Unemployment Insurance

Data Validation Handbook

*Benefits*

Office of Unemployment Insurance

Department of Labor

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# A. Purpose

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

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

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

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

**Table A**

General Types of Data to be Validated

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Data Type** | **ETA Report(s)** | **Economic Statistics** | **Funding Allocation/ Workload** | **Performance** | **Claimant**  **Eligibility** | **Monitor Trust Fund Activity** |
| Weeks Claimed | 5159 | X | X |  |  |  |
| Final Payments | 5159  218 | X |  |  |  |  |
| Claims and Claims Status[[1]](#footnote-2) | 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 |

# B. Data Errors Identified Through Validation

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

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

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

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

# C. Data Sources for Federal Reporting and Validation

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

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

Table B outlines variations in the validation methodology, based on typical state approaches to reporting and data validation. To determine the specific validation methodology to be implemented, the validator must 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

|  |  | **Benefits UIRR Reports** | | | **Data Validation** | | |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Scenario** | **Transactions Overwritten on Database** | **Program**  **Type** | **Source** | **Timing** | **Program**  **Type** | **Source** | **Timing** | **Source Documentation Review Required** | **Comments** |

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1 | No | Count | Database | Snapshot[[2]](#footnote-3) | Extract File[[3]](#footnote-4) | Database | Snapshot | No | Best scenario because comparing snapshots eliminates timing discrepancies |
| 2 | No | Count | Flat file[[4]](#footnote-5) | Daily | Extract File | Database | Snapshot | No | Database is only reconstruction source. There could be changes in transaction characteristics (but will find all transactions). |
| 3 | No | Extract File | Database | Snapshot | Extract File | Database | Snapshot | No | Reporting and validation are the same program. |
| 4 | No | Extract File | Flat file | Daily | Extract File | Flat file | Daily | Yes | Since transactions are not overwritten, states must be able to do Scenario 2 instead. |
| 5 | Yes | Extract File | Flat file | Daily | Extract File | Flat file | Daily | NA | No alternative validation source. Cannot reconstruct from the database. Not thorough validation. |
| 6 | Yes | Count | Flat file | Daily | Must create a daily extract | NA | NA | NA | Cannot reconstruct from database. Must change reporting process to Scenario 5. |

# 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 must use in their Federal reporting. This handbook therefore has two uses:

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

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

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

Data that passes RV and DEV are considered accurate.

# E. Reconstructing Federal Report Items

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

A general principle of the validation design is to streamline the validation process as much as possible. Transactions are analyzed only once, even if they appear in multiple items. The streamlining is accomplished by classifying the transactions into mutually exclusive groups (referred to as populations), which match to one or more items on the Federal reports. Specifically, there are 16 benefits populations, which are composed of 410 mutually exclusive groups (referred to as subpopulations). Each subpopulation represents a unique set of data elements or characteristics.

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

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

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

##### **Table C**

Population Coverage

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Population** | **ETA Report** | **Reconstruction Period** | **Number of Report Items** | **Number of Subpopulations** |
| **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 by Cause | 227 | Quarter | 63 | 27 |
| **13**  Overpayment Reconciliation Activities | 227 | Quarter | 57 | 57 |
| **14** Age of Overpayments | 227 | Quarter | 24 | 24 |
| **15** Overpayments Established by Method | 227 | Quarter | 36 | 21 |
| **TOTAL** | | | **383** | **410** |

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 | Xa |
| **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 by Cause | X | X |
| **13** Overpayment Reconciliation Transactions | X | X |
| **14** Age of Overpayments | X |  |
| **15** Overpayments Established by Method | X | 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 must be used when constructing the DV extract files. It indicates the data values that are valid for each type of transaction or subpopulation. It also maps each subpopulation to the corresponding Federal report line item(s) and vice versa.

* **Appendix B—DEV Sampling Specifications**

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

* **Appendix C—LADT**

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

* **Appendix D - CWC Technical Guidance**

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

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

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

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.

1. **Generate extract file**

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

1. **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)

1. **Validate counts (Report Validation)**

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

1. **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)

1. **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.

1. **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.)

1. **Validate samples (Data Element Validation)**

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

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

1. **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.

1. **Save validation documents**

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

### Figure A

Overview of Data Validation Methodology



Module 1

*Benefits*

Report Validation

**A. Purpose**

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

**Table 1.1**

Populations

|  |  |
| --- | --- |
| **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 by Cause |
| **13** | Overpayment Reconciliation Transactions |
| **14** | Aged Overpayments |
| **15** | Overpayments Established by Method |

**B. Methodology**

**Step 1 Produce Report Validation Extract Files**

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

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

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

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

**Step 2 Import Extract Files**

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

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

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

After reviewing any error reports that are generated, state staff must determine if the extracts are correct or whether they need to be regenerated or reformatted and reloaded into the DV software. This process must 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 (+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.

1. **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 (ETA Operations Guide 411):** 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 (ETA Operations Guide 411):** 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 must include a routine to ensure that invalid duplicates are excluded from the file, as specified in the duplicate detection criteria in the ETA Operations Guide 411. |
| **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)

Population 10 RV Summary (Figure 1.5). **Note: This screen was captured in the legacy system (SUN System). Updated figures from the modernized, cloud-based environment that is required for states to use, the Unemployment Insurance Reporting System (UIRS), is reflected throughout the document where possible.**

**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 1 Source Table screen - Validation File After Processed by DV Software

Table

AI-generated content may be incorrect.

**Figure 1.5**

Population 1 RV Screen

A screenshot of a computer

AI-generated content may be incorrect.

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:*

1. Missing subpopulations samples
2. Outliers Samples
3. 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 must select “PASS” when there is no value in a field because a data element is either not applicable or optional. At the bottom of the sample screen a row displays the total number of errors and the sample’s score. Refer to the ETA Operations Guide 411 for other functionality available from the Sample Validation screen.

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

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

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

**Step 4 DEV Reports**

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

**Step 5 Send validation results to National Office**

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

**Step 6 Correcting Validation Errors**

If validation identifies reporting errors, the state must 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 must 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 must simply note “corrected during validation.” (Validation of the affected transactions must occur immediately after these corrections have been made.)

