DATA VALIDATION MODULE 3 SOFTWARE

Regional Office Tutorial
Version 1.3.0

U.S. Department of Labor
Employment and Training Administration
Office of Unemployment Insurance

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About This Software Tutorial

This document provides instructions for Regional Office users on how to use the features in the Data Validation (DV) Module 3 Software, Version 1.3.0, which are available exclusively to them.

Technical Support

If any problems are encountered with the software, contact the Office of Unemployment Insurance (OUI) Technical Support Staff (Hotline) at 1-800-473-0188 or send an email to hotline@uis.doleta.gov.

Typographic Conventions

This document uses the following typographic conventions.

Visual Cue	Meaning
1	Sequenced steps to follow when completing a task
Black bold type	Button
Blue type	Box title
Purple type	Tab or Drop-down menu
Purple underlined type	Links on the software that you can click on
Blue underline type	Web or email address
Italics	Documents, screen names and menu options
	Indicates where to click on the software screen
	Indicates a highlighted area interest of an image for the user
	Note with additional information

Software Requirements

The DV Module 3 Software was developed for Internet Explorer Version 6.0 or later, and Adobe Acrobat Version 5.0 or later.

To use the application, you need a user name and a password that you can obtain from your system administrator. Instructions and forms for requesting access to the application are posted on the DV Web page at http://www.oui.doleta.gov/dv/ .

Features Included

The Data Validation (DV) Module 3 Software implements a security module that allows National Office, Regional Office and State users to use a single centralized system to view or publish content for Module 3 State Handbooks. The application converts two MS Access databases into a single web-based Content Management System for Module 3 State Handbooks.

Data Validation (DV) Module 3 Software contains the following web-based functionality:

- Contents Preview for Module 3 State Handbooks

- Publications Log

The above modules have been implemented as follows.

Contents Preview for Module 3 State Handbooks

The following module is available to Regional Office users.

Feature	Description
Preview State Data	- The system displays the current published Steps, Sub Steps, Rules, Comments and Documents in the system for the selected state. - The system highlights modifications and additions made to the state handbook since the last time it was published for the state selected.
Handbook Draft PDF Preview	- The system allows the user to preview a draft PDF copy of the state handbook for the state selected

Publications Log

The following module is available to Regional Office users.

Feature	Description
All Publications Log	• The system maintains a log of all publications. • The user can select any of the publications displayed in the log and view it as a PDF file • The system allows the user to filter the log by office. • The system displays the data in reverse chronological order.
Up to Date Publications Log	• The system displays a list of all states in the user's region. • States that have published their data after the most recent federal template was published, will display a date, the user that published the data, and any notes included with the publication. • The system displays the data in alphabetical order by state.
Latest Publications Log	• The system displays a list of all states in the user's region. • States that have published their data will display the date of their most recent publication, the user that published the data, any notes included with the publication and a link to a PDF of the publication. • The system displays the data in alphabetical order by state.
Certifications Log	• The system maintains a log of all certifications in the user's region. • The system allows the user to filter the log by validation year. • The system displays the data in alphabetical order by state.

Field Names and Format Changes in Module 3

The following table shows the original field names used in the previous MS Access database and their corresponding names in the new system. Some field names were renamed to reflect the new application.

Field Name in MS Access Database	Field Name in DV Module 3 Software	Field Description	Editable by
Step	Step	Number field that identifies the data elements (columns) of an extract file record, as described in the Subpopulation Specifications in Appendix A and the Record Layouts. In Module 3, a Step contains information on how to validate that element. The column headers on the DV software sample screens refer to the Steps and Sub Steps, so users can locate the corresponding information in Module 3. Some Steps are no longer used, because the DV software validates that field automatically.	National Office
Substep	Sub Step	Character field used to describe subdivisions of a Step.	National Office

Field Name in MS Access Database	Field Name in DV Module 3 Software	Field Description	Editable by
Function	Rule	This text field contains the general rules that states need to follow to validate a specific data element. All Steps and Sub Steps have at least one Rule.	National Office
Definition	Federal Definition	This text field includes any federal definitions related to the data element as described in ET Handbook 401. These are the same for all states.	National Office
Comments	State Comments	This text field can be used by states to add any comments on a Step or Sub Step.	States
Definitional Issues	Definitional Issues	When a state practice conflicts with a federal definition, the state can use this text field to provide information regarding such a practice.	States
Document	Document	This text field is used to record the document, screen or source that the state needs to reference in order to conduct validation for the Rule given. States can now add as many Documents as needed for each Rule.	States
Rule	Validation	This text field is used to record how the source recorded in the Document field is used to validate whether the data element satisfies the Rule.	States

All fields editable by states can be edited by National Office users, but this should only be done under special circumstances when a state requests it.

Fields have also been reordered in the new Module 3 layout. The following image shows an example of how a Module 3 page of looked in the old system.

Step 14 Payment Mail or Deposit Date

Instructions :   Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail."

Rules for this step/substep apply to Population 4

1. Document :	CLAIM RECORD (UCLR1) screen
Rule :	The EFF OR ISS DT for the selected payment matches the payment mail date on the worksheet and falls within the month being validated.
Function :	This rule validates that the date the payment was mailed or deposited matches the date on the worksheet and that the payment was mailed during the month that is being validated.
Comments:	The process (authorized) date is stored by the system. The mail date is the date payment was authorized plus one day unless the payment was authorized on a Saturday or on a holiday. If the payment was authorized on a Saturday or on a holiday, the mail date is the next business day plus one day.
Definitional Issues:	Definitions: Date of Payment: The date on which the check is paid in person, mailed, electronically transmitted to the Claimant's bank account, or an offset or intercept is applied on the claim.

