UNEMPLOYMENT INSURANCE DATA VALIDATION HANDBOOK

Benefits

OFFICE OF UNEMPLOYMENT INSURANCE
DEPARTMENT OF LABOR

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APPENDIX E – INDEPENDENT COUNT VALIDATION

A. Purpose

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

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

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

States are required to validate reported data every third year, except for data elements used to calculate Government Performance and Results Act (GPRA) measures, which must be validated annually. Items that do not pass validation must be revalidated the following year. The "validation year" coincides with the State Quality Service Plan (SQSP) performance year. It covers data of any reporting period during the twelve months beginning April 1 and ending March 31. Results must be submitted to the National Office by June 10, which allows sufficient time for data validation results to be included in the SQSP process. States that fail DV or do not submit their DV results by the established deadline must address these deficiencies through the SQSP.

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		X	X	X	
Appeals	5130 9054 9055		X	X	X	
Overpayments	227			X		X

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

B. Data Errors Identified Through Validation

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

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

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

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

C.   Data Sources for Federal Reporting and Validation

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

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

for this purpose. The state programming staff must determine the specific type of independent count (simple query, multiple queries, cross tabulation). There is, however, no way to accurately reconstruct the report count when the flat file contains transactions that are no longer present in the database (e.g., when it includes a claim or type of claim designation deleted from the main database after a corrected determination is made for the same claimant).

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

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

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

* All records in the database on last day of reporting period   ** File constructed directly from database   ***File with accumulated records used for ETA reports

D. Basic Validation Approach

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

1. To provide technical assistance with federal reporting requirements;

2. To guide states through the data validation process.

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

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

Data that passes RV and DEV are considered accurate.

E. Reconstructing Federal Report Items

Given that there are 11 UIRR benefits reports to validate, with over 700 report items, validation could be a laborious process to both design and implement. A single UI benefits transaction--for example, a payment, a nonmonetary determination, or an appeal--can be reported in numerous federal report items. As an example, a first payment for a week of total unemployment, for an interstate claim with both UI and Unemployment Compensation for Federal Employees (UCFE) wages, is reported in eight items of the ETA 5159 report as well as in one item of the ETA 9050 report.

A general principle of the validation design is to streamline the validation process as much as possible. Transactions are analyzed only once, even if they appear in multiple items. The

streamlining is accomplished by classifying the transactions into mutually exclusive groups (referred to as populations), which match to one or more items on the federal reports. Specifically, there are fifteen benefits populations, which are composed of 347 mutually exclusive groups (referred to as subpopulations). Each subpopulation represents a unique set of data elements or characteristics.

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

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

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

Table C
Population Coverage

	Population	ETA Report	Reconstruction Period	Number of Report Items	Number of Subpopulations
1	Weeks Claimed	5159	Month	9	9
2	Final Payments	5159 218	Quarter	3 12	4
3/3a	Claims and Claims Status, and Monetary Determinations	5159 218 586	Quarter	19 16 4	52
4	Payments	5159 9050 9051	Month	14 12 12	51
		586	Quarter	10	
5	Nonmonetary Determinations and Redeterminations	207 9052	Quarter	36 14	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	18 2	55
9	Appeals Decisions, Higher Authority	5130 9054	Month	10 2	23
10	Appeals Case Aging, Lower Authority	9055	Month	3	7
11	Appeals Case Aging, Higher Authority	9055	Month	3	6
12	Overpayments Established	227	Quarter	30	16
13	Overpayment Reconciliation Activities	227	Quarter	34	34
14	Age of Overpayments	227	Quarter	16	16
			TOTAL	**283**	**347**

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

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

F. Validation Techniques and Sources

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

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

Table D
Validation Techniques by Population

	Population	Review History Screens	Review Source Documentation
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[a]
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	

[a] Examination of nonmonetary determination folders is accomplished through the quality review process.

G. Handbook Overview

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

- **Module 1—Report Validation (RV)**

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

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

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

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

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

- **Module 4—Quality Sample Validation**

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

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

- **Appendix A—RV Subpopulation Specification**

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

- **Appendix B—DEV Sampling Specifications**

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

- **Appendix C—LADT**

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

- **Appendix D - CWC Technical Guidance**

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

- **Appendix E—Independent Count Validation**

Appendix D describes the procedure to follow for an independent count validation. This appendix is only applicable to states that do not construct their validation extract files directly from their database.

H. Overview of the Data Validation Methodology

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

Step 1   Generate and submit ETA report
The state generates and submits ETA 9050. The report item shown in the upper-left-hand corner represents the count of UI intrastate first payments that the state reported on the ETA 9050.

Step 2   Generate extract file

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

Step 3   Load extract file into software
The extract file generated in Step 2 is loaded into the DV software. The software rejects invalid transactions. The validator reviews the rejected records, and if necessary, fixes the errors in extract file and reloads it into the software. This process is repeated until the extract file has no errors. (See Module 1)

Step 4   Validate counts (Report Validation)
The DV software compares the reconstructed counts from the validation extract file with the reported counts. (See Module 1)

Step 5   Generate samples
The DV software selects a sample of transactions (following the sample specifications in Appendix B) and displays them on a sample validation screen. (See Module 2)

Step 6   Refer to Module 3
The validator looks at the first field of the first record displayed on the first row of the sample validation screen. The column header for that field refers to the step in Module 3 that the validator needs to validate the field, in this case, Step 10A.

Step 7   Lookup screen in state database
The validator calls up or prints out the Claims Inquiry screen from the state's benefits database. (See Modules 2 and 3.)

Step 8   Validate samples (Data Element Validation)
The validator follows the instructions in the rules for Step 10A (First Payments). The rules for Step 10A require the validator to: 1) check for a payment indicator (payment code is 07 or 08); 2) check that the week reported as the first compensable week was not a waiting week (payment code is not 02, 03, or 04); and 3) check that the week was the first week in the benefit year after the waiting week without excessive earnings (earnings for the week ending 2/10 are less than or equal to 120 percent of the WBA and thus not excessive, and there are no earlier weeks other than the waiting week present on the payments history file). The validator then places a check on the worksheet to show that the transaction was a valid first payment. (See Modules 2 and 3)

Steps 7 through 9 are repeated for each field in the first record, and the rest of the sampled records are validated in the same manner. All samples for the population should be validated following the same steps.

Step 9   Submit results to the National Office
After all samples are completed, the validator accesses the Population Scores screen and submits the validation results to the National Office.

Figure A
Overview of Data Validation Methodology
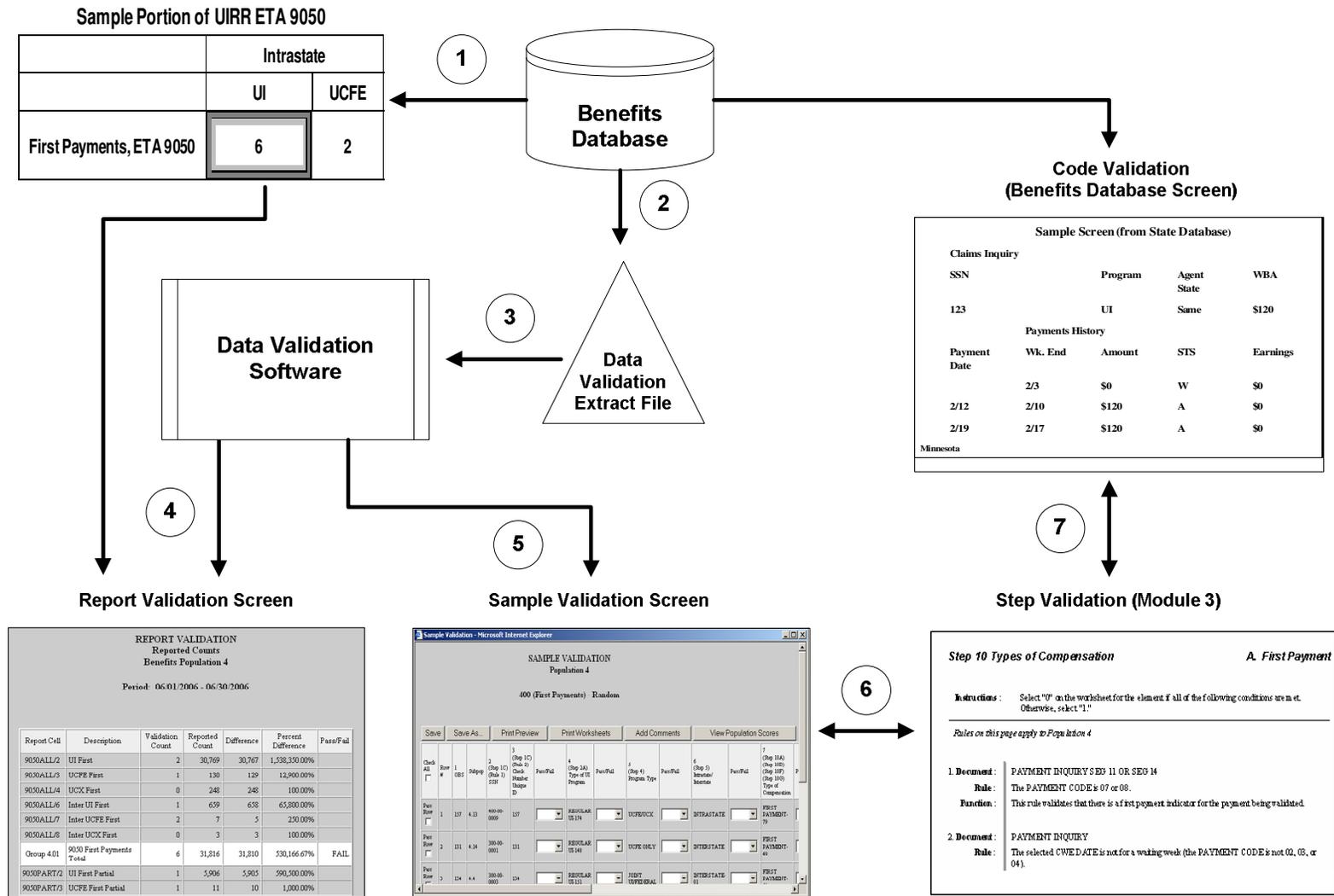
MODULE 1
Benefits

REPORT VALIDATION

A. Purpose

The report validation process is used to determine the accuracy of counts reported on UIRR benefits reports. Fifteen validation extract files are constructed according to specifications in the DV User's Guide and Appendix A. These files are used to reconstruct counts for 15 types of UI benefits transaction populations. The 15 report validation population files are listed in Table 1.1.

Table 1.1
Populations

Population	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

B. Methodology

Step 1   Produce Report Validation Extract Files

State staff produces 15 report validation extract files based on the record layout specifications in the DV validation software user's guide. 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.). Claims are divided into two separate populations: Populations 3 and 3a. See Figure 1.1 for an example of a record layout.

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

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

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

Step 2   Import Extract Files

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

Step 3   Examine Error Reports and Reload Extracts if Necessary

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

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

See Figure 1.4 for an example of an error report.