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

***Revalidation.*** Populations that failed any validation item must be revalidated the following year. A revalidation must 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 must 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 must 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 between April 10 and June 10 states need to certify that they have reviewed their Module 3 and that it’s up to date.

**B. Methodology**

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

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

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

**Table 3.1**

Data Element Validation Steps and Substeps

|  | **Step** | **Substep A** | **Substep B** | **Substep C** | **Substep D** | **Substep E** | **Substep F** | **Substep G** | **Substep H** | **Substep I** | **Substep J** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **1** | **Matching Sampled Transaction to Benefits History Screen(s)** | Week Claimed | Claims | Payments | Nonmonetary Determinations and Redeterminations | Appeals - Lower | Appeals - Higher | Overpayments | Overpayment Reconciliation Activities |  |  |
| **2** | **Type of UI Program** | Regular Unemployment Insurance | Workshare | Extended  Benefits | Disaster Unemployment Assistance (DUA) |  |  |  |  |  |  |
| **3 /**  **3a** | **Type of Claim** | New Claim | Additional Claims/  Reopened Claims | Transitional Claims | Entering Self- Employment Program |  |  |  |  |  |  |
| **4** | **Program Type** | UI | UCFE or UCFE/UCX | UCX | Joint  UI/Federal | Self- Employment Program | Extended Benefits |  |  |  |  |
| 5 | Intrastate or Interstate Claim | Intrastate | Interstate Received as Liable State | Interstate Taken as Agent State | Interstate Filed from Agent State | Intrastate CWC | Interstate CWC |  |  |  |  |
| **6** | **Claim Status** | Monetary Determination Within Quarter | No Monetary Determination | Sufficient Wages to Qualify for Benefits | Insufficient Wages to Qualify for Benefits |  |  |  |  |  |  |
| **7** | **Maximum Weekly Benefit** |  |  |  |  |  |  |  |  |  |  |
| **8** | **Potential Weeks of Duration** | Potential Weeks of Duration | Maximum Potential Weeks of Duration |  |  |  |  |  |  |  |  |
| **9** | **Actual Weeks of Duration** | Actual Weeks of Duration | Maximum Actual Weeks | Less than Maximum Actual Weeks |  |  |  |  |  |  |  |
| **10** | **Types of Compensation** | First Payment | Continued (Weeks) Payment | Final Payment | Partial/Part-Total Payment | Total Payment | Adjusted Payments | Prior Weeks Compensated |  |  |  |
| **11** | **Weeks Claimed** |  |  |  |  |  |  |  |  |  |  |
| **12** | **Amount Compensated** | UI Amount Compensated | UCFE Amount Compensated | UCX Amount Compensated | CWC Amount Compensated | Self- Employment Amount Compensated |  |  |  |  |  |
| **13** | **Week Ending Date of Week Paid** |  |  |  |  |  |  |  |  |  |  |
| **14** | **Payment Mail or**  **Deposit Date** |  |  |  |  |  |  |  |  |  |  |
| **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 |  |  |  |  |  |  |  |
| **34** | **Cause of Overpayments** | Multi-Claimant Schemes | Reversal (JAVA) | State Agency Error | Employer Error | Claimant Error | Other Cause | Penalty | Single Claimant | Agency Employee Benefits Fraud |  |
| **35** | **Overpayment Detection Activities** | Wage/Benefit Crossmatch | IB Crossmatch | State Directory of New Hires | Multi-Claimant Scheme Systems | Special Project | Other Controllable Overpayment Detection Activities | Non- controllable Overpayment Detection Activities | National Directory of New Hires |  |  |
| **36** | **Established Date** |  |  |  |  |  |  |  |  |  |  |
| **37** | **Amount of Overpayment** | UI | Federal |  |  |  |  |  |  |  |  |
| **38** | **Overpayment Reconciliation Activities** | Recovered Cash | Recovered Offset | State  Income Tax  Offset | By Other States | Other | Waived | Written-Off | Additions | Subtractions |  |
| **39** | **Overpayment Reconciliation**  **Activity Date** |  |  |  |  |  |  |  |  |  |  |
| **40** | **Amount of Overpayments Reconciliation Activity** | UI | Federal | Extended Benefits |  |  |  |  |  |  |  |
| **41** | **Outstanding Overpayment** | ***NOT APPLICABLE. THIS STEP IS NO LONGER VALIDATED.*** | | | | | | | | | |
| **42** | **Balance of Overpayment** | UI | Federal | Extended Benefits |  |  |  |  |  |  |  |
| **43****[[5]](#footnote-6)** | ***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 |  |  |  |  |  |  |  |
| **45** | **Accumulated Overpayment Amount** | UI | Federal | Extended Benefits |  |  |  |  |  |  |  |
| **46** | **Overpayment Established by Investigation** |  |  |  |  |  |  |  |  |  |  |

**Table 3.2**

Relevant Data Element Validation Steps

By Population

| **Population** | **Relevant Module 3 Data Element Validation Steps[[6]](#footnote-7)** |
| --- | --- |
| **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 by Cause | 1, 4, 33, 34, 36, 37, 45 |
| **13** - Overpayment Reconciliation | 1, 4, 33, 38, 39, 40 |
| **14** - Overpayment Case Aging | 1, 4, 33, 36, 42, 44 |
| **15** - Overpayments Established by Method | 1, 33, 35, 36, 37, 46 |

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 must 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. Consult ETA Handbook No. 382 for details on the UI BTQ program itself, including more information on specific sampling and review procedures.

# 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.

1. **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 ÷ 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 x 10 = 2.354 ≈ 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.

# 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 must pass report validation to make sure that the reported counts are accurate. If the number of observations in the universe is within 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 must pass report validation to make sure that the reported counts are accurate. If the number of observations in the universe is within 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 must 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 must 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 (2017) version of Handbook 401 no longer contains Appendix A. Readers needing guidance with the PICKNUMB program must contact the National Office of OUI.

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.



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.