The mail date is the date the SESA actually mails the first payments to the claimant. SESAs determine the mail date and provide DOL with it's procedure (s) to drive it in the comments section. |
| **Definitions:** | Date of Payment: The date on which the check is paid in person, mailed, electronically transmitted to the claimant's bank account, or an offset or intercept is applied on the claim. The mail date is the date the SESA actually mails the first payment to the claimant. SESAs determine the mail date and provide DOL with its procedure(s) to derive it in the Comments section. (ETA 401, pp. IV-1-5, V-1-8) |

The following image shows how the same page looks in the new system.

Step 14. Payment Mail or Deposit Date

Rules for this step/substep apply to Population 4

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

> **Rule 1:** This rule validates that the date the payment was mailed or deposited matches the date on the worksheet and that the payment was mailed during the month that is being validated.
>
> > **Document 1:** CLAIM RECORD (UCLR1) screen
> >
> > **Validation:** The EFF OR ISS DT for the selected payment matches the payment mail date on the worksheet and falls within the month being validated.

Federal Definition:	Date of Payment: The date on which the check is paid in person, mailed, electronically transmitted to the claimant's bank account, or an offset or intercept is applied on the claim. The mail date is the date the SESA actually mails the first payment to the claimant. SESAs determine the mail date and provide DOL with its procedure(s) to derive it in the Comments section. (ETA 401, pp. IV-1-5, V-1-8)
State Definitional Issues:	Definitions: Date of Payment: The date on which the check is paid in person, mailed, electronically transmitted to the Claimant's bank account, or an offset or intercept is applied on the claim. The mail date is the date the SESA actually mails the first payments to the claimant. SESAs determine the mail date and provide DOL with it's procedure (s) to drive it in the comments section.
State Comments:	The process (authorized) date is stored by the system. The mail date is the date payment was authorized plus one day unless the payment was authorized on a Saturday or on a holiday. If the payment was authorized on a Saturday or on a holiday, the mail date is the next business day plus one day.

The new handbook also contains a table of contents.

Introduction

The Data Validation Program

States are required to file Unemployment Insurance (UI) operations standardized reports to the U.S. Department of Labor (DOL), Employment and Training Administration (ETA). Reports covered by the Data Validation program are required on a monthly or quarterly basis.

These reports are used to establish the volume of activity conducted by state UI administrations and are a factor in establishing funding levels. They provide information about state compliance with UI requirements. They also provide information about the amount of benefits paid, the number of claimants served and other information useful in measuring the U.S. economy and projecting trends.

Since state programs differ significantly within established parameters and states utilize a variety of accounting and data processing arrangements, the issue of the comparability among state reports has emerged. State reporting requirements are standardized, but states use a variety of reporting procedures and must interpret reporting requirements within the context of their own laws and accounting conventions.

The UI Data Validation (DV) program was established in an attempt to identify inaccuracies in reported numbers so that they can be addressed. The program requires that states recreate reported numbers independently from their reporting process and compare these numbers with actual numbers reported to DOL. States must address any discrepancies found that exceed the established error tolerance. The DV program also requires that states examine samples of reported cases to verify that the correct information is being counted. To validate these samples, states use Module 3, a state-specific document that maps the data elements in the samples to elements in individual state systems.

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

Module 3 is not included in the UI DV Handbook. It is maintained in a database that contains data for every state. Since these instructions are state-specific, each state is responsible for reviewing and updating its Module 3 regularly. Every year by June 10, States need to certify that they have reviewed their Module 3 and that is up to date. The Module 3 software is the interface that states use to update their Module 3 and certify it every year.

Navigating the System

The Module 3 software is a web-based application with certain characteristics that the user should be aware of.

- *Multiple users.* The software supports multiple, concurrent users. However, it was not designed to allow, for example, multiple users to update the same data at the same time. The system will make updates in the order they are requested. If a user deletes a field that another user is editing, when the second user tries to save its change, the software will give an error message.

- *Time Out.* You will be automatically logged out from the application if you are inactive for more than 30 minutes. To maintain your session hit a key or move your mouse. You should "save" your work if you are going to be inactive for a long period of time.

- *Use of the **Back** button.* The Internet browser has a **Back** button that allows the user to return to a previous screen. Users should be aware that use of this button may result in unexpected results. This problem can be avoided by using the links on the software screens that were designed to navigate to previous screens.

- *Exit from Screens.* The user can exit from a secondary window within the application using the "Close" button (the "X" in the upper right corner of the window). Be aware that the "Close" button of a primary screen (the "X" at the extreme upper corner) will exit the user from the entire application. This may result in lost data.

  The Home link at the bottom of the screen will close the application and return you to the State Menu while still being logged to the system.

  The Logout link at the bottom of the screen will close the application, log you out, and return you to the State Menu.

- *Help functions.* The application has Help links on certain screens. Click on this link to display information relevant to the data or functions available on the screen. The Feedback link accesses contact information for technical problems.

> Screen shots in this tutorial might look different (fonts and colors) from your screen due to your desktop and browser settings.

Login Screen

To log on to the Module 3 software, follow the next steps.

1 Go to the Office of Unemployment Insurance *Applications Menu* screen. Select <u>Data Validation</u> and then select <u>Module 3</u>.

2 Select <u>Benefits</u> or <u>Tax</u>.
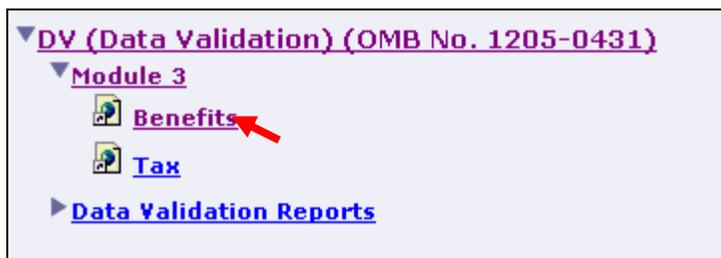
3 The following *Security Alert* window will be displayed.   This window requests you to accept a security certificate that is issued by the Department of Labor. This window will appear whenever the user enters the application the first time during a session. To continue, click **Yes**.

