch, IB Crossmatch, New Hires Systems, Multi-Claimant Scheme Systems, Special Project, Other Controllable, or Noncontrollable activity.	Text - Wage Crossmatch IB Crossmatch New Hires Multiclaimgant Special Other Controllable Noncontrollable (Required)	CHAR (30)	NOT NULL
8	Date Established	Step 36 - Rule 1	The date that the overpayment was established.	Date - MM/DD/YYYY (Required)	DATE	NOT NULL
9	UI Amount	Step 37A - Rule 1	The amount of benefits paid from State Unemployment Funds.	Number - 0000000.00 (Required for UI claims; must be blank or 0 for UCFE or UCX claims)	DECIMAL (9,2)	
10	Federal Amount	Step 37B - Rule 1	The amount of benefits paid from Federal Funds.	Number - 0000000.00 (Required for UCFE, UCX, or joint claims; must be blank or 0 for UI claims)	DECIMAL (9,2)	
11	User		User defined field. Can be used for any additional data element. Not mandatory.	Text (Optional)	CHAR (100)	

UI Benefits Record Layout for Population 13

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 Recovered Cash is C, then the data format would be CASH-C

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
1	OBS		State assigned sequential unique identifier for each record in the extract file.	Number - 00000000 (Required)	INTEGER	NOT NULL
2	SSN	Step 1H - Rule 1	Social Security Number	Number - 000000000 (Required)	CHAR (9)	NOT NULL
3	Unique ID	Step 1H - Rule 2	The unique ID of the overpayment.	Number - 0000000000 (Required if State maintains a unique ID)	CHAR (30)	
4	Program Type	UI: Step 4A - Rule 1 UCFE: Step 4B - Rule 1 UCX: Step 4C - Rule 1	The program type is UI, UCFE, or UCX.	Text - UI UCFE UCX (Required)	CHAR (30)	NOT NULL
5	Type of Overpayments	Fraud: Step 33A - Rule 1 Nonfraud: Step 33B - Rule 1	The type of overpayment is Fraud or Nonfraud.	Text - Fraud Nonfraud (Required)	CHAR (20)	NOT NULL

UI Benefits Record Layout for Population 13

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
6	Type of Reconciliation Activity	Recovered Cash: Step 38A - Rule 1 Recovered Offset: Step 38B - Rule 1 State Income Tax Offset: Step 38C - Rule 1 By Other States: Step 38D - Rule 1 Written Off: Step 38G - Rule 1 Waived: Step 38F - Rule 1 Additions: Step 38H - Rule 1 Subtractions: Step 38I - Rule 1 Other: Step 38E - Rule 1	The reconciliation activity was cash, benefit offset, state income tax offset, offset other states, write-off, addition, or subtraction.	Text - Cash Benefit Offset Tax Offset By Other State Write-off Waived Addition Subtraction Other (Required)	CHAR (30)	NOT NULL
7	Date of Reconciliation Activity	Step 39 - Rule 1	Indicate the date of the Overpayment Activity.	Date - MM/DD/YYYY (Required)	DATE	NOT NULL
8	UI Reconciliation Amount	Step 40A - Rule 1	The reconciled amount of State Unemployment Funds.	Number - 0000000.00 (Required for UI claims; must be blank or 0 for UCFE or UCX claims)	DECIMAL (9,2)	
9	Federal Reconciliation Amount	Step 40B - Rule 1	The reconciled amount of Federal Funds.	Number - 0000000.00 (Required for UCFE, UCX, or joint claims; must be blank or 0 for UI claims)	DECIMAL (9,2)	

UI Benefits Record Layout for Population 13

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
10	User		User defined field. Can be used for any additional data element. Not mandatory.	Text (Optional)	CHAR (100)	

UI Benefits Record Layout for Population 14

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 Nonfraud is NF, then the data format would be NONFRAUD-NF.

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
1	OBS		State assigned sequential unique identifier for each record in the extract file.	Number - 00000000 (Required)	INTEGER	NOT NULL
2	SSN	Step 1G - Rule 1	Social Security Number	Number - 000000000 (Required)	CHAR (9)	NOT NULL
3	Unique ID	Step 1G - Rule 2	The unique ID of the overpayment.	Number - 0000000000 (Required if State maintains a unique ID)	CHAR (30)	
4	Date Established	Step 36 - Rule 1	The date the overpayment was established	Date - MM/DD/YYYY (Required)	DATE	NOT NULL
5	Program Type	UI: Step 4A - Rule 1 UCFE: Step 4B - Rule 1 UCX: Step 4C - Rule 1	The program type is UI, UCFE, or UCX.	Text - UI UCFE UCX (Required)	CHAR (30)	NOT NULL
6	Outstanding Overpayment	Step 41 - Rule 1	The overpayment is outstanding.	Text - Y N (Optional)	CHAR (20)	

UI Benefits Record Layout for Population 14

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
7	Active Collection	Yes or blank: Step 44A - Rule 1 No: Step 44B - Rule 1 Dropped: Step 44C - Rule 1	Indicate Y if overpayment is in process of recovery; use N if overpayment is no longer in process of recovery; use D if the established date is prior to nine (9) quarters prior to the report quarter and the overpayment was in process of recovery in the prior quarter but recovery was dropped in the report quarter.	Text - Y N D (Required for overpayments with balances more than 450 days past due; optional for other overpayment balances)	CHAR (20)	
8	Type of Overpayments	Fraud: Step 33A - Rule 1 Nonfraud: Step 33B - Rule 1	The type of overpayment is Fraud or Nonfraud.	Text - Fraud Nonfraud (Required for overpayments with balances more than 8 quarters past due; optional for other overpayment balances)	CHAR (20)	
9	UI Balance at End of Qtr	Step 42A - Rule 1	The State Unemployment funds overpayment balance at the end of the quarter.	Number - 00000000.00 (Required for UI claims; must be blank or 0 for UCFE and UCX claims)	DECIMAL (9,2)	
10	Federal Balance at the End of Qtr	Step 42B - Rule 1	The Federal funds overpayment balance at the end of the quarter.	Number - 00000000.00 (Required for UCFE, UCX, and joint claims; must be blank or 0 for UI claims)	DECIMAL (9,2)	

UI Benefits Record Layout for Population 14

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
11	User		User defined field. Can be used for any additional data element. Not mandatory.	Text (Optional)	CHAR (100)	