Step 4   Report Validation

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

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

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

C. Overview of Module 1

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

Table 1.2
Overview of Module 1

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

Figure 1.1
Overview of Module 1
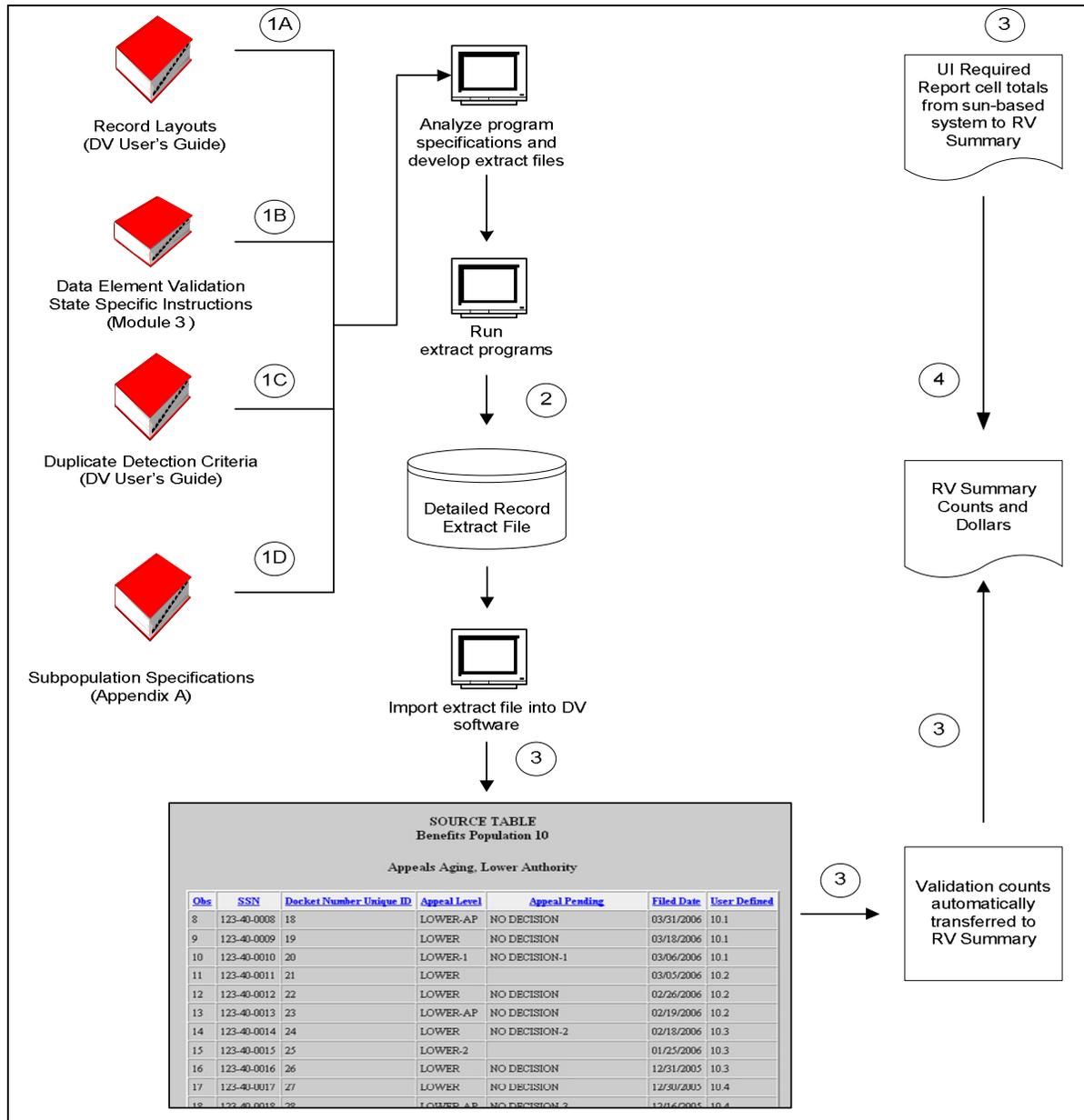
The following figures are examples of:

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

Figure 1.2
Population 10 Record Layout

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

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

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 - Rule1	Social Security Number	Number - 000000000 (Required)	CHAR (9)	NOT NULL
3	Docket Number Unique ID	Step 1E - Rule 2	The Docket Number or other unique number assigned to the appeal.	Number - 0000000000 (Required)	CHAR (30)	NOT NULL
4	Appeal Level	Step 24A - Rule 1	The appeal was a lower authority appeal.	Text - Lower (Required)	CHAR (20)	NOT NULL
5	Appeal Pending	Step 30B - Rule 1	No decision has been made on an appeal.	Text - No Decision (Optional)	CHAR (30)	
6	Filed Date	Step 32 - Rule 1	The date on which the appeal was filed.	Date - MM/DD/YYYY (Required)	DATE	NOT NULL
7	User		User defined field. Can be used for any additional data element. Not mandatory.	Text (Optional)	CHAR (100)	

Figure 1.3
Population 10 Extract File

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

Figure 1.4
Population 10 Validation File After Processed by DV Software

SOURCE TABLE
Benefits Population 10

Appeals Aging, Lower Authority

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

Figure 1.5
Population 10 RV Screen

REPORT VALIDATION
Reported Counts
Benefits Population 10

Period: 03/01/2006 - 03/31/2006

Report Cell	Description	Validation Count	Reported Count	Difference	Percent Difference	Pass/Fail
9055L	Total Aging	29	4,697	4,668	16,096.55%	
Group 10.01	9055 Lower Authority Appeals Case Aging Total	29	4,697	4,668	16,096.55%	FAIL
9055L/c9	Average Age(days)	178.1	38.5	139.6	78.38%	FAIL
9055L/c10	Median Age(days)	105.0	16.0	89.0	84.76%	
				Report Validation Status:		**FAIL**

Add Comments   View Population Scores

Home   Feedback   Help

MODULE 2
Benefits
DATA ELEMENT VALIDATION

A. Purpose

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

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

1. Random samples

    Supplemental Samples:

2. Missing subpopulations samples

3. Outliers Samples

4. Minimum samples

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

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

B. Methodology

Step 1   Software generates samples

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

Step 2   Print sample worksheets
> From the sample validation screen, the validator can print worksheets for each record which contain all data to be validated. These worksheets facilitate the validation process and provide an audit trail.

Step 3   Data Element Validation

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

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

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

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

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

Step 4   DEV Reports

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

Step 5   Send validation results to National Office

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

Step 6   Correcting Validation Errors

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

- Report item(s) in error.

- Magnitude of error found.

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

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

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

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

C. Overview of Module 2

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

Table 2.1
Overview of Module 2

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

Figure 2.1
Overview of Module 2
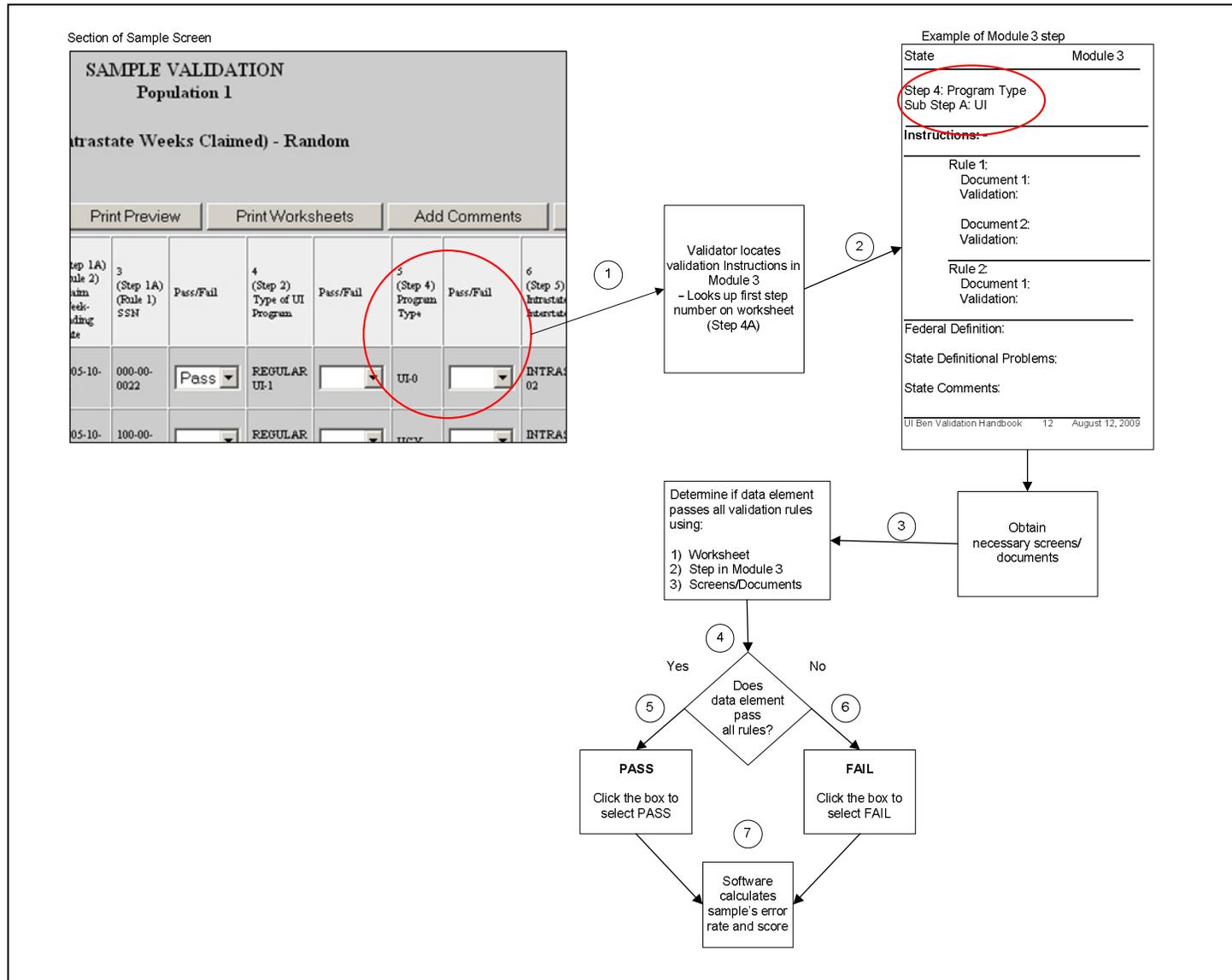
MODULE 3
Benefits

DATA ELEMENT VALIDATION
STATE SPECIFIC INSTRUCTIONS

A. Purpose

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

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

B. Methodology

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

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

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

Table 3.1
Data Element Validation Steps and Substeps

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

	Step	Substep A	Substep B	Substep C	Substep D	Substep E	Substep F	Substep G	Substep H	Substep I	Substep J
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.*							
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							

	Step	Substep A	Substep B	Substep C	Substep D	Substep E	Substep F	Substep G	Substep H	Substep I	Substep J
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	Non-controllable Overpayment Detection Activities			
36	Established Date										
37	Amount of Overpayment	UI	Federal								
38	Overpayment Reconciliation Activities	Recovered Cash	Recovered Offset	State Income Tax Offset	By Other States	Other	Waived	Written-Off	Additions	Subtractions	
39	Overpayment Reconciliation Activity Date										
40	Amount of Overpayments Reconciliation Activity	UI	Federal								
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							

* 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.

Table 3.2
Relevant Data Element Validation Steps
By Population

		Population	Relevant Data Element Validation Steps†
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

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

MODULE 4
Benefits

QUALITY SAMPLE VALIDATION
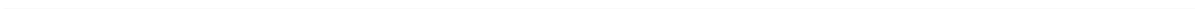
A. Purpose

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

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

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

B. Sample Size

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

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

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

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

C.   Sample Selection

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

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

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

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

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

D.   Sample Universe

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

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

reported counts, then universe passes validation, and results are valid for three years. Otherwise, the state needs to revalidate the sample the following year.

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

E.   Sample Validation

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

Step 1   Select reporting period

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

Step 2   Validate the sample size

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

Step 3   Validate that the sample selection was random

- Determine which method was used to select the sample.

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

If systematic random sampling was used, then:
- Obtain a copy of the sample universe.

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

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

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

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

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

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

If a sampling utility was used, then:

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

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

Step 4   Validate the sample universe

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

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

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

the ETA 9054L report for the quarter, then the universe passes validation. Alternatively, the sample cases may be drawn from a universe that includes all appeals, in which a flag distinguishes the reviewable nonmonetary appeals from others.. In such a case compare the size of the universe file directly with the 9054L count.

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

Example 4.1
Lower Authority Appeals Quality Sample
Benefits Population 8

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

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

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

F.   Results

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

Template 4.1
Nonmonetary Determinations Quality Sample
Benefits Population 5

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

Template 4.1
Nonmonetary Determinations Quality Sample
Benefits Population 5

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

Problems/Comments:

Example 4.2
Nonmonetary Determinations Quality Sample
Benefits Population 5

STATE: ST   **Validation Year:**   2009

Nonmonetary Determinations Quality Sample (Benefits Population 5)

Step	Validation Item	Separations	Pass/ Fail	Non-Separations	Pass/ Fail
1	Reporting period (Year:Quarter)	2009:2	PASS	2009:2	PASS
2	Sample size	50	PASS	50	PASS
	Universe:				
	(a) Number of records in universe	5,629		1,236	
	(b) ETA 9052 Counts	5,520		1,235	
	(c) Difference: |(a) - (b)|	109		1	
3	(d) % Difference: [(c) ÷ (b)] x 100	1.97%	PASS	0.08%	PASS
4	Random sampling method	Utility	PASS	Utility	PASS
		Score:	PASS	**Score:**	**PASS**

Problems/Comments:

Where:

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

APPENDIX A
Benefits

TABLE OF CONTENTS

A. Purpose

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

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

B. Subpopulation Specifications by Population

The following pages contain the subpopulation specifications tables, mapping tables of report cells to subpopulations, and notes for each of the 15 benefits populations.
In the specification tables, for each subpopulation, the corresponding report cells are indicated, and the possible values for all fields in a transaction. The fields can have a specific text value or a format requirement. The following describes the different kinds of field formats.