4 On the *Module 3* login screen, select your office from the Organization drop-down menu.

5 Enter your Username. Example: user6

6 Enter your Password and click **Submit**.
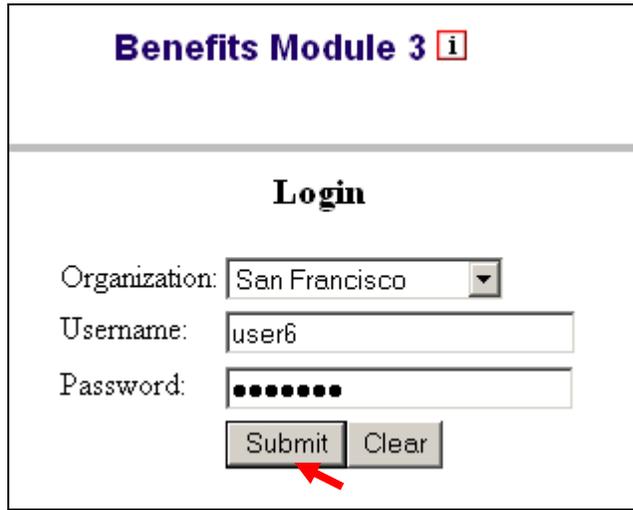
User name and password must be requested from the OUI National Office. Instructions and request forms have been posted on the DV web page at http://www.oui.doleta.gov/dv/

7 You will see the following screen. The reason that this message appears is that the system requires you to log in using a secure connection. Once you have logged into the system the secure connection is no longer needed to run the application. The browser is informing you that you are now leaving the secure page. Click **Yes**.
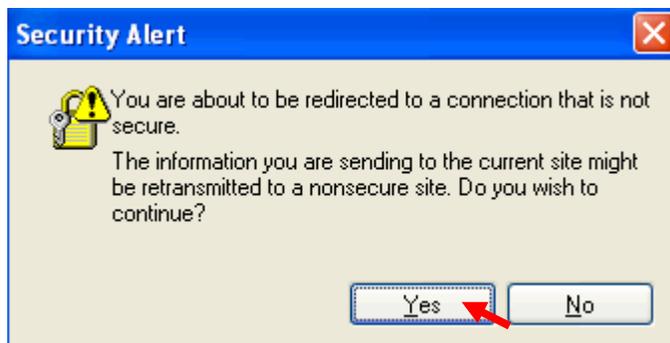
You should see the *Main* screen.

From any screen of the software you can access the following tabs that will help you navigate through the application:

- Main
- State Handbook
- Reports

Main Screen

When you log into the application, you will see the *Main* screen.

On the *Main* screen, you can see the date and time when the Federal Template was last published.

State Handbook

State and National Office users collaborate in editing Module 3. The National Office is responsible for updating and maintaining the parts of the document that are generic to all states, referred to as the federal template. These include the format, headers, and the following fields:

- Step
- Sub Step
- Rule
- Federal Definition

The following image is an example of a page of the federal template. All the information on the page is updated by the National Office.

Federal Template	Module 3

Step 4. Program Type

Sub Step A. UI

Rules for this step/substep apply to Populations 1, 2, 3, 3a, 4, 5, 8, 9, 12, 13, and 14

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule validates that the State's program type code indicates a State UI claim. The code may indicate a joint claim for all populations other than Population 4. For Population 4, the code may indicate a joint claim if it is the last payment on a joint claim using only UI funds.

Rule 2: This rule validates that the employer code number is within the range for a State UI claim.

Rule 3: This rule validates that there was a regular UI employer during the base period by checking the employer name.

Federal Definition: State Unemployment Insurance (UI): A State program that provides benefits to individuals financed wholly from State trust funds (UI) or partially from State trust funds and partially from UCFE and/or UCX program funds (joint UI/UCFE, UI/UCX, UI/UCFE/UCX claim). (ETA 401, p. V-1-8)

State users are responsible for editing their state-specific data contained in the following fields:

- State Comments
- State Definitional Issues
- Document
- Validation

These fields are identified in the following image.

Step 14. Payment Mail or Deposit Date

Rules for this step/substep apply to Population 4

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule validates that the date the payment was mailed or deposited matches the date on the worksheet and that the payment was mailed during the month that is being validated.

Document 1: CLAIM RECORD (UCLR1) screen

Validation: The EFF OR ISS DT for the selected payment matches the payment mail date on the worksheet and falls within the month being validated.

Federal Definition:	Date of Payment: The date on which the check is paid in person, mailed, electronically transmitted to the claimant's bank account, or an offset or intercept is applied on the claim. The mail date is the date the SESA actually mails the first payment to the claimant. SESAs determine the mail date and provide DOL with its procedure(s) to derive it in the Comments section. (ETA 401, pp. IV-1-5, V-1-8)
State Definitional Issues:	Definitions: Date of Payment: The date on which the check is paid in person, mailed, electronically transmitted to the Claimant's bank account, or an offset or intercept is applied on the claim.

The mail date is the date the SESA actually mails the first payments to the claimant. SESAs determine the mail date and provide DOL with it's procedure (s) to drive it in the comments section. |
| State Comments: | The process (authorized) date is stored by the system. The mail date is the date payment was authorized plus one day unless the payment was authorized on a Saturday or on a holiday. If the payment was authorized on a Saturday or on a holiday, the mail date is the next business day plus one day. |

National Office users can edit any of the state fields, but should only do it under special circumstances when a state requests it.