Starting point = Round (random number x 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 must 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 ± 2% of the sum of all the total counts reported on the ETA 9052 for the quarter being validated. This must 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 ± 2% of the sum of all the total counts reported on the ETA 9054L for the quarter being validated. This must 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 must 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 must 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

Universe Total 2266

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.

**Step 5. Complete interactive worksheet in UIRS and transmit to US DOL**.

Once scores are validated and the worksheet (see example below) is appropriately filled out, add any necessary comments to include in your submission to the National Office. Please note that the software worksheet is very similar to the template used in previous years. Click the “Save and Transmit” button. You will be asked to confirm that you *do wish to submit results;* please click OK to send the validation results to the National Office.

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

In July 2024, the Department transitioned to a cloud-based system named the Unemployment Insurance Reporting System (UIRS). In accordance with UI Program Letter (UIPL) 15-24, all DV activities must be completed in the UIRS system, including validation and submission of Module 4. All Module 4 worksheets maintained the existing line items and functionality. The Data Validation User Guide for UIRS is posted to the UI Data Validation Information Center webpage and the UIRS Resource Page as part of the UI Community of Practice within the WorkforceGPS website.

A screenshot of a computer

AI-generated content may be incorrect.must

Appendix A

*Benefits*

Subpopulation Specifications

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

1. **Subpopulation Specifications by Population**

The following pages contain the subpopulation specifications tables, mapping tables of report cells to subpopulations, and notes for each of the 16 benefits populations.

In the specification tables, for each subpopulation, the corresponding report cells are indicated, and the possible values for all fields in a transaction. The fields can have a specific text value or a format requirement. The following describes the different kinds of field formats.

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

**Table A.1.1**

Population 1 Subpopulations

Weeks Claimed - Week was claimed during reporting/validation period

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

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

**Table A.1.2**

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

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

**Population 1 Notes**

1. Population 1 includes the date of the week being claimed and the date the week was claimed:

A) Column 2(Step 1A), Week Claimed, is the benefit week ending (BWE) date of the week being claimed.

B) Column 7 (Step 11), Date Week Claimed, is the date that the state processes the weekly certification.

2. Column 8 (Step 11, Rule 2) is an optional field for the extract file. It is included to ensure that the week claimed was valid based on monetary entitlement. Programmers may be able to populate this field with data to show that the week was countable by including data that shows that the claim was eligible (or pending), that an appeal of an ineligible monetary had been filed and not decided or that the appeal period for an ineligible monetary determination had not expired.

Regardless of whether programmers provide data in Column 8, validators will check this information for sampled cases as part of the data element validation process.

3. Subpopulations 1.7 – 1.9: This information comes from the LADT claimant records. Instructions for including data from these records for populations 1 and 3 can be found in the LADT Information section of Appendix B, Technical Guidance.

4. Column 10 (Step 11, Rule 3), WBA: Use the Weekly Benefits Allowance (WBA) that is in effect during the week claimed for this population.