1. **Text.** These fields must contain text values, such as "UI", "Intrastate", "VL", etc. The allowable text values for each field are listed in the record layout. The text values must be followed by a dash and the corresponding state-specific value, for example, "UI-503", where 503 is a state code used for UI claims.

2. **Required.** These fields cannot be blank. For example, they may be mandatory dates or dollar values.

3. **Optional** (these fields are shaded in gray). The software does not check these fields. Any values can be entered in these fields or they can be left blank.

4. **Must be blank**. These are text or date fields that must be left blank. The software will reject any records with values in any field that must be left blank (such as monetary date for a claim with no monetary determination or a UCFE amount for a UI only payment).

5. **Must be blank or 0.** These are numeric fields that should have the value "0" or be left blank. The software will reject any records where these fields have a value other than "0" or blank.

The column headers on the specifications tables, indicate the field and the related step and rule in Module 3. When constructing the extract file, federal definitions for some fields can be found in

Module 3 using these references, as well as valid state codes. For most steps, Rule 1 asks the state extract file programmer to build this element by accessing an indicator in the state system, and instructs the validator to check for this indicator during data element validation. However, if a state does not maintain the indicator specified in Rule 1, then the programmer must review the other rules in that step in order to develop the required validation logic to build the element.

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

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

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

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

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

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

Population 1 Notes
1. Population 1 includes the date of the week being claimed and the date the week was claimed:
    A) Column 2(Step 1A), Week Claimed, is the benefit week ending (BWE) date of the week being claimed.
    B) Column 7 (Step 11), Date Week Claimed, is the date that the state processes the weekly certification.
2. Column 8 (Step 11, Rule 2) is an optional field for the extract file. It is included to ensure that the week claimed was valid based on monetary entitlement. Programmers may be able to populate this field with data to show that the week was countable by including data that shows that the claim was eligible (or pending), that an appeal of an ineligible monetary had been filed and not decided or that the appeal period for an ineligible monetary determination had not expired.
    Regardless of whether programmers provide data in Column 8, validators will check this information for sampled cases as part of the data element validation process.

3. Subpopulations 1.7 – 1.9: This information comes from the LADT claimant records. Instructions for including data from these records for populations 1 and 3 can be found in the LADT Information section of Appendix B, Technical Guidance.
4. Column 10 (Step 11, Rule 3), WBA: Use the Weekly Benefits Allowance (WBA) that is in effect during the week claimed for this population.

Table A.2.1
Population 2 Subpopulations
Final Payments

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

[a]There are states where the actual weeks of duration may be more than 25 weeks and less than the state's maximum weeks of duration due to state unemployment regulations.

Table A.2.2
Relationship between ETA 218B Report and Final Payments Subpopulations in Population 2

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

Table A.2.3
Relationship between ETA 5159B Report and Final Payments Subpopulations in Population 2

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

Population 2 Notes

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

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

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

2.   Columns 6 and 7 (Step 7), WBA and MBA: Use the final MBA and WBA on the claim for this population.

3.   Column 8 (Step 9A), Actual Weeks of Duration: Divide the final MBA by the final WBA and round to the next highest whole number. The number of actual weeks of duration is unrelated to the number of weeks compensated. If the claim included partial payments, there will be more weeks compensated than actual weeks of duration. For example, if the final MBA is $5,200.00 and the final WBA is $200.00, the actual weeks of duration are 26. This claimant, however, may have been compensated for 30 weeks if partial payments were made on the claim.

4. The balance on the claim may not be zero if the state retains the balance for disqualified weeks on its database. For example, the final MBA is $5,200.00; the final WBA is $200.00; but 13 weeks were disqualified. The disqualified portion of $2,600.00 should be removed from the final MBA before loading the file into the software. Therefore, the final MBA will be $2,600.00, and the actual weeks of duration will be 13.

5.   The range of duration breakouts is not validated. Only the totals are validated.

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

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

Sub pop #	Report, Line, and Column	2 (Step 1B) SSN	3 (Step 3A) (Rules 1 & 6) (Step 3C) (Rule 1) Date Claim Filed/IB-4 Sent	4 (Step 2A (Rule 1)) Type of UI Program	5 (Step 3) Type of Claim	6 (Step 4) Program Type	7 (Step 5) Intrastate/ Interstate	8 (Step 6A) (Step 6B) Date of Original Monetary[a]	9 (Step 6C) (Step 6D) Sufficient/ Insufficient/ Combined Wages	10 (Step 7) WBA	11 (Step 8A) (Step 8B) MBA	12 (Step 8A) Potential Weeks of Duration [b]	13 (Step 8B) Potential Weeks Maximum Duration
3.9	5159A-101-7 218A-100 (3-6) 218B-103 (14, 19)	Required	Within Quarter	Regular UI	New	UI	Interstate Received as Liable State*	Within Quarter	Sufficient New BY	Maximum	> 0	> 0	Y
3.10	5159A-101-7 218A-100 (3-5) 218B-101 (8-13)	Required	Within Quarter	Regular UI	New	UI	Interstate Received as Liable State*	Within Quarter	Sufficient New BY	Maximum	> 0	> 0	N
3.11	5159A-101-7 218A-100 (3-4) 218B-103 (14, 19)	Required	Within Quarter	Regular UI	New	UI	Interstate Received as Liable State*	Within Quarter	Sufficient New BY	Less than Maximum	> 0	> 0	Y
3.12	5159A-101-7 218A-100 (3-4) 218B-101 (8-13)	Required	Within Quarter	Regular UI	New	UI	Interstate Received as Liable State*	Within Quarter	Sufficient New BY	Less than Maximum	> 0	> 0	N
3.13	5159A-101-7 218A-100-3	Required	Within Quarter	Regular UI	New	UI	Interstate Received as Liable State*	Within Quarter	Sufficient No BY[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*						

Sub pop #	Report, Line, and Column	2 (Step 1B) SSN	3 (Step 3A) (Rules 1 & 6) (Step 3C) (Rule 1) Date Claim Filed/IB-4 Sent	4 (Step 2A (Rule 1)) Type of UI Program	5 (Step 3) Type of Claim	6 (Step 4) Program Type	7 (Step 5) Intrastate/ Interstate	8 (Step 6A) (Step 6B) Date of Original Monetary[a]	9 (Step 6C) (Step 6D) Sufficient/ Insufficient/ Combined Wages	10 (Step 7) WBA	11 (Step 8A) (Step 8B) MBA	12 (Step 8A) Potential Weeks of Duration [b]	13 (Step 8B) Potential Weeks Maximum Duration
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*						
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*						

Sub pop #	Report, Line, and Column	2 (Step 1B) SSN	3 (Step 3A) (Rules 1 & 6) (Step 3C) (Rule 1) Date Claim Filed/IB-4 Sent	4 (Step 2A (Rule 1)) Type of UI Program	5 (Step 3) Type of Claim	6 (Step 4) Program Type	7 (Step 5) Intrastate/ Interstate	8 (Step 6A) (Step 6B) Date of Original Monetary[a]	9 (Step 6C) (Step 6D) Sufficient/ Insufficient/ Combined Wages	10 (Step 7) WBA	11 (Step 8A) (Step 8B) MBA	12 (Step 8A) Potential Weeks of Duration [b]	13 (Step 8B) Potential Weeks Maximum Duration
					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
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							

Sub pop #	Report, Line, and Column	2 (Step 1B) SSN	3 (Step 3A) (Rules 1 & 6) (Step 3C) (Rule 1) Date Claim Filed/IB-4 Sent	4 (Step 2A (Rule 1)) Type of UI Program	5 (Step 3) Type of Claim	6 (Step 4) Program Type	7 (Step 5) Intrastate/ Interstate	8 (Step 6A) (Step 6B) Date of Original Monetary[a]	9 (Step 6C) (Step 6D) Sufficient/ Insufficient/ Combined Wages	10 (Step 7) WBA	11 (Step 8A) (Step 8B) MBA	12 (Step 8A) Potential Weeks of Duration [b]	13 (Step 8B) Potential Weeks Maximum Duration
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				
3.39	586A-102-2	Required	A Prior Quarter	Regular UI	New CWC BY for CWC Claim Filed in Prior Quarter*		CWC Interstate	Within Quarter	Sufficient New CWC BY				
NEW CLAIMS FILED IN THE PRIOR QUARTER (3.40 through 3.45)[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

Sub pop #	Report, Line, and Column	2 (Step 1B) SSN	3 (Step 3A) (Rules 1 & 6) (Step 3C) (Rule 1) Date Claim Filed/IB-4 Sent	4 (Step 2A (Rule 1)) Type of UI Program	5 (Step 3) Type of Claim	6 (Step 4) Program Type	7 (Step 5) Intrastate/ Interstate	8 (Step 6A) (Step 6B) Date of Original Monetary[a]	9 (Step 6C) (Step 6D) Sufficient/ Insufficient/ Combined Wages	10 (Step 7) WBA	11 (Step 8A) (Step 8B) MBA	12 (Step 8A) Potential Weeks of Duration [b]	13 (Step 8B) Potential Weeks Maximum Duration
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
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								

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

[a]For subpopulations 3.34 through 3.39, "original monetary" refers to the first monetary determination/redetermination using wages from more than one state.

[b]Observations reported in all populations which require the number of weeks of potential duration will be sorted by the number of weeks and subtotaled by the range of weeks.

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

[d]These are new or transitional claims filed in a prior quarter. States should use the same federal generic value of "Prior Qtr New Claim" for either type in the Population 3 extract file.

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

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

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

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

Program	Line No.	Initial Claims						
		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)	Entering Self-employment, All Programs (13)
State UI	101	1-7	3a.1	19 and 22	22	25-31	8-14 and 3a.4	
UCFE, No UI	102	15	3a.2	20 and 23	23	32	17 and 3a.5	
UCX Only	103	16	3a.3	21 and 24	24	33	18 and 3a.6	
State UI	201							46

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

Table A.3.4

Relationship between ETA 218 Reports and New UI Claims Subpopulations in Population 3

SECTION A. MONETARY DETERMINATIONS

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

SECTION B. POTENTIAL DURATION FOR DETERMINATIONS ESTABLISHING BENEFIT YEARS

LINE NO.	ITEM	LESS THAN MAXIMUM WEEKS OF DURATION
		Less than 26 Weeks (8-13)
101	Potential	3, 5, 10, 12, 27, 29, 42, 44

LINE NO.	ITEM	MAXIMUM WEEKS OF DURATION		
		26-27 Weeks (14)	Number at Maximum Duration (19)	Average Weeks Duration[a] (20)
103	Potential	2, 4, 9, 11, 26, 28, 41, 43	2, 4, 9, 11, 26, 28, 41, 43	Average Calculation from Total Column for Subpopulations 2-5, 9-12, 26-29,

				and 41-44

Population 3/3a Notes

1.   Overview

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

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

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

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

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

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

A)   When no original monetary determination was sent during the quarter being validated

in which the new claim was filed, the claim will be reported on the ETA 5159, but there will be no monetary status reported on the ETA 218 for the quarter being validated. These claims are assigned to subpopulations 3.7 (new intrastate), 3.14 (new interstate), and 3.31 (transitional).

B)   When the original monetary determination was sent during the quarter being validated but the claim was filed during the previous quarter, the monetary status will be reported on the ETA 218, but there will be no claim reported on the ETA 5159 for the quarter being validated. These monetary determinations are assigned to subpopulations 3.40 through 3.45, depending on their monetary status.

3.   Reporting Criteria

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

- The date the claim was filed or processed determines the reporting on the 5159.

- Assign a claim type category (new, transitional, or additional) and sort into the categories in Column 4.

- Assign an intrastate or interstate category based on the liable and agent state(s) and sort into the categories in Column 7.