Regional users can only view their states' Module 3s. They can't edit any fields or publish any data.

From the State Handbook tab, you can access the following options:

- Draft PDF
- Preview

Previewing a State Handbook

Regional staff can view the current working draft of states' Module 3s. There are two ways of doing this. You can browse a PDF or you can go to the *Preview* screen where changes made since the last publication are highlighted.

To preview a PDF of a state's working draft of Module 3, follow the next steps.

1 Select <u>Draft PDF</u> from the State Handbook tab.
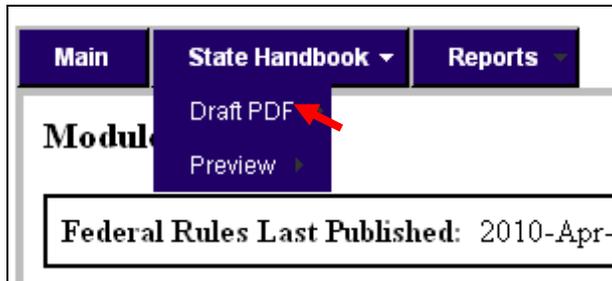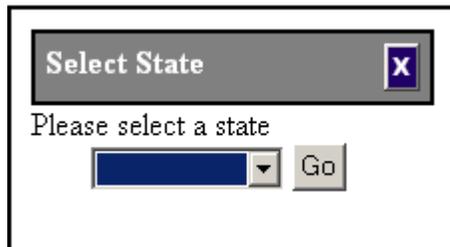
The following window with a state menu will be displayed.

2 Select the state for which you want to view the Module 3.
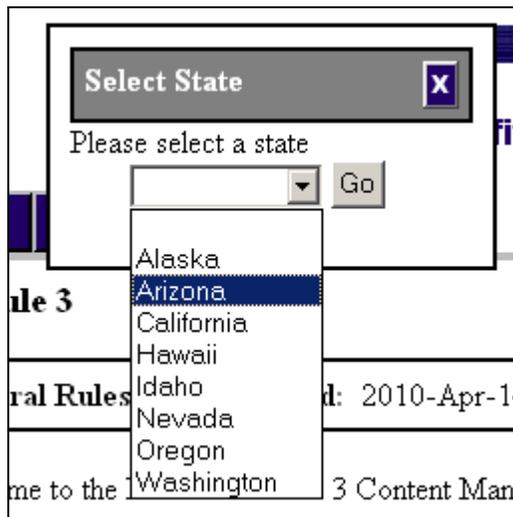
The following screen will be displayed.
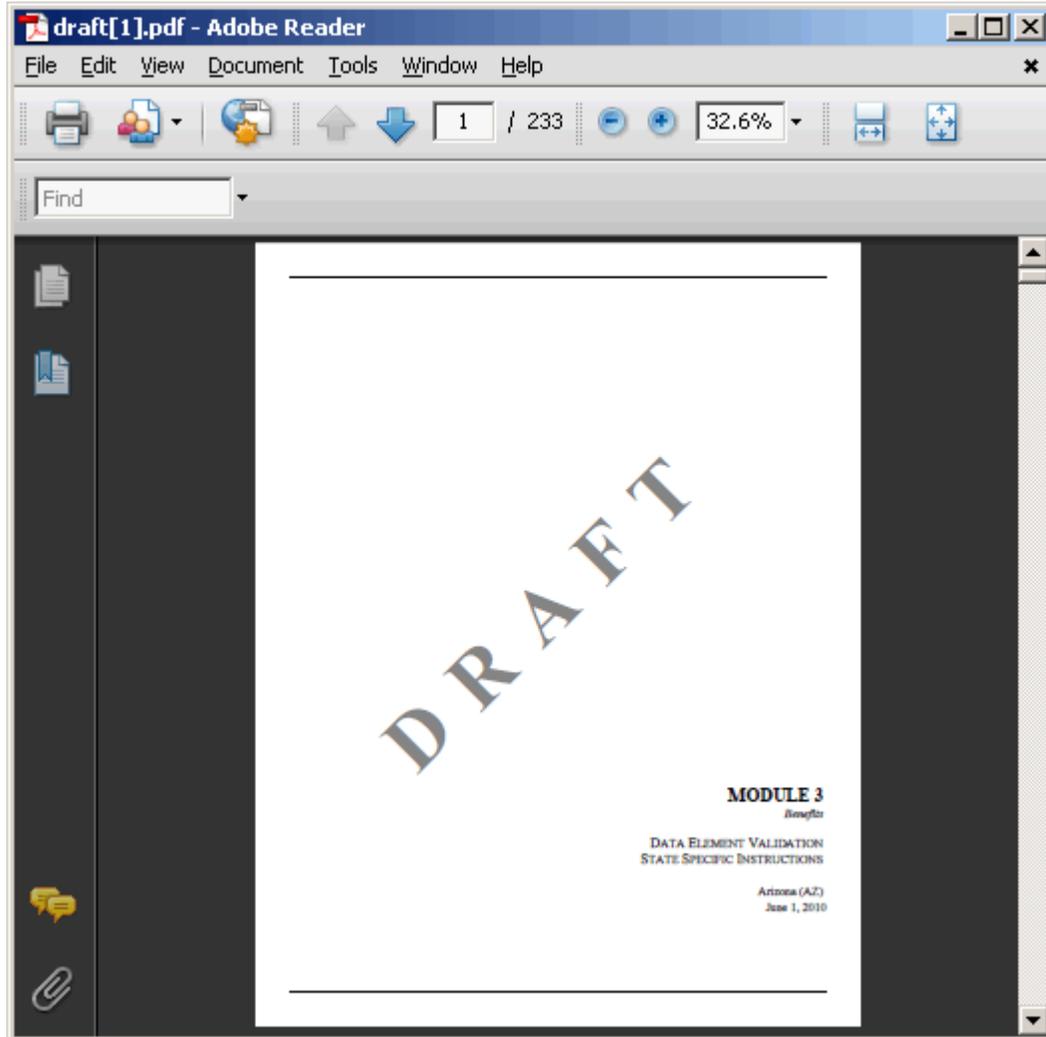
> ✏️ The preview function displays a draft copy of the state's Module 3 that includes any changes done by the state since their last publication. To get a copy of the latest official published state's Module 3, follow the instructions in the *Viewing All Publications* section.