**Table A.2.1**

Population 2 Subpopulations

Final Payments

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Subpop #** | **Report, Line,**  **and Column** | **2**  ***(Step 1C)***  ***(Rule 1)***  **SSN** | **3**  ***(Step 1C)***  ***(Rule 2)*** Check NumberUnique 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 | Requireda | 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 must 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 must 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 Monetarya** | | **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 BYc | | | Must be blank | Must be blank or 0 | | Must be blank or 0 | | | Must be blank |
| 3.7 | 5159A-101-2 | Required | Within Quarter | Regular UI | New | UI | Intrastate | Must be blank | | Must be blank | | | Must be blank | Must be blank or 0 | | Must be blank or 0 | | | Must be blank |
| 3.8 | 5159A-101-7  218A-100-2 | Required | Within Quarter | Regular UI | New | UI | Interstate  Received as Liable State\* | Within Quarter | | Insufficient | | | Must be blank | Must be blank or 0 | | Must be blank or 0 | | | Must be blank |
| 3.9 | 5159A-101-7  218A-100 (3-6)  218B-103 (14, 19) | Required | Within Quarter | Regular UI | New | UI | Interstate  Received as Liable State\* | Within Quarter | | Sufficient  New BY | | | Maximum | > 0 | | > 0 | | | Y |
| 3.10 | 5159A-101-7  218A-100 (3-5)  218B-101 (8-13) | Required | Within Quarter | Regular UI | New | UI | Interstate  Received as Liable State\* | Within Quarter | | Sufficient  New BY | | | Maximum | > 0 | | > 0 | | | N |
| 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 BYc | | | Must be blank | Must be blank or 0 | | Must be blankor 0 | | | Must be blank |
| 3.14 | 5159A-101-7 | Required | Within Quarter | Regular UI | New | UI | Interstate  Received as Liable State\* | Must be blank | | Must be blank | | | Must be blank | Must be blank or 0 | | Must be blank  or 0 | | | Must be blank |
| NEW UCFE/UCX CLAIMS (3.15 through 3.18)  1) Minimum sample: First two cases from each subpopulation | | | | | | | | | | | | | | | | | | | |
| 3.15 | 5159A-102-2 | Required | Within Quarter | Regular UI | New | UCFE | Intrastate |  |  | | |  | |  | |  | |  | |
| 3.16 | 5159A-103-2 | Required | Within Quarter | Regular UI | New | UCX | Intrastate |  |  | | |  | |  | |  | |  | |
| 3.17 | 5159A-102-7 | Required | Within Quarter | Regular UI | New | UCFE | Interstate  Received as Liable State\* |  |  | | |  | |  | |  | |  | |
| 3.18 | 5159A-103-7 | Required | Within Quarter | Regular UI | New | UCX | Interstate  Received as Liable State\* |  |  | | |  | |  | |  | |  | |
| INTERSTATE FILED FROM AGENT STATE CLAIMS (3.19 through 3.21)  1) Minimum sample: First two cases from each subpopulation | | | | | | | | | | | | | | | | | | | |
| 3.19 | 5159A-101-4 | Required | Within Quarter | Regular UI | New  Transitional  Additional  Reopened | UI | Interstate  Filed from  Agent State\* |  |  | |  | | |  | |  | |  | |
| 3.20 | 5159A-102-4 | Required | Within Quarter | Regular UI | New  Transitional  Additional  Reopened | UCFE | Interstate  Filed from  Agent State\* |  |  | |  | | |  | |  | |  | |
| 3.21 | 5159A-103-4 | Required | Within Quarter | Regular UI | New  Transitional  Additional  Reopened | UCX | Interstate  Filed from  Agent State\* |  |  | |  | | |  | |  | |  | |
| INTERSTATE CLAIMS TAKEN AS AGENT STATE (3.22 through 3.24)  1) Minimum sample: First two cases from each subpopulation | | | | | | | | | | | | | | | | | | | |
| 3.22 | 5159A-101 (4, 5) | Required | Within Quarter | Regular UI | New  Transitional  Additional  Reopened | UI | Interstate  Taken as  Agent State\* |  |  | |  | | |  | |  | |  | |
| 3.23 | 5159A-102 (4, 5) | Required | Within Quarter | Regular UI | New  Transitional  Additional  Reopened | UCFE | Interstate  Taken as  Agent State\* |  |  | |  | | |  | |  | |  | |
| 3.24 | 5159A-103 (4, 5) | Required | Within Quarter | Regular UI | New  Transitional  Additional  Reopened | UCX | Interstate  Taken as  Agent State\* |  |  | |  | | |  | |  | |  | |
| INTRASTATE AND INTERSTATE TRANSITIONAL CLAIMS (3.25 through 3.33)  1) Random sample: 30 or 100 | | | | | | | | | | | | | | | | | | | |
| 3.25 | 5159A-101-6  218A-100-2 | Required | Within Quarter | Regular UI | Transitional | UI |  | Within Quarter | | Insufficient | | | Must be  blank | | Must be blank or 0 | | Must be blank  or 0 | | Must be blank |
| 3.26 | 5159A-101-6  218A-100 (3-6)  218B-103 (14, 19) | Required | Within Quarter | Regular UI | Transitional | UI |  | Within Quarter | | Sufficient  New BY | | | Maximum | | > 0 | | > 0 | | Y |
| 3.27 | 5159A-101-6  218A-100 (3-5)  218B-101 (8-13) | Required | Within Quarter | Regular UI | Transitional | UI |  | Within Quarter | | Sufficient  New BY | | | Maximum | | > 0 | | > 0 | | N |
| 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 BYc | | | Must be  blank | | Must be blank or 0 | | Must be blank  or 0 | | Must be blank |
| 3.31 | 5159A-101-6 | Required | Within Quarter | Regular UI | Transitional | UI |  | Must be blank | | Must be blank | | | Must be  blank | | Must be blank or 0 | | Must be blank  or 0 | | Must be blank |
| 3.32 | 5159A-102-6 | Required | Within Quarter | Regular UI | Transitional | UCFE |  |  | |  | | |  | |  | |  | |  |
| 3.33 | 5159A-103-6 | Required | Within Quarter | Regular UI | Transitional | UCX |  |  | |  | | |  | |  | |  | |  |
| CWC CLAIMS (3.34 through 3.39)  1) Random sample: 30 or 100; 2) Supplemental sample--missing strata | | | | | | | | | | | | | | | | | | | |
| 3.34 | 586A-101-1 | Required | Within Quarter | Regular UI | CWC New |  | CWC Intrastate | Must be blank | | Insufficient  (Wages Not Combined)\* | | | Must be blank | Must be blank or 0 | | Must be blank  or 0 | | Must be blank | |
| 3.35 | 586A-101 (1-2) | Required | Within Quarter | Regular UI | CWC New |  | CWC Intrastate | Within Quarter | | Sufficient  New CWC BY | | |  |  | |  | |  | |
| 3.36 | 586A-102-1 | Required | Within Quarter | Regular UI | CWC New |  | CWC Interstate | Must be blank | | Insufficient  (Wages Not Combined)\* | | | Must be blank | Must be blank or 0 | | Must be blank  or 0 | | Must be blank | |
| 3.37 | 586A-102 (1-2) | Required | Within Quarter | Regular UI | CWC New |  | CWC Interstate | Within Quarter | | Sufficient  New CWC BY | | |  |  | |  | |  | |
| 3.38 | 586A-101-2 | Required | A Prior Quarter | Regular UI | New CWC  BY for CWC  Claim Filed in  Prior Quarter\* |  | CWC Intrastate | Within Quarter | | Sufficient  New CWC BY | | |  |  | |  | |  | |
| 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 | |
| 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 BYc | | | 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 A of ETA Operations Guide 411) 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 must use the same Federal generic value of “Prior Qtr New Claim” for either type in the Population 3 extract file.

**Table A.3.2**

Population 3A Subpopulations

Claims – Claimant Eligibility

Claim Filed Date or Original Monetary Determination Date

For Claim Falls within Reporting/Validation Period

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

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

**Table A.3.3**

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

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| ETA 5159A | Line No. | Initial Claims | | | | | | |
| Program | 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 |

|  |  |  |  |
| --- | --- | --- | --- |
| ETA 586A State UI | Line No. | New Claims  (1) | Persons  Establishing  Benefit Years  (2) |
| Intrastate | 101 | 34 and 35 | 35 and 38 |
| Interstate  Recvd.  as Paying State | 102 | 36 and 37 | 37 and 39 |

**Table A.3.4**

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

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

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| SECTION B. POTENTIAL DURATION FOR DETERMINATIONS ESTABLISHING BENEFIT YEARS | | | | | | |
| LINE  NO. | ITEM | LESS THAN MAXIMUM WEEKS OF DURATION | |  |  |  |
| Less than 26 Weeks  (8-13) | |  |  |  |
| 101 | Potential | 3, 5, 10, 12, 27, 29, 42, 44 | |  |  |  |
|  |  | MAXIMUM WEEKS OF DURATION | Number at Maximum Duration  (19) | | Average Weeks Durationa  (20) | |
|  |  | 26-27 Weeks  (14) |
| 103 | Potential | 2, 4, 9, 11, 26, 28, 41, 43 | 2, 4, 9, 11, 26, 28, 41, 43 | | Average Calculation from Total Column  for Subpopulations 2-5, 9-12, 26-29, and 41-44 | |