- Assign a program type (UI, UCFE, or UCX) based on the wages present on the most recent monetary determination at the time the report program is run and sort into the categories in Column 6. If no wages were found, assign the program type based on the type of claim filed. Follow the current program type hierarchy (any UI wages are UI; any UCFE wages without UI are UCFE; and UCX wages are only UCX).

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

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

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

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

- The date of the original monetary determination determines the reporting on the ETA 218.

- Based on the most recent monetary determination/WBA at the time the report is run, assign a monetary determination status and sort into the categories in Column 9.

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

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

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

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

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

4.   Summary of Subpopulations

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

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

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

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

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

3.15 — 3.18:   These records represent new UCFE/UCX claims. The monetary information

columns 8 — 13 (Date of the Original Monetary, Sufficient/Insufficient, WBA, MBA, Potential Weeks of Duration, and Potential Weeks of Maximum Duration) are not required because these claims are not reported on the ETA 218. You may leave data in these fields in the extract file. The software will ignore them.

3.19 — 3.21: These records represent interstate filed from agent state claims. This information comes from the LADT claimant records. Instructions for building the records to be added to the extract file from the LADT detail records can be found in Appendix C, Technical Guidance.

3.22 — 3.24: These records represent interstate taken as agent state claims. These are claims against other states that are filed in your state agency.

3.25 — 3.33: These records represent transitional claims (UI/UCFE/UCX). Transitional UI claims are reported on the ETA 5159 and the ETA 218.

3.34 — 3.37: These records represent new CWC claims. Procedures for validating CWC claims and payments are found in Appendix C.

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

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

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

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

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

    1)   Wages were not found in the other state

    2)   Wages were found in the other state but not used

    3)   Wages were found but used in a subsequent quarter

3.38 — 3.39: These transactions represent new CWC benefit years where the new CWC claim

was filed in a prior quarter. This occurs when the first monetary determination or redetermination using wages from more than one state was issued during the quarter but the initial IB4 was sent during a previous quarter.

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

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

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

5.   Commuter Claim

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

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

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

Sub pop #	Report, Line, and Column	2 (Step 1C) (Rule 1) SSN	3 (Step 1C) (Rule 2) Check Number Unique ID	4 (Step 2A) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 10A) (Step 10B) (Step 10F) (Step 10G) Type of Compensation	8 (Step 10D) (Step 10E) Partial/ Total Weeks of Unemployment	9 (Step 10D) (Rule 2) (Step 10E) (Rule 2) Earnings	10 (Step 10D) (Rule 3) (Step 10E) (Rule 3) WBA	11 (Step 12A) UI Amount	12 (Step 12B) UCFE Amount	13 (Step 12C) UCX Amount	14 (Step 12D) CWC Amount	15 (Step 12E) Self-Employment Amount	16 (Step 13) Week Ending Date	17 (Step 14) Mail Date
4.6	5159B-301 (17-18) 5159B-302 (17-18) 9050-All-C7	Required	Required	Regular UI	UCFE Only or UCFE/ UCX	Interstate	First Payment	Total	≥ 0	> 0	Must be blank or 0	> 0	0 for UCFE only, > 0 for UCFE/ UCX	Must be blank or 0	Must be blank or 0	Required	Required
4.7	5159B-301 (17, 19) 5159B-302 (17, 19) 9050-All-C4	Required	Required	Regular UI	UCX Only	Intrastate	First Payment	Total	≥ 0	> 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Must be blank or 0	Required	Required
4.8	5159B-301 (17, 19) 5159B-302 (17, 19) 9050-All-C8	Required	Required	Regular UI	UCX Only	Interstate	First Payment	Total	≥ 0	> 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Must be blank or 0	Required	Required
4.9	5159B-301-14 5159B-302-14 9050-All-C2 9050-Part-C2	Required	Required	Regular UI	UI Only	Intrastate	First Payment	Partial	≥ 0	> 0	> 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Required	Required
4.10	5159B-301 (14, 16) 5159B-302 (14, 16) 9050-Part-C6	Required	Required	Regular UI	UI Only	Interstate	First Payment	Partial	≥ 0	> 0	> 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Required	Required
4.11	5159B-301 (14, 17) 5159B-302 (14, 17) 9050-All-C2 9050-Part-C2	Required	Required	Regular UI	Joint UI/Federal	Intrastate	First Payment	Partial	≥ 0	> 0	> 0	> 0 if Col. 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

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

Sub pop #	Report, Line, and Column	2 (Step 1C) (Rule 1) SSN	3 (Step 1C) (Rule 2) Check Number Unique ID	4 (Step 2A) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 10A) (Step 10B) (Step 10F) (Step 10G) Type of Compensation	8 (Step 10D) (Step 10E) Partial/ Total Weeks of Unemployment	9 (Step 10D) (Step 10E) (Rule 2) Earnings	10 (Step 10D) (Step 10E) (Rule 3) WBA	11 (Step 12A) UI Amount	12 (Step 12B) UCFE Amount	13 (Step 12C) UCX Amount	14 (Step 12D) CWC Amount	15 (Step 12E) Self-Employment Amount	16 (Step 13) Week Ending Date	17 (Step 14) Mail Date
4.20	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 = 0ª	> 0 if Col. 11 = 0ª	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
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

Subpop #	Report, Line, and Column	2 (Step 1C) (Rule 1) SSN	3 (Step 1C) (Rule 2) Check Number Unique ID	4 (Step 2A) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 10A) (Step 10B) (Step 10F) (Step 10G) Type of Compensation	8 (Step 10D) (Step 10E) Partial/ Total Weeks of Unemployment	9 (Step 10D) (Rule 2) (Step 10E) (Rule 2) Earnings	10 (Step 10D) (Rule 3) (Step 10E) (Rule 3) WBA	11 (Step 12A) UI Amount	12 (Step 12B) UCFE Amount	13 (Step 12C) UCX Amount	14 (Step 12D) CWC Amount	15 (Step 12E) Self-Employment Amount	16 (Step 13) Week Ending Date	17 (Step 14) Mail Date
4.27	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 = 0a	> 0 if Col. 11 = 0a	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 = 0a	> 0 if Col. 11 = 0a	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

Sub pop #	Report, Line, and Column	2 (Step 1C) (Rule 1) SSN	3 (Step 1C) (Rule 2) Check Number Unique ID	4 (Step 2A) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 10A) (Step 10B) (Step 10F) (Step 10G) Type of Compensa-tion	8 (Step 10D) (Step 10E) Partial/ Total Weeks of Unemploy-ment	9 (Step 10D) (Rule 2) (Step 10E) (Rule 2) Earnings	10 (Step 10D) (Rule 3) (Step 10E) (Rule 3) WBA	11 (Step 12A) UI Amount	12 (Step 12B) UCFE Amount	13 (Step 12C) UCX Amount	14 (Step 12D) CWC Amount	15 (Step 12E) Self-Employ-ment Amount	16 (Step 13) Week Ending Date	17 (Step 14) Mail Date
4.34	5159B-302 (14-16)	Required	Required	Regular UI	UI Only	Interstate	Adjustment	Total	≥ 0	> 0	> 0	Must be blank or 0	Must be blank or 0	Must be blank or 0	Must be blank or 0		Required
4.35	5159B-302 (14, 15, 17)	Required	Required	Regular UI	Joint UI/Federal	Intrastate	Adjustment	Total	≥ 0	> 0	> 0	> 0 if Col. 12 = 0a	> 0 if Col. 11 = 0a	Must be blank or 0	Must be blank or 0		Required
4.36	5159B-302 (14-17)	Required	Required	Regular UI	Joint UI/Federal	Interstate	Adjustment	Total	≥ 0	> 0	> 0	> 0 if Col. 12 = 0a	> 0 if Col. 11 = 0a	Must be blank or 0	Must be blank or 0		Required
4.37	5159B-302 (17-18)	Required	Required	Regular UI	UCFE Only or UCFE/ UCX		Adjustment				Must be blank or 0	> 0	0 for UCFE only, > 0 for UCFE/ UCX	Must be blank or 0	Must be blank or 0		Required
4.38	5159B-302 (17, 19)	Required	Required	Regular UI	UCX Only		Adjustment				Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0	Must be blank or 0		Required
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. 12 = 0a	> 0 if Col. 11 = 0a	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 = 0a	> 0 if Col. 11 = 0a	Must be blank or 0	Must be blank or 0		Required

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

Sub pop #	Report, Line, and Column	2 (Step 1C) (Rule 1) SSN	3 (Step 1C) (Rule 2) Check Number Unique ID	4 (Step 2A) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 10A) (Step 10B) (Step 10F) (Step 10G) Type of Compensa-tion	8 (Step 10D) (Step 10E) Partial/ Total Weeks of Unemploy-ment	9 (Step 10D) (Rule 2) (Step 10E) (Rule 2) Earnings	10 (Step 10D) (Rule 3) (Step 10E) (Rule 3) WBA	11 (Step 12A) UI Amount	12 (Step 12B) UCFE Amount	13 (Step 12C) UCX Amount	14 (Step 12D) CWC Amount	15 (Step 12E) Self-Employ-ment Amount	16 (Step 13) Week Ending Date	17 (Step 14) Mail Date
4.49	586A-102-5	Required	Required	Regular UI		Interstate CWC	Adjustment				Must be blank or 0	Must be blank or 0	Must be blank or 0	> 0	Must be blank or 0		Required
	CWC PRIOR QUARTER (4.48 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.

[a]Either the UCFE or UCX amount (or both) must be entered.

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

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

Table A.4.2
Relationship between ETA 9050, ETA 9051, and ETA 586B Payments Time Lapse and Subpopulations in Population 4

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

Table A.4.3
Relationship between ETA 5159B Weeks Compensated and Subpopulations in Population 4

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

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

[c]Includes all payments from UCX funds.

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

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

Population 4 Notes

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

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

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

2. **Adjusted Payments (Subpopulations 4.33 – 4.42):** These are payments for weeks that have previously been compensated. The initial payment for the week is counted as a week compensated, and only additional payments for the same week are considered adjustments. These are reported on row 302 (section B) of the ETA 5159 only. Only dollar amounts are included. These payments are not counted as weeks compensated in row 301 (section B) of the ETA 5159 nor are they included on the ETA 9050 or ETA 9051 reports.

3. **Self-employment:** These payments are reported twice. They are reported as self-employment and also as part of the regular program; therefore, they must be extracted twice.

4. **CWC prior weeks compensated (Subpopulations 4.50 – 4.51):** The software allows the state to check the integrity of the files by using date ranges. For example, the ETA 5159 is a monthly report, and the dates must be within the month being validated. CWC prior weeks compensated payment dates will not fall during the same month being validated, but the software will accept and count these in subpopulations 4.50 and 4.51.

5. **Joint Payments:** In situations where a payment for a joint claim is made that does not use funds from more than one program, that payment is not considered joint and should be reported as UI, UCFE, or UCX.

6. **Timing:** The extract file must be built with a quarter's worth of CWC data (Subpopulations 4.44 to 4.51) to validate the quarterly CWC ETA 586 report.   The other payments data (subpopulations 4.1 – 4.50), to validate counts and dollars on the monthly 5159, 9050, and 9051 reports, must be for the last month of the quarter. When loading the file, use the period Start and End dates for the quarter to allow the validation counts to match the ETA 586 report. The software will retrieve the monthly counts for the last month of the quarter. Records labeled "CWC Prior Weeks Compensated" (subpopulations 4.50 and 4.51) will have payment dates prior to the quarter, but the software will allow those to import.