You can browse or print the document using the Adobe Reader commands.

The PDF is bookmarked so you can go directly to the step you want to view. To do this, follow the next steps.

3 Click the **Bookmarks** button.
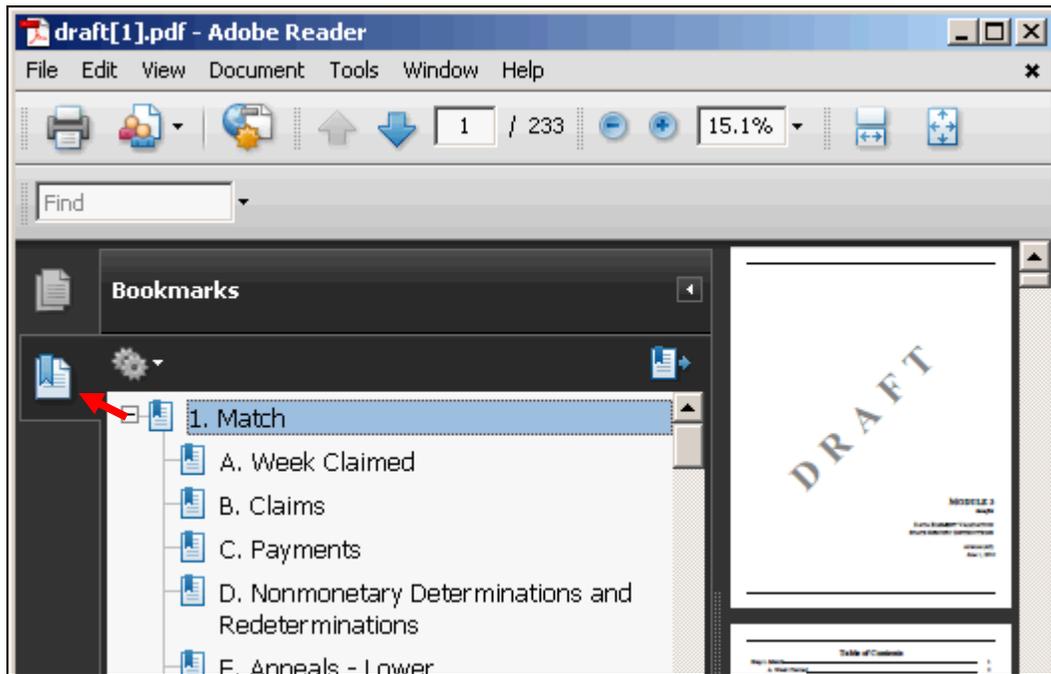
4 Click on the step you want to view.
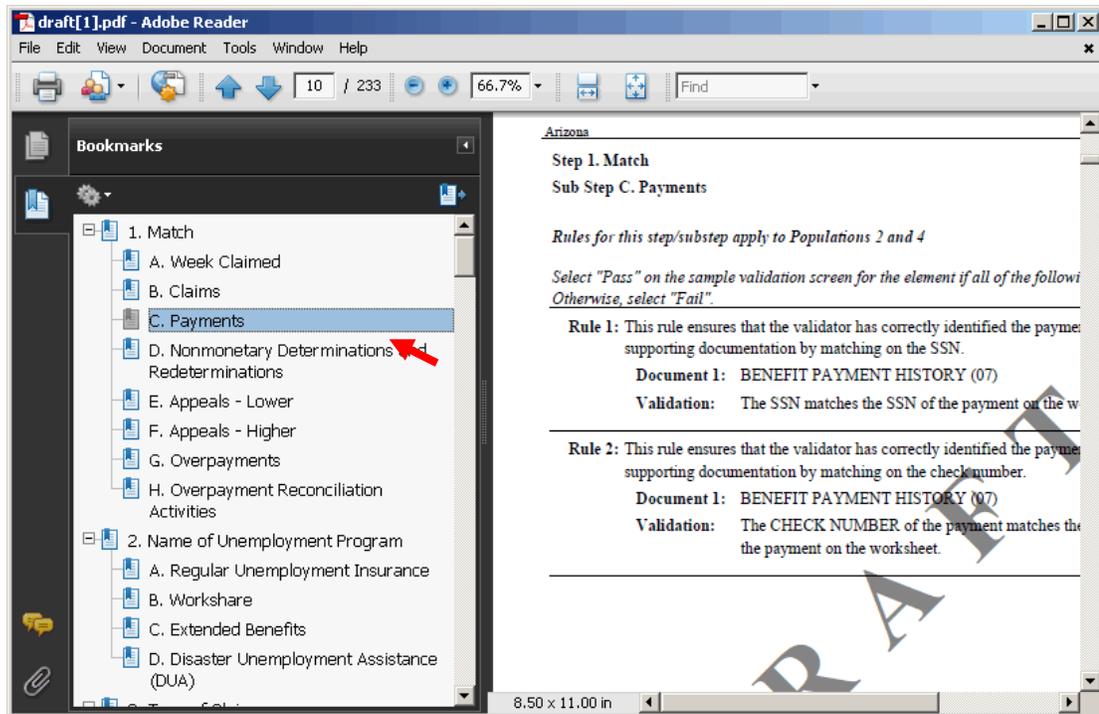
To print the handbook or parts of it, use the **Print** button.