Population 3/3a Notes

**1. Overview**

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

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

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

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

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

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

**2. Monetary Determinations**

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

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

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

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

**3. Reporting Criteria**

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

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

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

**Table A.3.5**

Mapping of Claim Types to ETA 5159 Report Items

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **New Intrastate Excluding Transitional** | **Additional Intrastate** | **Interstate Filed from Agent State** | **Interstate Taken as Agent State** | **Transitional** | **Interstate Received as Liable State** |
| **Type of Claim** | **(2)** | **(3)** | **(4)** | **(5)** | **(6)** | **(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 |
| 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 = 0a | > 0 if  Col. 11 = 0a | 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 = 0a | > 0 if  Col. 11 = 0a | Must be blank or 0 | Must be blank or 0 | Required | Required |
| 4.13 | 5159B-301 (17-18)  5159B-302 (17-18)  9050-Part-C3 | Required | Required | Regular UI | UCFE Only or UCFE/  UCX | Intrastate | First Payment | Partial | ≥ 0 | > 0 | Must be blank or 0 | > 0 | 0 for UCFE only, > 0 for UCFE/ UCX | Must be blank or 0 | Must be blank or 0 | Required | Required |
| 4.14 | 5159B-301 (17-18)  5159B-302 (17-18)  9050-Part-C7 | Required | Required | Regular UI | UCFE Only or UCFE/  UCX | Interstate | First Payment | Partial | ≥ 0 | > 0 | Must be blank or 0 | > 0 | 0 for UCFE only, > 0 for UCFE/ UCX | Must be blank or 0 | Must be blank or 0 | Required | Required |
| 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 |
| 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 |
| 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 |
| 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 |
| 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 |
| 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 A of ETA Operations Guide 411) but are shown here in their entirety for informational purposes. They are referred to as “Continued Payment” in the record layout.