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

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

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

Sub pop #	Report, Line, and Column	2 (Step 1D) (Rule 1) SSN	3 (Step 1D) (Rule 2) Issue Number (Unique ID)	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 16) Determination/ Redetermination	8 (Step 17) Type of Determination	9 (Step 18) Issue Types	10 (Step 19) First Week Affected	11 (Step 20) Detection Date	12 (Step 21) Notice Date	13 (Step 23) Allow[a] or Deny
5.17	207: A 101-2; C 301-16 9052B-C102;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Profiling		Required	Required	Allow
5.18	207: A 101-2; C 301-17 9052B-C102;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Other Nonsep		Required	Required	Allow
5.19	207A: 101-2; 102-2 207B: 201-8; 202-8 9052A-C2;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	VL		Required	Required	Deny
5.20	207A: 101-2; 102-2 207B: 201-9; 202-9 9052A-C2;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	MC		Required	Required	Deny
5.21	207A: 101-2; 102-2 207B: 201-10; 202-10 9052A-C2;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Sep/Other		Required	Required	Deny
5.22	207A: 101-2; 102-2 207C: 301-12; 302-12 9052B-C98;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	A & A		Required	Required	Deny
5.23	207A: 101-2; 102-2 207C: 301-13; 302-13 9052B-C98;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Ded. Income		Required	Required	Deny

Sub pop #	Report, Line, and Column	2 (Step 1D) (Rule 1) SSN	3 (Step 1D) (Rule 2) Issue Number (Unique ID)	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 16) Determination/ Redetermination	8 (Step 17) Type of Determination	9 (Step 18) Issue Types	10 (Step 19) First Week Affected	11 (Step 20) Detection Date	12 (Step 21) Notice Date	13 (Step 23) Allow[a] or Deny
5.24	207A: 101-2; 102-2 207C: 301-14; 302-14 9052B-C98;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Suitable Work		Required	Required	Deny
5.25	207A: 101-2; 102-2 207C: 301-15; 302-15 9052B-C98;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Reporting		Required	Required	Deny
5.26	207A: 101-2; 102-2 207C: 301-16; 302-16 9052B-C98;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Profiling		Required	Required	Deny
5.27	207A: 101-2; 102-2 207C: 301-17; 302-17 9052B-C98;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Intrastate	Determination	Single	Other Nonsep		Required	Required	Deny
5.28	207A: 101-2; 102-2 207B: 201-8; 202-8 9052A-C6;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	VL		Required	Required	Deny
5.29	207A: 101-2; 102-2 207B: 201-9; 202-9 9052A-C6;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	MC		Required	Required	Deny

Sub pop #	Report, Line, and Column	2 (Step 1D) (Rule 1) SSN	3 (Step 1D) (Rule 2) Issue Number (Unique ID)	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 16) Determination/ Redetermination	8 (Step 17) Type of Determination	9 (Step 18) Issue Types	10 (Step 19) First Week Affected	11 (Step 20) Detection Date	12 (Step 21) Notice Date	13 (Step 23) Allow[a] or Deny
5.30	207A: 101-2; 102-2 207B: 201-10; 202-10 9052A-C6;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Sep/Other		Required	Required	Deny
5.31	207A: 101-2; 102-2 207C: 301-12; 302-12 9052B-C102;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	A & A		Required	Required	Deny
5.32	207A: 101-2; 102-2 207C: 301-13; 302-13 9052B-C102;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Ded. Income		Required	Required	Deny
5.33	207A: 101-2; 102-2 207C: 301-14; 302-14 9052B-C102;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Suitable Work		Required	Required	Deny
5.34	207A: 101-2; 102-2 207C: 301-15; 302-15 9052B-C102;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Reporting		Required	Required	Deny
5.35	207A: 101-2; 102-2 207C: 301-16; 302-16 9052B-C102;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Profiling		Required	Required	Deny

Sub pop #	Report, Line, and Column	2 (Step 1D) (Rule 1) SSN	3 (Step 1D) (Rule 2) Issue Number (Unique ID)	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 16) Determination/ Redetermination	8 (Step 17) Type of Determination	9 (Step 18) Issue Types	10 (Step 19) First Week Affected	11 (Step 20) Detection Date	12 (Step 21) Notice Date	13 (Step 23) Allow[a] or Deny
5.36	207A: 101-2; 102-2 207C: 301-17; 302-17 9052B-C102;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UI	Interstate	Determination	Single	Other Nonsep		Required	Required	Deny
5.37	207: A 103-1; B 203-8 9052A-C3;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	VL		Required	Required	Allow
5.38	207: A 103-1; B 203-9 9052A-C3;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	MC		Required	Required	Allow
5.39	207: A 103-1; B 203-10 9052A-C3;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	Sep/Other		Required	Required	Allow
5.40	207A-103-1 9052B-C99;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	Nonsep		Required	Required	Allow
5.41	207: A 103-1; B 203-8 9052A-C7;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	VL		Required	Required	Allow
5.42	207: A 103-1; B 203-9 9052A-C7;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	MC		Required	Required	Allow
5.43	207: A 103-1; B 203-10 9052A-C7;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	Sep/Other		Required	Required	Allow
5.44	207A-103-1 9052B-C103;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	Nonsep		Required	Required	Allow

Sub pop #	Report, Line, and Column	2 *(Step 1D)* *(Rule 1)* SSN	3 *(Step 1D)* *(Rule 2)* Issue Number (Unique ID)	4 *(Step 2)* Type of UI Program	5 *(Step 4)* Program Type	6 *(Step 5)* Intrastate/ Interstate	7 *(Step 16)* Determination/ Redetermination	8 *(Step 17)* Type of Determination	9 *(Step 18)* Issue Types	10 *(Step 19)* First Week Affected	11 *(Step 20)* Detection Date	12 *(Step 21)* Notice Date	13 *(Step 23)* Allow[a] or Deny
5.45	207A: 103-1; 104-1 207B: 203-8; 204-8 9052A-C3;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	VL		Required	Required	Deny
5.46	207A: 103-1; 104-1 207B: 203-9; 204-9 9052A-C3;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	MC		Required	Required	Deny
5.47	207A: 103-1; 104-1 207B: 203-10; 204-10 9052A-C3;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	Sep/Other		Required	Required	Deny
5.48	207A: 103-1; 104-1 9052B-C99;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate	Determination	Single	Nonsep		Required	Required	Deny
5.49	207A: 103-1; 104-1 207B: 203-8; 204-8 9052A-C7;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	VL		Required	Required	Deny
5.50	207A: 103-1; 104-1 207B: 203-9; 204-9 9052A-C7;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	MC		Required	Required	Deny

Sub pop #	Report, Line, and Column	2 *(Step 1D)* *(Rule 1)* SSN	3 *(Step 1D)* *(Rule 2)* Issue Number (Unique ID)	4 *(Step 2)* Type of UI Program	5 *(Step 4)* Program Type	6 *(Step 5)* Intrastate/ Interstate	7 *(Step 16)* Determination/ Redetermination	8 *(Step 17)* Type of Determination	9 *(Step 18)* Issue Types	10 *(Step 19)* First Week Affected	11 *(Step 20)* Detection Date	12 *(Step 21)* Notice Date	13 *(Step 23)* Allow[a] or Deny
5.51	207A: 103-1; 104-1 207B: 203-10; 204-10 9052A-C7;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	Sep/Other		Required	Required	Deny
5.52	207A: 103-1; 104-1 9052B-C103;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Interstate	Determination	Single	Nonsep		Required	Required	Deny
5.53	207A-105-1 9052A-C4;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Intrastate	Determination	Single	Sep		Required	Required	Allow
5.54	207A-105-1 9052B-C100;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Intrastate	Determination	Single	Nonsep		Required	Required	Allow
5.55	207A-105-1 9052A-C8;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Interstate	Determination	Single	Sep		Required	Required	Allow
5.56	207A-105-1 9052B-C104;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Interstate	Determination	Single	Nonsep		Required	Required	Allow
5.57	207A: 105-1; 106-1 9052A-C4;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Intrastate	Determination	Single	Sep		Required	Required	Deny
5.58	207A: 105-1; 106-1 9052B-C100;	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Intrastate	Determination	Single	Nonsep		Required	Required	Deny

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

Sub pop #	Report, Line, and Column	2 (Step 1D) (Rule 1) SSN	3 (Step 1D) (Rule 2) Issue Number (Unique ID)	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 16) Determination/ Redetermination	8 (Step 17) Type of Determination	9 (Step 18) Issue Types	10 (Step 19) First Week Affected	11 (Step 20) Detection Date	12 (Step 21) Notice Date	13 (Step 23) Allow[a] or Deny
5.67	207A-103-1	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate or Interstate	Redetermination	Single	Required			Required	Allow
5.68	207A: 103-1; 104-1	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCFE	Intrastate or Interstate	Redetermination	Single	Required			Required	Deny
5.69	207A-105-1	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Intrastate or Interstate	Redetermination	Single	Required			Required	Allow
5.70	207A: 105-1; 106-1	Required	Required if State maintains a unique ID	Regular UI or Workshare	UCX	Intrastate or Interstate	Redetermination	Single	Required			Required	Deny

[a]Allow or affirmed

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

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

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

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

[a]Add the number of multiclaimants involved.

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

	Separation 9052A						Non-Separation 9052B						Labor Dispute	Other
	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	C194	C195
Single Claimant 9052	1-3 19-21	37-39 45-47	53 57	10-12 28-30	41-43 49-51	55 59	4-9 22-27	40 48	54 58	13-18 31-36	44 52	56 60		
Multi-claimant 9052C													61 62	63 64

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

Population 5 Notes

1. For states that require a week to be claimed in order to count non-monetary determinations, use the transaction date of the non-monetary determination when the mail date precedes the week claimed date. For example, if a determination is mailed in December and the week is claimed in January, the state enters the transaction (or countable) date in January to signify that this non-monetary determination is countable for Federal reporting purposes.

2. This population includes non-monetary determinations for Short Time Compensation (STC) Program (workshare) claims. These records should be labeled as "Workshare" for "Type of UI Program." See the software record layouts for more details.

3. Multiclaimant Nonmonetary Determinations are counted in two ways on the ETA 207 report. Section A 101(6) counts the number of multiclaimant determinations (affirmed plus denied). Section A 102(6) counts the number of claimants affected by denial determinations. Currently the software can not distinguish between the number of *claimants affected* and the number of *denial determinations* because the Population 5 record lacks a key field. If a single record for each denial determination is created, the count of *determinations* will be correct; however, the count of *claimants involved in denials* will be understated. Alternatively, if a record for each denied claimant is created, the count of claimants involved in denials will be correct; however, but the count of determinations will be overstated.

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

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

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

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

[a]States can list each claimant involved in multiclaimant appeals or just provide the number of claimants based on how the files are stored in the system.

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

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

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

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

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

[a]States can list each claimant involved in multiclaimant appeals or just provide the number of claimants based on how the files are stored in the system.

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

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

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

Population 6 and 7 Notes

1. Appeal Filed Date: If a state experiences delays in mailed appeals, it can use the received date rather than the postmark date to ensure that all appeals are counted. The received date can be used because there is no time lapse for these populations. This would help in those situations where appeals are received after the ETA 5130 report has been run for the previous month. For example, an appeal with a postmark of 3/31/02 that is received on 4/10/02, in a state where the ETA 5130 was run on 4/7/02, would be reported as having been filed in April rather than in March.

2. Subpopulations 6.2 and 7.2, Number of Claimants Involved in Multi-Claimant Appeal: States will either store an individual record for each claimant involved in the appeal or one record with the number of claimants. The software will count the number of records or add the number of claimants in Column 6 to derive the number of claimants involved in multi-claimant appeals filed.

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

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

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

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

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

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

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

Subpop	Report, Line, and Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24A) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimant)	9 (Step 25B) Number of Claimants in Multiclaimant Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision	15 (Step 31) Issue Code
8.41[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		
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

Subpop	Report, Line, and Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24A) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimant)	9 (Step 25B) Number of Claimants in Multiclaimant Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision	15 (Step 31) Issue Code
8.48	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
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

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

[a]If a UCFE or UCX multiclaimant appeal is decided, report as a separate population and manually validate the 5130 report.

Table A.8.2

Relationship between ETA AR5130 Report Cells and Subpopulations in Population 8

SECTION A.   Single Claimant and Multiclaimant 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

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

SECTION C.   State UI Appeals Decisions by Type of Appellant

		Claimant	Employer	Other
Line No.	UI Appeals Decisions	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

[a]Also includes multiclaimant UCFE and UCX decision subpopulations that are not listed.
[b]Single claimant only
[c]Multiclaimant only

Table A.8.2
Relationship between ETA 9054A Report Cells and Subpopulations in Population 8

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

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

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

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

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

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

Subpop #	Report, Line, and Column	2 (Step 1F) (Rule 1) SSN	3 (Step 1F) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24B) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimant)	9 (Step 25B) (Rules 3 and 5) Number of Claimants in Multiclaimant Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision
9.18	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	
9.21	ar5130B-210-11	Required	Required	Regular UI or Workshare	UI		Higher	M-Nonlead	1			Required	Required	
9.22	ar5130A: 100-2 ar5130B: 210-9 210-11 ar5130C: 300-19 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	S	Must be blank or 0	Other	Y or N	Required	Required	
9.23	ar5130A: 100-2 ar5130B: 210-9 210-11 ar5130C: 300-19 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	M-1 or M-Lead	≥ 1	Other	Y or N	Required	Required	

[a]If a UCFE or UCX multiclaimant appeal is decided, report as a separate population.