To preview a state's working draft of Module 3 using the *Preview* screen, follow the next steps.

1 Select <u>Preview</u> from the State Handbook tab.
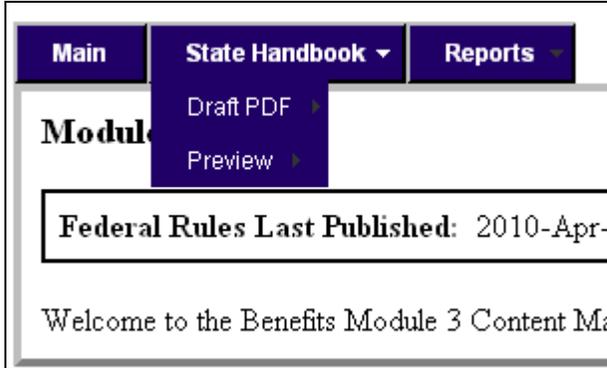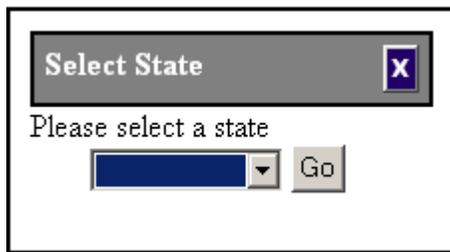
The following window with a state menu will be displayed.

2 Select the state for which you want to view the Module 3.
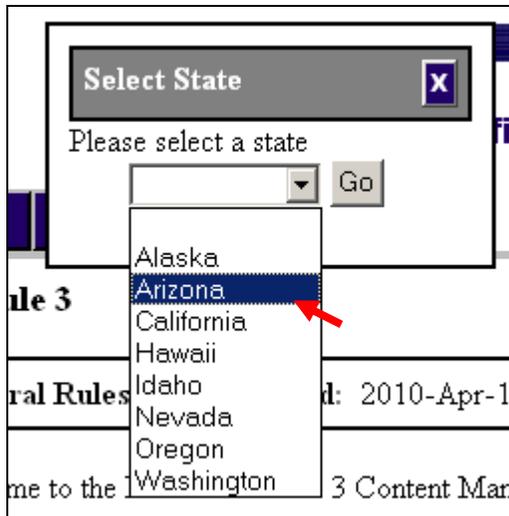
The following screen will be displayed.
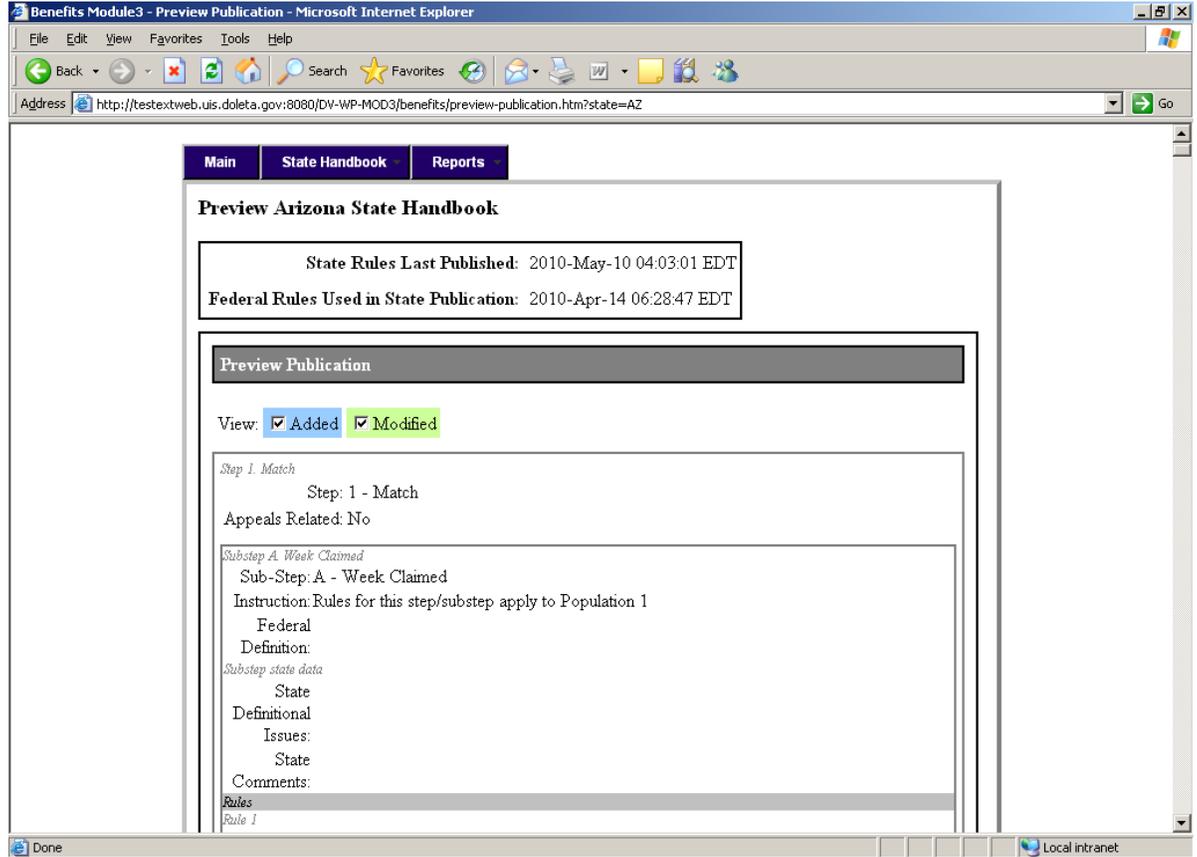
3 The screen displays all Module 3's contents. To highlight the changes made since the last publication, click on the Added or Modified boxes. Text that has been added since the last publication will be highlighted in blue, and text that has been modified will be highlighted in green.