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

Nonmonetary Determinations and Redeterminations

Notice Date Falls within Reporting /Validation Period

| **Sub**  **pop**  **#** | **Report, Line,**  **and Column** | **2**  ***(Step 1D)***  ***(Rule 1)***  **SSN** | **3**  ***(Step 1D)***  ***(Rule 2)***  **Issue Number (Unique ID)** | **4**  ***(Step 2)***  **Type of**  **UI Program** | **5**  ***(Step 4)***  **Program**  **Type** | **6**  ***(Step 5)***  **Intrastate/**  **Interstate** | **7**  ***(Step 16)***  **Determination/ Redetermination** | **8**  ***(Step 17)***  **Type of Determination** | **9**  ***(Step 18)***  **Issue Types** | **10**  ***(Step 19)***  **First Week Affected** | **11**  ***(Step 20)***  **Detection Date** | **12**  ***(Step 21)***  **Notice Date** | **13**  ***(Step 23)***  **Allowa**  **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 |
| 5.8 | 207: A 101-2;  C 301-16  9052B-C98; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Intrastate | Determination | Single | Profiling |  | Required | Required | Allow |
| 5.9 | 207: A 101-2;  C 301-17  9052B-C98; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Intrastate | Determination | Single | Other Nonsep |  | Required | Required | Allow |
| 5.10 | 207: A 101-2;  B 201-8  9052A-C6; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Interstate | Determination | Single | VL |  | Required | Required | Allow |
| 5.11 | 207: A 101-2;  B 201-9  9052A-C6; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Interstate | Determination | Single | MC |  | Required | Required | Allow |
| 5.12 | 207: A 101-2;  B 201-10  9052A-C6; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Interstate | Determination | Single | Sep/Other |  | Required | Required | Allow |
| 5.13 | 207: A 101-2;  C 301-12  9052B-C102; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Interstate | Determination | Single | A & A |  | Required | Required | Allow |
| 5.14 | 207: A 101-2;  C 301-13  9052B-C102; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Interstate | Determination | Single | Ded. Income |  | Required | Required | Allow |
| 5.15 | 207: A 101-2;  C 301-14  9052B-C102; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Interstate | Determination | Single | Suitable Work |  | Required | Required | Allow |
| 5.16 | 207: A 101-2;  C 301-15  9052B-C102; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Interstate | Determination | Single | Reporting |  | Required | Required | Allow |
| 5.17 | 207: A 101-2;  C 301-16  9052B-C102; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Interstate | Determination | Single | Profiling |  | Required | Required | Allow |
| 5.18 | 207: A 101-2;  C 301-17  9052B-C102; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Interstate | Determination | Single | Other Nonsep |  | Required | Required | Allow |
| 5.19 | 207A: 101-2;  102-2  207B: 201-8;  202-8  9052A-C2; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Intrastate | Determination | Single | VL |  | Required | Required | Deny |
| 5.20 | 207A: 101-2;  102-2  207B: 201-9;  202-9  9052A-C2; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Intrastate | Determination | Single | MC |  | Required | Required | Deny |
| 5.21 | 207A: 101-2;  102-2  207B: 201-10; 202-10  9052A-C2; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Intrastate | Determination | Single | Sep/Other |  | Required | Required | Deny |
| 5.22 | 207A: 101-2;  102-2  207C: 301-12; 302-12  9052B-C98; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Intrastate | Determination | Single | A & A |  | Required | Required | Deny |
| 5.23 | 207A: 101-2;  102-2  207C: 301-13; 302-13  9052B-C98; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Intrastate | Determination | Single | Ded. Income |  | Required | Required | Deny |
| 5.24 | 207A: 101-2;  102-2  207C: 301-14; 302-14  9052B-C98; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Intrastate | Determination | Single | Suitable Work |  | Required | Required | Deny |
| 5.25 | 207A: 101-2;  102-2  207C: 301-15; 302-15  9052B-C98; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Intrastate | Determination | Single | Reporting |  | Required | Required | Deny |
| 5.26 | 207A: 101-2;  102-2  207C: 301-16; 302-16  9052B-C98; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Intrastate | Determination | Single | Profiling |  | Required | Required | Deny |
| 5.27 | 207A: 101-2;  102-2  207C: 301-17; 302-17  9052B-C98; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Intrastate | Determination | Single | Other Nonsep |  | Required | Required | Deny |
| 5.28 | 207A: 101-2;  102-2  207B: 201-8;  202-8  9052A-C6; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Interstate | Determination | Single | VL |  | Required | Required | Deny |
| 5.29 | 207A: 101-2;  102-2  207B: 201-9;  202-9  9052A-C6; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Interstate | Determination | Single | MC |  | Required | Required | Deny |
| 5.30 | 207A: 101-2;  102-2  207B: 201-10; 202-10  9052A-C6; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Interstate | Determination | Single | Sep/Other |  | Required | Required | Deny |
| 5.31 | 207A: 101-2;  102-2  207C: 301-12; 302-12  9052B-C102; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Interstate | Determination | Single | A & A |  | Required | Required | Deny |
| 5.32 | 207A: 101-2;  102-2  207C: 301-13; 302-13  9052B-C102; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Interstate | Determination | Single | Ded. Income |  | Required | Required | Deny |
| 5.33 | 207A: 101-2;  102-2  207C: 301-14; 302-14  9052B-C102; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Interstate | Determination | Single | Suitable Work |  | Required | Required | Deny |
| 5.34 | 207A: 101-2;  102-2  207C: 301-15; 302-15  9052B-C102; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Interstate | Determination | Single | Reporting |  | Required | Required | Deny |
| 5.35 | 207A: 101-2;  102-2  207C: 301-16; 302-16  9052B-C102; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Interstate | Determination | Single | Profiling |  | Required | Required | Deny |
| 5.36 | 207A: 101-2;  102-2  207C: 301-17; 302-17  9052B-C102; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UI | Interstate | Determination | Single | Other Nonsep |  | Required | Required | Deny |
| 5.37 | 207: A 103-1;  B 203-8  9052A-C3; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCFE | Intrastate | Determination | Single | VL |  | Required | Required | Allow |
| 5.38 | 207: A 103-1;  B 203-9  9052A-C3; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCFE | Intrastate | Determination | Single | MC |  | Required | Required | Allow |
| 5.39 | 207: A 103-1;  B 203-10  9052A-C3; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCFE | Intrastate | Determination | Single | Sep/Other |  | Required | Required | Allow |
| 5.40 | 207A-103-1  9052B-C99; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCFE | Intrastate | Determination | Single | Nonsep |  | Required | Required | Allow |
| 5.41 | 207: A 103-1;  B 203-8  9052A-C7; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCFE | Interstate | Determination | Single | VL |  | Required | Required | Allow |
| 5.42 | 207: A 103-1;  B 203-9  9052A-C7; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCFE | Interstate | Determination | Single | MC |  | Required | Required | Allow |
| 5.43 | 207: A 103-1;  B 203-10  9052A-C7; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCFE | Interstate | Determination | Single | Sep/Other |  | Required | Required | Allow |
| 5.44 | 207A-103-1  9052B-C103; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCFE | Interstate | Determination | Single | Nonsep |  | Required | Required | Allow |
| 5.45 | 207A: 103-1;  104-1  207B: 203-8;  204-8  9052A-C3; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCFE | Intrastate | Determination | Single | VL |  | Required | Required | Deny |
| 5.46 | 207A: 103-1;  104-1  207B: 203-9;  204-9  9052A-C3; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCFE | Intrastate | Determination | Single | MC |  | Required | Required | Deny |
| 5.47 | 207A: 103-1;  104-1  207B: 203-10; 204-10  9052A-C3; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCFE | Intrastate | Determination | Single | Sep/Other |  | Required | Required | Deny |
| 5.48 | 207A: 103-1;  104-1  9052B-C99; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCFE | Intrastate | Determination | Single | Nonsep |  | Required | Required | Deny |
| 5.49 | 207A: 103-1;  104-1  207B: 203-8;  204-8  9052A-C7; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCFE | Interstate | Determination | Single | VL |  | Required | Required | Deny |
| 5.50 | 207A: 103-1;  104-1  207B: 203-9;  204-9  9052A-C7; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCFE | Interstate | Determination | Single | MC |  | Required | Required | Deny |
| 5.51 | 207A: 103-1;  104-1  207B: 203-10; 204-10  9052A-C7; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCFE | Interstate | Determination | Single | Sep/Other |  | Required | Required | Deny |
| 5.52 | 207A: 103-1;  104-1  9052B-C103; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCFE | Interstate | Determination | Single | Nonsep |  | Required | Required | Deny |
| 5.53 | 207A-105-1  9052A-C4; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCX | Intrastate | Determination | Single | Sep |  | Required | Required | Allow |
| 5.54 | 207A-105-1  9052B-C100; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCX | Intrastate | Determination | Single | Nonsep |  | Required | Required | Allow |
| 5.55 | 207A-105-1  9052A-C8; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCX | Interstate | Determination | Single | Sep |  | Required | Required | Allow |
| 5.56 | 207A-105-1  9052B-C104; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCX | Interstate | Determination | Single | Nonsep |  | Required | Required | Allow |
| 5.57 | 207A: 105-1;  106-1  9052A-C4; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCX | Intrastate | Determination | Single | Sep |  | Required | Required | Deny |
| 5.58 | 207A: 105-1;  106-1  9052B-C100; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCX | Intrastate | Determination | Single | Nonsep |  | Required | Required | Deny |
| 5.59 | 207A: 105-1;  106-1  9052A-C8; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCX | Interstate | Determination | Single | Sep |  | Required | Required | Deny |
| 5.60 | 207A: 105-1;  106-1  9052B-C104; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare | UCX | Interstate | Determination | Single | Nonsep |  | Required | Required | Deny |
| MULTI-CLAIMANT NON-MONETARY DETERMINATIONS (5.61 through 5.64)  1) Minimum Sample: First two cases from each subpopulation | | | | | | | | | | | | | |
| 5.61 | 207A-101-5  9052C-C194; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare |  |  | Determination | Multi | Labor Dispute |  | Required | Required | Allow |
| 5.62 | 207A: 101-5;  102-5  9052C-C194; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare |  |  | Determination | Multi | Labor Dispute |  | Required | Required | Deny |
| 5.63 | 207A-101-6  9052C-C195; | Required | Required if State maintains a unique ID | Regular UI  or  Workshare |  |  | Determination | Multi | Other 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 |
| 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 |

aAllow 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 multi-claimants involved.