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

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

Line No.	UI Decisions Higher Authority (2)	UCFE-No UI Decisions Higher Authority (4)	UCX Only Decisions 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 Higher Authority (9)	Multi-Claimant Appeals 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 Higher Authority (15)	Employer Higher Authority (17)	Other 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	

[a]Also includes multiclaimant UCFE and UCX decisions subpopulations that are not listed.
[b]Single claimant only
[c]Multiclaimant only

Table A.9.2
Relationship between ETA 9054B Report Cells and Subpopulations in Population 9

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

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

Population 8 and 9 Notes

1. Column 8 (Step 23B), Multiclaimant 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 multiclaimant 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 authority) and 9.13 through 9.20 (higher authority). States which maintain multiple records should insert a text prefix of "M-Nonlead" in the multiclaimant field for the non-lead claimants. These records will be assigned to subpopulations 8.53 (lower authority) and 9.21 (higher authority).

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

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

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

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

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

Table A.10.2
Relationship between ETA 9055 Report Cells and Subpopulations in Population 10

Age of Pending Lower Authority Single Claimant Appeals Cases

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

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

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

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

Table A.11.2

Relationship between ETA 9055 Report Cells and Subpopulations in Population 11

Age of Pending Higher Authority Single Claimant Appeals Cases

Days	Total
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 5 (Step 30B), Appeal Pending, is an optional field for both Populations 10 and 11.

Table A.12.1
Population 12 Subpopulations
Overpayments Established Sorted by Causes

Sub pop #	ETA 227A Line and Column	2 (Step 1G) (Rule 1) SSN	3 (Step 1G) (Rule 2) Unique ID	4 (Step 4) Program Type	5 (Step 33) Type of Overpayment	6 (Step 34) Cause of Overpayment	7 (Step 35) Detection Type	8 (Step 36) Date Established	9 (Step 37A) UI Amount	10 (Step 37B) Federal Amount
		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
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

Sub pop #	ETA 227A Line and Column	2 (Step 1G) (Rule 1) SSN	3 (Step 1G) (Rule 2) Unique ID	4 (Step 4) Program Type	5 (Step 33) Type of Overpayment	6 (Step 34) Cause of Overpayment	7 (Step 35) Detection Type	8 (Step 36) Date Established	9 (Step 37A) UI Amount	10 (Step 37B) Federal Amount
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
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.
[a]For Subpopulations 12.1 through 12.8, the federal amount is the federal share of a joint UI-Federal claim.

Table A.12.2
Relationship between ETA 227 Report Cells and Subpopulations in Population 12

A. PAGE 1 OF FORM

A. OVERPAYMENT ESTABLISHED – CAUSES			Number of Cases		Dollar Amounts	
Cause	Line No.	No. Schemes	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 10 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 "multiclaimant schemes" or "other." The software will reject records for fraud overpayments where the cause is not "multiclaimant schemes" or "other." States that use multiple codes for types of fraud should code these as "other."

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

Sub pop #	ETA 227C Line and Column	2 (Step 1H) (Rule 1) SSN	3 (Step 1H) (Rule 2) Unique ID	4 (Step 4) Program Type	5 (Step 33) Type of Overpayment	6 (Step 38) Type of Reconciliation Activity	7 (Step 39) Date of Reconciliation Activity	8 (Step 40A) UI Reconciliation Amount	9 (Step 40B) Federal Reconciliation Amount[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
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

Sub pop #	ETA 227C Line and Column	2 (Step 1H) (Rule 1) SSN	3 (Step 1H) (Rule 2) Unique ID	4 (Step 4) Program Type	5 (Step 33) Type of Overpayment	6 (Step 38) Type of Reconciliation Activity	7 (Step 39) Date of Reconciliation Activity	8 (Step 40A) UI Reconciliation Amount	9 (Step 40B) Federal Reconciliation Amount[a]
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
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

Sub pop #	ETA 227C Line and Column	2 (Step 1H) (Rule 1) SSN	3 (Step 1H) (Rule 2) Unique ID	4 (Step 4) Program Type	5 (Step 33) Type of Overpayment	6 (Step 38) Type of Reconciliation Activity	7 (Step 39) Date of Reconciliation Activity	8 (Step 40A) UI Reconciliation Amount	9 (Step 40B) Federal Reconciliation Amount[a]
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
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
13.26	303 (14)	Required	Required if State maintains a unique ID	UCFE or UCX	Nonfraud	Cash	Required	Must be blank or 0	> 0

Sub pop #	ETA 227C Line and Column	2 (Step 1H) (Rule 1) SSN	3 (Step 1H) (Rule 2) Unique ID	4 (Step 4) Program Type	5 (Step 33) Type of Overpayment	6 (Step 38) Type of Reconciliation Activity	7 (Step 39) Date of Reconciliation Activity	8 (Step 40A) UI Reconciliation Amount	9 (Step 40B) Federal Reconciliation Amount[a]
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
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.
[a]For Subpopulations 13.9 through 13.16 and Subpopulations 13.26 through 13.34, the federal amount is the federal share of a joint UI-Federal claim.

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

C.   PAGE 2 OF FORM

C. RECOVERY/RECONCILIATION		Dollar Amount			
		Fraud		Nonfraud	
Item	Line No.	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 6) with particular overpayment types (Column 5).

2. Subpopulations 13.1 – 13.8 and 13.17 – 13.25: Enter the federal amount in Column 9 for joint claims (field number 9 on the record layout).

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

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

Table A.14.1
Population 14 Subpopulations
Age of Overpayments

Sub pop #	ETA 227C ETA 227E Report, Line, and Column	2 (Step 1G) (Rule 1) SSN	3 (Step 1G) (Rule 2) Unique ID	4 (Step 36) Date Established	5 (Step 4) Program Type	6 (Step 41) Outstanding Overpayment	7 (Step 44) Active Collection	8 (Step 33) Type of Overpayment	9 (Step 42A) UI Balance at End of Qtr	10 (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
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
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 4:

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

[b]These overpayments have been reported in line 506 (18,19) in at least 3 prior quarters.

Column 7:

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

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

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

Table A.14.1
Relationship between ETA 227 Report Cells and Subpopulations in Population 14

E. PAGE 3 OF FORM

SECTION E: AGING OF BENEFIT OVERPAYMENT ACCOUNTS			
		Dollar Amounts	
Accounts Receivable	Line No.	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		

Table A.14.2
Relationship between ETA 227 Report Cells and Subpopulations in Population 14

C. PAGE 2 OF FORM

C. RECOVERY/RECONCILIATION					
		Dollar Amount			
		Fraud		Nonfraud	
Item	Line No.	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 ninth quarter after it was established, it is not removed until the state indicates that it has dropped the Active Collection status.

   Therefore, states must label each outstanding overpayment that has been reported on eight 227 reports in Column 7 (Active Collection) as either:

   - Yes – in active collection. These overpayments will not be removed and will be included in section E (greater than 450 days).

   - No – not in active collection. These overpayments will be removed (not included in section E but included in Section C line 12) in the ninth quarter after the date established. Any overpayment greater than nine quarters old with a no in Column 7 is not included in Sections C or E.

   - Dropped – the overpayment has been reported for 9 or more quarters and was in active collection in the prior quarter but has been dropped during the report quarter from active collection status. These payments will be included in Section C line 12 as removed during the quarter.

2. Overpayment in Active Collection: Overpayments for which a payment schedule is established with the claimant or for which offsets are being collected.

3. Section C of the ETA 227 report requires the amounts removed to be identified as fraud or non-fraud. Therefore, a value of fraud or non-fraud is required in Column 8 for overpayments which had been reported for eight quarters and are not in active collection or overpayments which had been reported for nine or more quarters and the state dropped active collection during the quarter.

APPENDIX B
Benefits

S<small>AMPLE</small> S<small>PECIFICATIONS</small>

A. Purpose

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

B. TYPES OF SAMPLES

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

- **Random**

- **Missing subpopulations**

- **Outliers**

- **Minimum**

There are 17 random samples among all benefits populations. These samples pass with an error rate of 5% or less. If a random sample fails to pass validation, the population must be revalidated within a year.

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

C. Random Samples

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

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

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

validate the remaining cases when the error rate is not conclusively below or above 5%. The method the software uses to determine pass/fail scores follows. Specifications for each type of random sample are found in Table B.1 on page B.7.

Procedures for reviewing 30/100 samples:

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

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

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

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

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

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

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

Procedures for reviewing 60/200 samples:

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

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

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

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

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

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

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

D. Missing Subpopulations Samples

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

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

E. Outliers Samples

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

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

F. Minimum Samples

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

G. SAMPLE SELECTION SPECIFICATIONS

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

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

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

Column 1:   Sample number

Column 2:   Type of Transaction (population)

Column 3:   Sample ID corresponds to the sample numbers in the software

Column 4:   Sample Name of sampled subset

Column 5:   Type and size of sample (shows whether the sampled transactions come from a random, minimum, missing subpopulation, or outlier sample and the required sample size)

Column 6:   Universe (subpopulations) subset from which each sample is derived

Column 7:   Group Number for the corresponding RV Pass/Fail group

Column 8:   Group Name for the corresponding RV Pass/Fail group

Table B.1
Sample Specifications

Benefits Population		Data Element Validation Samples				Pass/Fail Groups	
(1) Pop	(2) Type of Transaction	(3) Sample ID	(4) Sample Name	(5) Type and Size	(6) Universe (Subpops)	(7) Group Number	(8) Group Name
		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
1	Weeks Claimed	120	Interstate Weeks Claimed from Agent	Minimum--6	1.7-1.9	1.03	5159 Interstate Weeks Claimed Filed from Agent State
		200	Final Payments	Random 30/100	2.1-2.4	2.01	5159 Final Payments
2	Final Payments					2.02	218 Final Payments
		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
3	Claims	330	Entering Self Employment Program	Minimum--2	3.46	3.1	218 BY Established by Weeks
3a	Additional Claims	350	Intrastate Additional Claims	Random 60/200	3A.1-3A.3	3A.1	5159 Additional Intrastate
		360	Interstate Liable Additional Claims	Minimum--6	3A.4-3A.6		
4	Payments	400	First Payments	Random 60/200	4.1-4.16	4.01	9050 First Payments

Benefits Population		Data Element Validation Samples				Pass/Fail Groups	
(1) Pop	(2) Type of Transaction	(3) Sample ID	(4) Sample Name	(5) Type and Size	(6) Universe (Subpops)	(7) Group Number	(8) Group Name
		405	First Payments	Missing Subpops ≤ 15	4.1-4.16	4.02	9050 Partial First Payments
		410	First Payments	Outliers--10	4.1, 4.3, 4.5, 4.7, 4.9, 4.11, 4.13, 4.15	4.03	9051 Continued Weeks Compensated
		415	Continued Weeks Total Payments	Outliers--10	4.17-4.24	4.05	586 Weeks Compensated
		420	Continued Weeks Partial Payments	Random 30/100	4.25-4.32	4.04	9051 Continued Partial Weeks Compensated
		425	Adjusted Payments	Outliers--10	4.33-4.42	4.06	586 Prior Weeks Compensated
		430	Self Employment Payments	Minimum--2	4.43	4.07	586 Benefits Paid ($)
		435	CWC First Payments	Random 30/100	4.44-4.45	4.09	586 CWC First Payments
		440	CWC Continued Payments	Minimum--4	4.46-4.47	4.08	586 Prior Benefits Paid ($)
		445	CWC Adjusted Payments	Minimum--4	4.48-4.49	4.1	5159 UI Weeks Compensated
		450	CWC Prior Weeks Compensated	Minimum--4	4.50-4.51	4.11	5159 UCFE/UCX Weeks Compensated
						4.12	5159 UI Amount Paid ($)
						4.13	5159 UCFE/UCX Amount Paid ($)
5	Nonmonetary Determinations	500	Single Claimant Nonmon Determinations	Random 30/100	5.1-5.60	5.09	9052 Single Claimant Non Monetary Determinations
		501	Single Claimant Nonmon Determinations	Missing Subpops ≤ 59	5.1-5.60	5.01	207 Total Single Claimant Dets and UCFE/UCX Redets
		505	Single Claimant Nonmon Determinations	Outliers--10	5.1-5.60	5.03	207 Single Claimant Denials
		510	UI Multi-Claimant Determinations	Minimum--8	5.61-5.64	5.04 and 5.10	207 and 9052 Multi-Claimant Non Monetary Determinations
		520	Single Claimant Redeterminations	Random 30/100	5.65-5.70	5.02	207 UI Single Claimant Redeterminations
						5.05	207 Separation Determinations
						5.06	207 Separation Denials
						5.07	207 UI Non Separation Determinations
						5.08	207 UI Non Separation Denials
6	Appeals Filed, Lower Authority	600	Appeals Filed, Lower Authority	Minimum--4	6.1-6.2	6.01	5130 Lower Authority Appeals