Reports

From the Reports tab, you can access the following options:

- All Publications
- Up to Date Publications
- Latest Publications
- Certifications
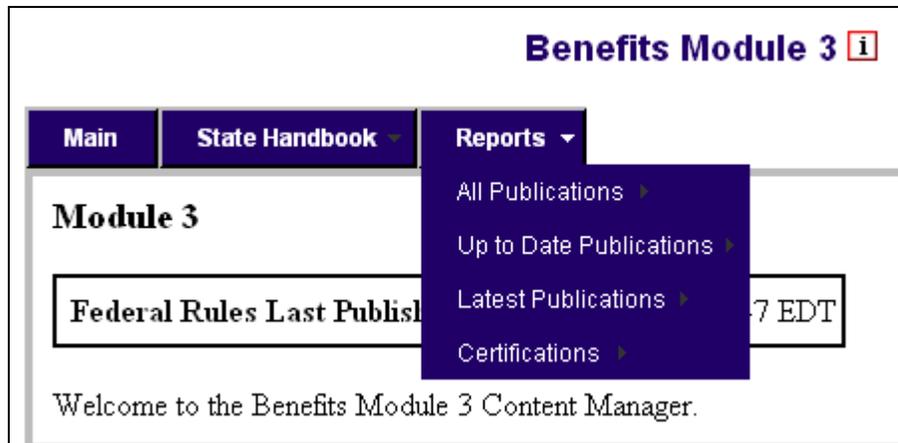
Viewing All Publications

To view a list of all publications follow the next steps.

1 Select <u>All Publications</u> from the Reports tab.
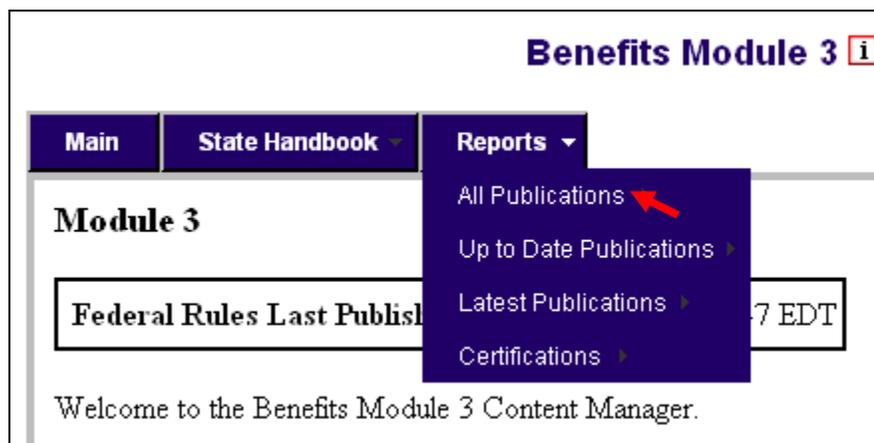
You will see a list of all publications by states in your Region.

2 To filter this list by office, select the office you want from the *Filter by Office* drop down menu.

3 Click **Get Publications**.

You will see a list of all publications from that office.

4 To view any publication, click on the PDF link next to the date of the publication you want.

	State	Publication Date	Publisher	Notes
PDF	AZ	2010-May-10 16:03:01 EDT	memberstate_AZ\user.test	published for cert test

Filter by Office: Arizona | Get Publications

This will bring up a copy of the publication on Adobe Reader.
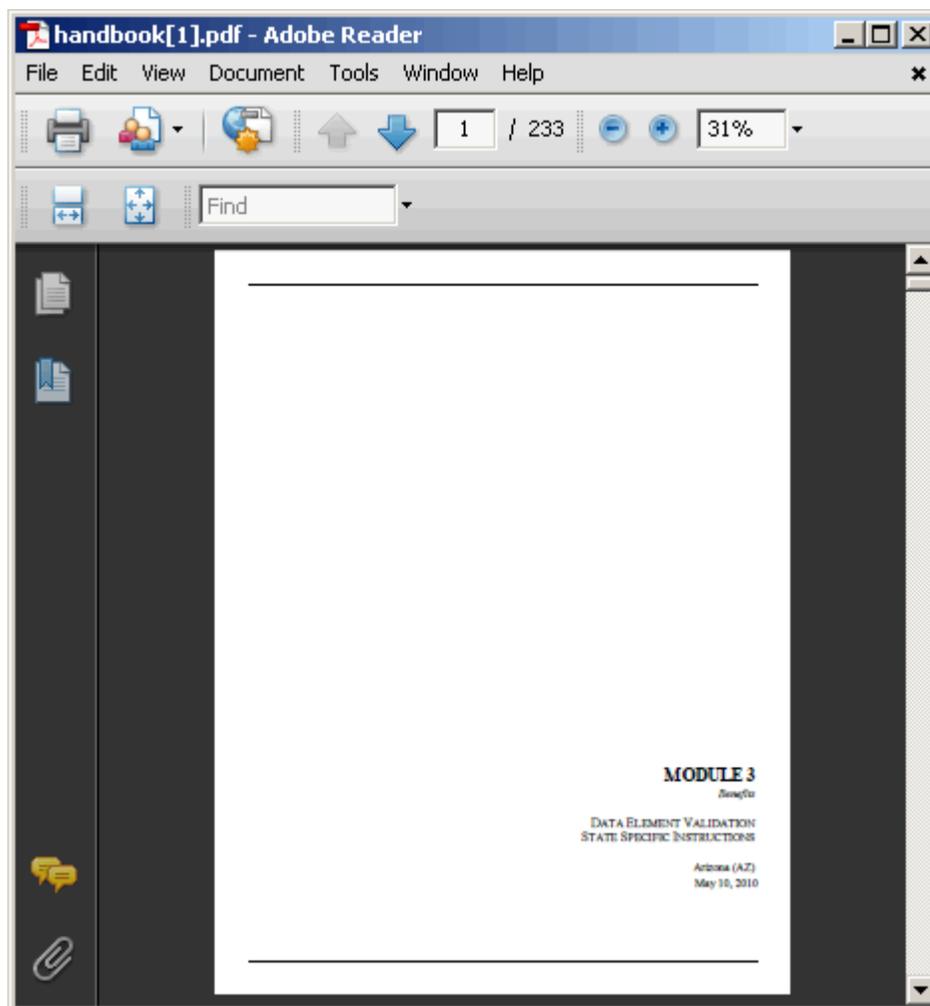
You can browse, print and/or save this copy using the Adobe Reader functions.