**Table A.5.3**

Relationship between ETA 9052 Adjudications Time Lapse and Subpopulations in Population 5

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

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

## Population 5 Notes

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

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

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

The extract file and software will be revised in the future so that both the number of multi-claimant determinations and the number of claimants denied will be captured in the same way that is currently done for all multi-claimant 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 multi-claimant determination to deny benefits as well as to affirm benefits*. This can be done by creating a record for one claimant out of each multi-claimant denial determination as representative of that determination. The validation count for the number of multi-claimant determinations thus will be correct, and the reported counts of the UI multi-claimant 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 |
| 6.2a | 200-10 | Required | Required | Lower | M | 1 | Required |

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

**Table A.6.2**

Relationship between ETA AR5130B Report Cells and Subpopulations in Population 6

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

**Table A.7.1**

Population 7 Subpopulations

Claimants involved in State UI Appeals Filed – Higher

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Subpop**  **#** | **ETA ar5130B**  **Line and Column** | **2**  ***(Step 1F)***  ***(Rule 1)***  **SSN** | **3**  ***(Step 1F)***  ***(Rule 2)***  **Docket Number**  **Unique ID** | **4**  ***(Step 24B)***  **Appeal Level** | **5**  ***(Step 25A)***  ***(Rule 1)***  ***(Step 25B)***  ***(Rule 1)***  **Type of Appeal**  **(Single or 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 |
| 7.2a | 200-11 | Required | Required | Higher | M | 1 | Required |

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

**Table A.7.2**

Relationship between ETA AR5130B Report Cells and Subpopulations in Population 7

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

# Population 6 and 7 Notes

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

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

**Table A.8.1**

Population 8 Subpopulations

Lower Authority Appeals Decisions

Decision Date Falls within Reporting/Validation Period

Sort in Ascending Order by Time Lapsed Days

| **Subpop** | **Report, Line,**  **and Column** | **2**  ***(Step 1E)***  ***(Rule 1)***  **SSN** | **3**  ***(Step 1E)***  ***(Rule 2)***  **Docket**  **Number**  **Unique ID** | **4**  ***(Step 2)***  **Type**  **of UI**  **Program** | **5**  ***(Step 4)***  **Program**  **Type** | **6**  ***(Step 5)***  **Intrastate/**  **Interstate** | **7**  ***(Step 24A)***  ***(Rule 1)***  **Appeal Level** | **8**  ***(Step 25A)***  ***(Step 25B)***  **Type of Appeal**  **(Single or 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 |
| 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 |
| 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 |
| 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 |
| 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 |
| 8.34 | ar5130: A 100-1;  B 210-8  ar5130C: 300-16; 310-16  ar5130D-400-26  9054A-C2 | Required | Required | Regular UI  or  Workshare | UI | Intrastate | Lower | S | Must be blank or 0 | Employer | Y | Required | Required |  | Other |
| 8.35 | ar5130: A 100-1;  B 210-8  ar5130: C 300-14;  D 400-26  9054A-C2 | Required | Required | Regular UI  or  Workshare | UI | Intrastate | Lower | S | Must be blank or 0 | Claimant | N | Required | Required |  | Other |
| 8.36 | ar5130: A 100-1;  B 210-8  ar5130: C 300-16;  D 400-26  9054A-C2 | Required | Required | Regular UI  or  Workshare | UI | Intrastate | Lower | S | Must be blank or 0 | Employer | N | Required | Required |  | Other |
| 8.37 | ar5130: A 100-1;  B 210-8  ar5130C: 300-14; 310-14  ar5130D-400-26  9054A-C3 | Required | Required | Regular UI  or  Workshare | UI | Interstate | Lower | S | Must be blank or 0 | Claimant | Y | Required | Required |  | Other |
| 8.38 | ar5130: A 100-1;  B 210-8  ar5130C: 300-16; 310-16  ar5130D-400-26  9054A-C3 | Required | Required | Regular UI  or  Workshare | UI | Interstate | Lower | S | Must be blank or 0 | Employer | Y | Required | Required |  | Other |
| 8.39 | ar5130: A 100-1;  B 210-8  ar5130: C 300-14;  D 400-26  9054A-C3 | Required | Required | Regular UI  or  Workshare | UI | Interstate | Lower | S | Must be blank or 0 | Claimant | N | Required | Required |  | Other |
| 8.40 | ar5130: A 100-1;  B 210-8  ar5130: C 300-16;  D 400-26  9054A-C3 | Required | Required | Regular UI  or  Workshare | UI | Interstate | Lower | S | Must be blank or 0 | Employer | N | Required | Required |  | Other |
| 8.41a | ar5130A-100-3  9054A-C2 | Required | Required | Regular UI  or  Workshare | UCFE | Intrastate | Lower | S | Must be blank or 0 |  |  | Required | Required |  |  |
| 8.42a | ar5130A-100-3  9054A-C3 | Required | Required | Regular UI  or  Workshare | UCFE | Interstate | Lower | S | Must be blank or 0 |  |  | Required | Required |  |  |
| 8.43a | ar5130A-100-5  9054A-C2 | Required | Required | Regular UI  or  Workshare | UCX | Intrastate | Lower | S | Must be blank or 0 |  |  | Required | Required |  |  |
| 8.44a | ar5130A-100-5  9054A-C3 | Required | Required | Regular UI  or  Workshare | UCX | Interstate | Lower | S | Must be blank or 0 |  |  | Required | Required |  | |
| MULTI-CLAIMANT LOWER AUTHORITY APPEALS DECISIONS (8.45 through 8.55)  1) Minimum sample: First two cases from each subpopulation (includes review of folders) | | | | | | | | | | | | | | | |
| 8.45 | ar5130: A 100-1;  B 210-10  ar5130C: 300-14; 310-14  ar5130D-400-25  9054A-C2 | Required | Required | Regular UI  or  Workshare | UI | Intrastate | Lower | M-1 or  M-Lead | 1 | Claimant | Y | Required | Required |  | Labor Disp |
| 8.46 | ar5130: A 100-1;  B 210-10  ar5130C: 300-16;  310-16  ar5130D-400-25  9054A-C2 | Required | Required | Regular UI  or  Workshare | UI | Intrastate | Lower | M-1 or  M-Lead | 1 | Employer | Y | Required | Required |  | Labor Disp |
| 8.47 | ar5130: A 100-1;  B 210-10  ar5130: C 300-14;  D 400-25  9054A-C2 | Required | Required | Regular UI  or  Workshare | UI | Intrastate | Lower | M-1 or  M-Lead | 1 | Claimant | N | Required | Required |  | Labor Disp |
| 8.48 | ar5130: A 100-1;  B 210-10  ar5130: C 300-16;  D 400-25  9054A-C2 | Required | Required | Regular UI  or  Workshare | UI | Intrastate | Lower | M-1 or  M-Lead | 1 | Employer | N | Required | Required |  | Labor Disp |
| 8.49 | ar5130: A 100-1;  B 210-10  ar5130C: 300-14; 310-14  ar5130D-400-26  9054A-C2 | Required | Required | Regular UI  or  Workshare | UI | Intrastate | Lower | M-1 or  M-Lead | 1 | Claimant | Y | Required | Required |  | Other |
| 8.50 | ar5130: A 100-1;  B 210-10  ar5130C: 300-16;  310-16  ar5130D-400-26  9054A-C2 | Required | Required | Regular UI  or  Workshare | UI | Intrastate | Lower | M-1 or  M-Lead | 1 | Employer | Y | Required | Required |  | Other |
| 8.51 | ar5130: A 100-1;  B 210-10  ar5130: C 300-14;  D 400-26  9054A-C2 | Required | Required | Regular UI  or  Workshare | UI | Intrastate | Lower | M-1 or  M-Lead | 1 | Claimant | N | Required | Required |  | Other |
| 8.52 | ar5130: A 100-1;  B 210-10  ar5130: C 300-16;  D 400-26  9054A-C2 | Required | Required | Regular UI  or  Workshare | UI | Intrastate | Lower | M-1 or  M-Lead | 1 | Employer | N | Required | Required |  | Other |
| 8.53 | ar5130B-210-10 | Required | Required | Regular UI  or  Workshare | UI | Intrastate | Lower | M-Nonlead | 1 |  |  | Required | Required |  | VL or  MC or  Suit or  A & A or  Other or  Labor Disp |
| 8.54 | ar5130A: 100-1  ar5130B: 210-8;  210-10  ar5130C: 300-18; 310-18  9054A-C2 | Required | Required | Regular UI  or  Workshare | UI | Intrastate | Lower | S or  M-1 or  M-Lead | 1 or blank  or 0 | Other | Y | Required | Required |  | VL or  MC or  Suit or  A & A or  Other or  Labor Disp |
| 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 multi-claimant 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 Multi-claimant 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 | 41-42a | 43-44a |