Benefits Population		Data Element Validation Samples				Pass/Fail Groups	
(1) Pop	(2) Type of Transaction	(3) Sample ID	(4) Sample Name	(5) Type and Size	(6) Universe (Subpops)	(7) Group Number	(8) Group Name
7	Appeals Filed, Higher Authority	700	Appeals Filed, Higher Authority	Minimum--4	7.1-7.2	7.01	5130 Higher Authority Appeals
8	Appeals Decisions, Lower Authority	800	Lower Authority Appeals Decisions	Random 60/200	8.1-8.52; 8.54-8.55	8.01	5130 All Decisions
						8.06	9054 All Appeals
		810	Lower Authority Appeals Decisions	Missing Subpops ≤ 21	8.33-8.52; 8.54-8.55	8.02	5130 UI Disposed of During Month
		820	Lower Authority Appeals Decisions	Outliers--10	8.1-8.52; 8.54-8.55	8.03	5130 UI Decisions (by Type)
						8.04	5130 UI in Favor of Appellant
						8.05	5130 UI Decisions (by Issue)
9	Appeals Decisions, Higher Authority	900	Higher Authority Appeals Decisions	Random 30/100	9.1-9.20; 9.22-9.23	9.01	5130 All Decisions
						9.05	9054B All Appeals
		910	Multi Claimant Appeals, Higher Authority	Missing Subpops ≤ 9	9.13 – 9.20; 9.22-9.23	9.02	5130 UI Disposed of During Month
		920	Higher Authority Appeals Decisions	Outliers--10	9.13 – 9.20; 9.22-9.23	9.03	5130 UI Decisions (by Type)
						9.04	5130 UI in Favor of Appellant
10	Appeals Case Aging, Lower Authority	1000	Appeals Case Aging, Lower Authority	Outliers--10	10.1-10.7	10.01	9055 Lower Authority Appeals Case Aging
11	Appeals Case Aging, Higher Authority	1100	Appeals Case Aging, Higher Authority	Outliers--10	11.1-11.6	11.01	9055 Higher Authority Appeals Case Aging
12	Overpayments Established	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
						12.05	227 Penalty ($)
13	Overpayment Reconciliation	1300	Overpayment Reconciliation Activities	Random 30/100	13.1-13.34	13.01	227 Recovered ($)

Benefits Population		Data Element Validation Samples				Pass/Fail Groups	
(1) Pop	(2) Type of Transaction	(3) Sample ID	(4) Sample Name	(5) Type and Size	(6) Universe (Subpops)	(7) Group Number	(8) Group Name
	Activities	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 ($)
						13.05	227 Subtraction ($)
		1400	Aged Overpayments	Random 30/100	14.1-14.12	14.01	227 UI Total Accounts Receivable ($)
		1410	Aged Overpayments	Outliers--10	14.1-14.12	14.03	227 Receivables Removed at End of Period ($)
14	Aged Overpayments	1420	Aged Overpayments	Missing Subpops ≤ 11	14.1-14.12	14.02	227 UCFE/UCX Total Accounts Receivable ($)

H. Sample Sizes below the Guidelines

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

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

Total Number of Transactions Sampled (Range)	Error Rate is Less than 5% (Pass) if Number of Errors is No More Than:	Error Rate is at Least 5% (Fail)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
141 to 155	12	13
156 to 171	13	14
172 to 187	14	15
188 to 200	15	16

APPENDIX C

Benefits

<small>INTERSTATE FILED FROM AGENT RECORDS
POPULATIONS 1 AND 3</small>

A. Purpose

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

B. Methodology

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

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

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

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

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

Num	Field Name	Module 3 Reference	LADT Field Number	Field Description	Data Type/Format
1	OBS	N/A		State assigned sequential unique identifier for each record in the extract file.	Number – 00000000 (Required)
2	Claim Week-Ending Date	Step 1A – Rule 2	52	The week-ending date of the week claimed.	Date - MM/DD/YYYY (Required)
3	SSN	Step 1A – Rule 1	1	Social Security Number	Number – 000000000 (Required)
4	Type of UI Program	Regular UI: Step 2A – Rule 1	Field 28 = 0	Regular UI claim.	Text – Regular UI (Required)
5	Program Type	UI: Step 4A – Rule 1 UCFE: Step 4B – Rule 1 UCX: Step 4C – Rule 1	27	UI, UCFE, or UCX	Text – UI; UCFE; UCX (Required)
6	Intrastate/ Interstate	Intrastate: Step 5A – Rules 1 and 2 ***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 if: benefits have not been exhausted or monetary eligibility is pending, i.e., eligibility has not been finally determined. .	Text - Eligible; Pending (Optional)

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

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

ETA 5159 reference: Row 101, column 4; Row 102, column 4; Row 103, column 4
Subpopulations: 3.19 – 3.21
Field 62 (Record Type) in LADT = 1 or 3 (TIC or Reopen/Transfer)

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

Num	Field Name	Module 3 Reference	LADT Field Number	Field Description	Data Type/Format
6	Program Type	*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 when the original determination was made on whether the claimant has sufficient base-period wages and/or employment to establish a benefit year.	Date – MM/DD/YYYY (Required except must be blank for "No Monetary" claim and CWC claims with insufficient wages and optional for UCFE, UCX, interstate filed from agent state, interstate taken as agent state, and entering self-employment program claims)
9	Sufficient/ Insufficient/ Combined Wages	Sufficient Wages – New Benefit Year: Step 6C – Rules 1 and 2 *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)

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

APPENDIX D
Benefits

COMBINED WAGE CLAIMS AND PAYMENTS
POPULATIONS 3 AND 4

A. Purpose

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

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

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

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

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

B. Methodology

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

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

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

Table D.1
Scenario 1

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

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

2. An IB-4 request to combine wages is sent. This results in a new CWC that is reported on the ETA 586 in cell 101-1.

3. A monetary redetermination is issued that combines wages from two states and sets a WBA of $150. This results in a new CWC benefit year that is reported on the ETA586 report of the first quarter of 2006, in cell 101-2.

4. A payment of $150 is made. This is considered a CWC first payment and is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5. The payment is also reported on the 9050 and on the 5159, and $ on the 5159.

5. A second payment of $150 is made. This is considered a CWC continued payment and is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5. The payment is also reported on the 9051 and on the 5159, and $ on the 5159.

6. A third payment of $150 is made. This is considered a CWC continued payment and is reported on the 586 in cell 101-4. The dollar amount is reported in cell 101-5. The payment is also reported on the 9051 and on the 5159, and $ on the 5159.

7. A fourth payment of $150 is made. This is considered a CWC continued payment and is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5. The payment is also reported on the 9051 and on the 5159, and $ on the 5159.

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

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

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

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

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

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

Table D.4
Scenario 1
How Claims and Benefit Years Would be Reported in ETA 586

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

Table D.5
Scenario 1
How Payments Would be Reported in ETA 586

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

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

Table D.6
Scenario 2

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

Step	Date	Action	Subpopulation	Reporting of Transaction as CWC Transaction	Reporting of Transaction as Regular Transaction
			payment 4.46, CWC cont'd payment	586-101-5 ($)	5159B-302 (14,15) 9051-All-C2

1. A new UI intrastate claim is filed and determined sufficient on 01/02/2006. The monetary results in a Benefit Year for maximum duration but less than maximum WBA.

2. A payment of $100 is made on 01/13/2006. This payment is a *regular first payment* on the 9050 report and included in the 5159, but it will be reported as a CWC *continued payment* on the ETA 586 in cell 101-4, with the dollar amount reported in cell 101-5.

3. A second payment of $100 is made on 01/20/2006. This payment will be reported as a CWC continued payment on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.

4. An IB-4 request to combine wages is sent. This results in a new CWC claim that is reported on the ETA 586 in cell 101-1.

5. A monetary redetermination is issued that combines wages and increases the WBA to $150. This establishes the CWC benefit year that is reported on the ETA 586 in cell 101-2. This redetermination is assumed to result in a Benefit Year for maximum duration and a higher, but still less than maximum, WBA.

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

7. A CWC adjustment payment of $100 is made. This is not reported as a week compensated since the weeks have already been counted in steps 2 and 3. However, the dollar amount is reported on the ETA 586 in cell 101-5.

8. A payment of $150 is made. This is considered a CWC continued payment that is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.

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

10. A payment of $150 is made. This is considered a CWC continued payment that is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.

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

Table D.7
Scenario 2
How the Steps Would be Reflected in Population 3 Validation Records

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

Table D.8
Scenario 2
How the Steps Would be Reflected in Population 4 Validation Records

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

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

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

Table D.9
Scenario 2
How Claims and Benefit Years Would be Reported in ETA 586

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

Table D.10
Scenario 2
How Payments Would be Reported in ETA 586

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

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

Table D.11
Scenario 3

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

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

1. A new UI intrastate claim is filed on 01/02/2006.

2. A payment of $100 is made on 01/13/2006. After a CWC BY is established, this payment will be reported as a CWC continued payment on the ETA586 in cell 101-4. The dollar amount is reported in cell 101-5.

3. A second payment of $100 is made on 01/20/02. After a CWC BY is established, this payment will be reported as a CWC continued payment on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.

4. An IB-4 request to combine wages is sent. This results in a new CWC claim and is reported on the ETA 586 in cell 101-1.

5. A monetary redetermination is issued that combines wages and increases the WBA to $150. This establishes the CWC benefit year that is reported on the ETA 586 in cell 101-2.

6. A CWC adjustment payment of $100 is made. This is not reported as a week compensated since the weeks have already been counted in steps 2 and 3. However, the dollar amount is reported on the ETA 586 in cell 101-5 and on the 5159 in cells 302 14,15. For determining CWC 1st payment time lapse, however, Handbook 401 considers this the CWC First Payment.

7. A payment of $150 is made. It is reported as a week compensated reported on the ETA 586 in cell 101-4, and the dollar amount is reported in cell 101-5. Data validation considers this the CWC First Payment.

8. A payment of $150 is made. This is considered a CWC Continued Payment that is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.

9. A payment of $150 is made. This is considered a CWC Continued Payment that is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.

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

Table D.12
Scenario 3
How the Steps Would be Reflected in Population 3 Validation Records

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

Table D.13
Scenario 3
How the Steps Would be Reflected in Population 4 Validation Records

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

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

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

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

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

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

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

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

Table D.16
Scenario 4

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

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

1. A new UI intrastate claim is filed and determined sufficient on 12/02/2005. The claim and monetary establishing a $2,600 MBA and WWBA of $100 are reported in the 200504 quarter.

2. A payment of $100 is made on 12/09/2005. This is the regular payment for the first compensable week and reported on the 9050 report, as well as a week compensated/$ compensated on the 5159 report for December 2005. After a CWC BY is established, this payment will be reported as a CWC prior week compensated on the ETA 586 in cell 101-6, and the dollar amount will be reported in cell 101-7.

3. A second payment of $100 is made on 12/16/2005. This is a regular continued week paid (9051, 5159 reports for December 2005). After a CWC BY is established, this payment will be reported as a CWC prior week compensated on the ETA 586 in cell 101-6. The dollar amount is reported in cell 101-7.

4. A third payment of $100 is made on 01/06/2006. This is a regular continued week paid (9051, 5159 reports). After a CWC BY is established, this payment will be reported as a CWC continued payment on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.

5. A fourth payment of $100 is made on 01/13/2006. This is a regular continued week paid (9051, 5159 reports). After a CWC BY is established, this payment will be reported as a CWC continued payment on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.