Viewing Up to Date Publications

To view a list of all Module 3s that have been published in your Region using the latest Federal Template, follow the next steps.

1 Select <u>Up to Date Publications</u> from the Reports tab.

The following screen will be displayed.

This screen displays the date when the Federal Template was last published and a list of all states in your Region in alphabetical order. The states that have entries displaying publication information are the ones that have published their Module 3 using the latest Federal Template available. All other states will have blank entries.

2 To view any publication, click on the <u>PDF</u> link next to the date of the publication you want.

Viewing Latest Publications

To view a list of the most recent Module 3s published by each state follow the next steps.

1 Select <u>Latest Publications</u> from the Reports tab.

The following screen will be displayed.

This screen displays the date when the Federal Template was last published and a list of all states in your Region in alphabetical order with the date and

information for their latest publication regardless of if it's up to date with the Federal template or not. Any blank entries indicate that the state has never published their Module 3.

2 To view any publication, click on the PDF link next to the date of the publication you want.

Viewing Certifications

To view a list of all Module 3 certifications made by the states follow the next steps.

1 Select Certifications from the Reports tab.
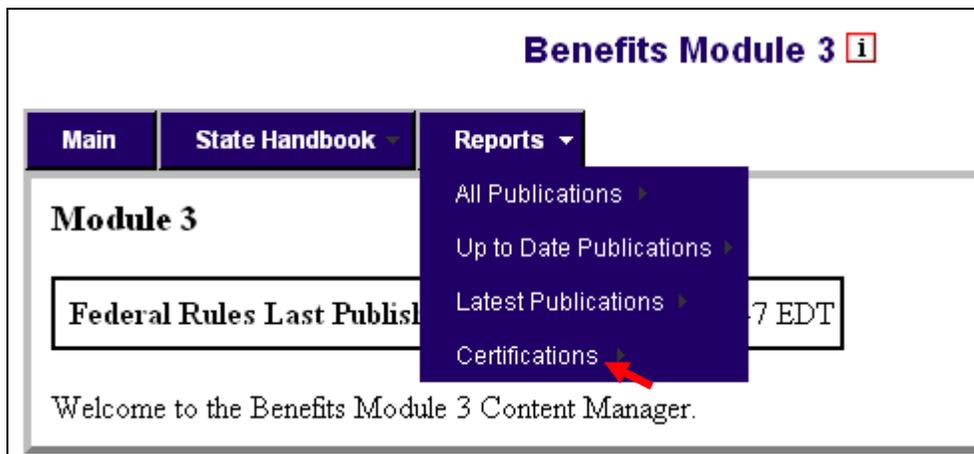
You will see a list of all certifications made by all states in your Region.
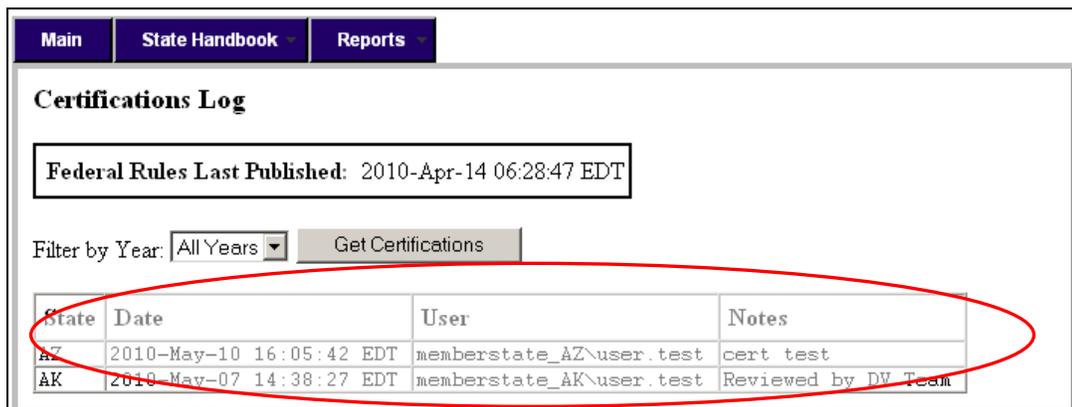
To filter this list by validation year follow the next steps.

2 Select the validation year from the *Filter by Year* drop down menu.

3 Click on **Get Certifications**.

Logging Out

To log out from the system, click on the <u>Logout</u> link at the bottom of the page.

This will end the session, log you out from the system, and return you to the *Applications Menu*.

> If you have access to both Benefits and Tax applications and want to switch from one to the other, click on the <u>Home</u> link at the bottom of the screen. This will close the application and return you to the *Application Menu*, but you will still be logged in. Click on <u>Benefits</u> or <u>Tax</u> and the application will open on the *Main* screen without the need to log in again.