6. An IB-4 request to combine wages is sent. This results in a new CWC claim and is reported on the 586 in cell 101-1.

7. A monetary redetermination is issued that combines wages and increases the WBA to $150. This establishes the CWC benefit year that is reported on the ETA 586 in cell 101-2. Being a redetermination, it is not reported on the 218 report for the 200601 quarter.

8. A CWC adjustment payment of $200 is made. This is not reported as a week compensated since the weeks have already been counted in steps 2, 3, 4 and 5. However, the dollar amount is reported on the ETA 586 in cell 101-5 because it is a CWC payment made in the 200601 quarter.

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

10. A payment of $150 is made. This is considered a CWC continued payment that is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.

11. A payment of $150 is made. This is considered a CWC continued payment that is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.

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

Table D.17
Scenario 4
How the Steps Would be Reflected in Population 3 Validation Records
Includes only Records for 200601 Report Quarter

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

Table D.18
Scenario 4
How the Steps Would be Reflected in Population 4 Validation Records
Includes only Records for 200601 Report Quarter

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

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

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

Table D.19
Scenario 4
How Claims and Benefit Years Would be Reported in ETA 586

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

Table D.20
Scenario 4
How Payments Would be Reported in ETA 586

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

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

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

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

Table D.21
Scenario 5

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

1. A new UI intrastate claim is filed and determined insufficient on 12/28/2005.

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

3. A monetary redetermination is issued that combines wages and results in a WBA of $150. This establishes the CWC benefit year that is reported on the ETA 586 in cell 101-2. Because the monetary redetermination is in a different quarter than the IB-4, the new CWC benefit year is reported in subpopulation 3.38.

4. A payment of $150 is made. This is considered both a regular first payment (Reported on 9050 and as a week/$ compensated on the 5159) and a CWC first payment that is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.

5. A second payment of $150 is made. This is considered a regular continued payment (9051, 5159) and CWC continued payment that is reported on the ETA 586 in cell 101-4. The dollar amount is reported in cell 101-5.

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

Table D.22
Scenario 5
How the Steps Would be Reflected in Population 3 for 200504 Quarter

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

Table D.23
Scenario 5
How the Steps Would be Reflected in Population 3 for 200601 Quarter

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

Table D.24
Scenario 5
How the Steps Would be Reflected in Population 4 for 200601 Quarter

Step	Type UI Program	Program Type	Intra/ Inter Claim	Type of Comp.	Part/ Total	Earn.	WBA	UI Amount	UCFE Amount	UCX Amount	CWC Amount	SE Amount	Week End Date	Mail Date	Subp.
4	Regular UI-1	UI Only-U	Intrastate	First Payment	Total	0	150	150	0	0	0	0	1/13/2006	1/20/2006	4.1
4	Regular UI-1	UI Only-U	Intrastate CWC-1	First Payment	Total	0	150	0	0	0	150	0	1/13/2006	1/20/2006	4.44
5	Regular UI-1	UI Only-U	Intrastate	Continued Payment	Total	0	150	150	0	0	0	0	1/20/2006	1/27/2006	4.17

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

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

Table D.25
Scenario 5
How Claims and Benefit Years Would be Reported in ETA 586
For the 200504 Quarter

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

Table D.26
Scenario 5
How Claims and Benefit Years Would be Reported in ETA 586
For the 200601 Quarter

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

Table D.27
Scenario 5
How Payments Would be Reported in ETA 586

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

Scenario 6   Determining the CWC Paying State.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

APPENDIX E
Benefits

INDEPENDENT COUNT VALIDATION

A. Purpose

This appendix is applicable only to states that generate federal reports from a flat file, and use the same file to construct their DV extract file, instead of constructing the extract file directly from their UI database. A flat file is a file that contains all state benefits transactions accumulated daily, weekly, monthly or taken as a snapshot. The flat files may contain systematic errors that could result in under or over counting transactions. If the same flat file is being used for both reporting and validation it is necessary for states to conduct an independent count validation to check for any undercounts or overcounts.

Independent count validation consists of deriving counts of transactions directly from the state UI database and comparing them to reported and validation counts derived from the flat files. The counts pass the independent count validation when the difference between the independent count and the reported count is no more than ±2%, or ±1% for GPRA measures (Populations 4 and 12). If the difference is below the error tolerance (±2 or ±1%), the state can assume that the flat file is reliable and that it can be used to construct the DV extract file. The state should then continue to follow the data validation process as described in this handbook. If the difference between the independent count and the reported count exceeds the error tolerance, then the DV results constructed from the flat file would be considered invalid and the state must inspect and correct their reporting process before conducting data validation.

The independent count process complements the data validation methodology; however, it is not conducted using the DV software. Therefore, the states should keep a record of their independent count findings since the software doesn't provide a means for submitting the results. If states choose to submit DV results to the National Office using the DV software, they should include a note on the Report Validation comments screen indicating that they have completed an independent count and the results. If states fail independent count validation, they should include the information in the SQSP review.

B. Methodology

The general procedure for performing independent count validation involves comparing three counts of transactions for the population that is being validated. Counts taken directly from the state UI database (independent counts) are compared to counts generated from the flat files (reported counts) and to counts generated from the extract files that were constructed from the flat files (validation counts). If the difference between the independent count and either the reported or the validation count is greater than ±2%, or ±1% for GPRA measures, then the state fails the validation.

Step 1   Produce Independent Counts

Independent counts of transactions can be derived by querying the state benefits database according to the instructions specified in Table E.1 for each population.

In general, the independent count is done in the opposite way of a validation extract file. The validation extract file is constructed by selecting *only the issue codes* and criteria indicated on the extract file specifications. However, the independent count file should be constructed by including *all issue codes* relevant to a population and then eliminating observations that do not conform to the independent count file specification in Table E.1.

Table E.1
Independent Count Criteria by Population[‡]

Population Description	Independent Counts Criteria (Derived by querying the state UI database)	Validation and Reported Counts Criteria (Derived from the RV Screen in DV Software)
1 - Weeks Claimed	Count all dates when weeks were claimed within the month. Subtract duplicates, non-reportable claims, and special programs.	Add ETA 5159, lines 201-203, columns 10 and 12
2 - Final Payments	Recreate the logic used to count final payments. Subtract special programs.	Add 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).	Add 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).	Add ETA 5159, 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 duplicates, special programs, and issue codes that do not represent reportable nonmonetary determinations.	Add ETA 207, lines 101, 103, 105, column 1
6 - Appeals Filed, Lower Authority	Count all appeal-filed dates within the month.	ETA 5130, line 200, column 8
7 - Appeals Filed, Higher Authority	Count all appeal-filed dates within the month.	ETA 5130, line 200, column 9
8 - Appeals Decisions, Lower Authority	Count all decision-mailed dates within the month being validated.	Add ETA 5130, line 100, columns 1,3,5
9 - Appeals Decisions, Higher Authority	Count all decision-mailed dates within the month being validated.	Add ETA 5130, line 100, columns 2,4,6
10 - Pending Appeals, Lower Authority	Independent count unnecessary.	
11 - Pending Appeals, Higher Authority	Independent count unnecessary.	
12 - Overpayments Established	Count all overpayment-s-established dates within the quarter.	Add ETA 227, lines 101-109, columns 2 and 3
13 - Overpayment Reconciliation Transactions	Count all reconciliation activities within the quarter.	Add ETA 227, lines 303-311, columns 11-14
14 - Age of Overpayments	Independent count unnecessary.	

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

Step 2   Derive Reported and Validation Counts

Use the extract file specifications included in the User's Guide to construct the extract file using the records in the flat file as the source. Load the extract file into the DV software following the instructions in the User's Guide (the state may need to test, fix and reload the extract file multiple times until it is correctly constructed). After the extract file is loaded, go to the Report Validation screen. Use the counts listed in the Reported Counts column and the criteria in Table E.1 to derive reported counts. Use the counts in the Validation Counts column and the criteria in Table E.1 to derive validation counts.

Step 3   Compare Counts

Use Template E.1 to compare all counts. Enter the independent, reported and validation counts in the template. Calculate the percent differences as follows:

$$\% \text{ Difference of Reported Count} = \left| \frac{\text{Reported Count - Independent Count}}{\text{Independent Count}} \right| \times 100$$

$$\% \text{ Difference of Validation Count} = \left| \frac{\text{Validation Count - Independent Count}}{\text{Independent Count}} \right| \times 100$$

If either of these percentages is greater than ±2%, or ±1 for GPRA measures, the population fails the independent count validation. If the percentages are less than ±2%, or ±1 for GPRA measures, the state can resume data validation by following the instructions in this handbook and the user's guide.

Template E.1
Independent Count Validation

STATE:							VY:
Population	**Independent Count**	**Reported Count**	**Validation Count**	**% Difference of Reported Count**	**% Difference of Validation Count**	**Pass/ Fail**	**Comments**
1							
2							
3							
4							
5							
6							
7							
8							
9							
12							
13							

C. Example

Let's assume that we are going to conduct an independent count validation for Population 1 using the month of November, 2008.

Step 1
Query the UI database for all weeks claimed from 11/1/2008 to 11/30/2008. Subtract all duplicate and non-reportable claims, and claims filed for EB and EUC programs. This is the independent count.

For example, if you have 400 weeks claimed - 4 of which were duplicate claims, 30 that had excessive earnings and 2 that were special programs - then the independent count would be calculated by the following: 400 – 4 – 30 – 2 = 364. The independent count is 364.

Step 2
Construct the extract file from the flat file, using the Population 1 extract file specification described in the User's Guide, and test it to make sure it is correctly constructed. Load the file into the DV software and go to the Report Validation Screen.

Add the reported counts for ETA 5159, lines 201-203, columns 10 and 12. In the screen below, this would be 203 + 50 + 1 + 118 + 2 + 3 = 377. The reported count is 377.

Add the validation counts for ETA 5159, lines 201-203, columns 10 and 12. In the RV screen below, this would be 200 + 50 + 0 + 115 + 2 + 4 = 371. The validation count is 371.

Example E.1
Report Validation Screen

REPORT VALIDATION
Reported Counts
Benefits Population 1
Period: 11/01/2008 - 11/30/2008

Report Cell	Description	Validation Count	Reported Count	Difference	Percent Difference	Pass/ Fail
5159A-201-10	UI, Intrastate	200	203	3	1.5%	
5159A-202-10	UCFE, Intrastate	50	50	0	0%	
5159A-203-10	UCX, Intrastate	0	1	1	100%	
Group 1.01	5159 Intrastate Weeks Claimed Total	250	254	4	1.6%	PASS
5159A-201-12	UI, Received as liable	115	118	3	2.6%	
5159A-202-12	UCFE, Received as liable	2	2	0	0%	
5159A-203-12	UCX, Received as liable	4	3	1	25%	
Group 1.02	5159 Interstate Liable Weeks Claimed Total	121	123	2	1.7%	PASS
5159A-201-11	UI, Filed from Agent	25	25	0	0%	
5159A-202-11	UCFE, Filed from Agent	3	3	0	0%	
5159A-203-11	UCX, Filed from Agent	2	2	0	0%	
Group 1.03	Interstate Weeks Claimed from Agent State	151	153	2	1.3%	PASS
				Report Validation Status:		**PASS**

Step 3
Using the numbers derived from Steps 1 and 2, we can calculate the percent differences as follows:

$$\% \text{ Difference of Reported Count} = \left| \frac{\text{Reported Count - Independent Count}}{\text{Independent Count}} \right| \times 100 = \left| \frac{377 - 364}{364} \right| \times 100 = 3.6\%$$

$$\% \text{ Difference of Validation Count} = \left| \frac{\text{Validation Count - Independent Count}}{\text{Independent Count}} \right| \times 100 = \left| \frac{371 - 364}{364} \right| \times 100 = 1.9\%$$

Enter the independent, reported and validation counts in Template E.1.

Example E.2
Independent Count Validation
Population 1

STATE: ST   **VY:** 2009

Population	Independent Count	Reported Count	Validation Count	% Difference of Reported Count	% Difference of Validation Count	Pass/ Fail	Comments
1	364	377	371	3.6%	1.9%	Fail	

In this example, the percent difference between the reported and independent count is greater than the error tolerance of 2%. Therefore, the independent count validation fails, indicating that using the flat files for validation is not reliable.