|  |  |  |  |
| --- | --- | --- | --- |
| SECTION B. Claimants Involved in State UI Appeals Cases by Status of Appeals | | | |
| Line No. | Status of Appeals | Single Claimant Appeals | Multi-Claimant Appeals |
| Lower Authority  (8) | Lower Authority  (10) |
| 210 | Disposed of During Month  by Decision | 1-40  54-55b | 45-53 |

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

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| SECTION D. Number of Lower Authority State UI Appeals Decisions by Issue | | | | | | |
| Line No. | Voluntary  Quit  (21) | Misconduct  (22) | Refusal of  Suitable  Work  (23) | Not Able or Available  (24) | Labor  Dispute  (25) | Other  (26) |
| 400 | 1-8 | 9-16 | 17-24 | 25-32 | 45-48 | 33-40  49-52 |

a Also includes multi-claimant UCFE and UCX decision subpopulations that are not listed.

b Single claimant only

c Multi-claimant only

**Table A.8.3**

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

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

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

**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 |  |
| 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 |  |
| MULTI-CLAIMANT HIGHER AUTHORITY APPEALS DECISIONS (9.13 through 9.23)  1) Minimum sample: First two cases from each subpopulation (includes review of folders) | | | | | | | | | | | | | | |
| 9.13 | ar5130: A 100-2  B 210-11  ar5130C: 300-15  310-15  9054B-C2 | Required | Required | Regular UI  or  Workshare | UI | Intrastate | Higher | M-1 or  M-Lead | 1 | Claimant | Y | Required | Required |  |
| 9.14 | ar5130: A 100-2  B 210-11  ar5130C: 300-17  310-17  9054B-C2 | Required | Required | Regular UI  or  Workshare | UI | Intrastate | Higher | M-1 or  M-Lead | 1 | Employer | Y | Required | Required |  |
| 9.15 | ar5130: A 100-2  B 210-11  ar5130C-300-15  9054B-C2 | Required | Required | Regular UI  or  Workshare | UI | Intrastate | Higher | M-1 or  M-Lead | 1 | Claimant | N | Required | Required |  |
| 9.16 | ar5130: A 100-2  B 210-11  ar5130C-300-17  9054B-C2 | Required | Required | Regular UI  or  Workshare | UI | Intrastate | Higher | M-1 or  M-Lead | 1 | Employer | N | Required | Required |  |
| 9.17 | ar5130: A 100-2  B 210-11  ar5130C: 300-15  310-15  9054B-C3 | Required | Required | Regular UI  or  Workshare | UI | Interstate | Higher | M-1 or  M-Lead | 1 | Claimant | Y | Required | Required |  |
| 9.18 | ar5130: A 100-2  B 210-11  ar5130C: 300-17  310-17  9054B-C3 | Required | Required | Regular UI  or  Workshare | UI | Interstate | Higher | M-1 or  M-Lead | 1 | Employer | Y | Required | Required |  |
| 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 multi-claimant 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 Multi-claimant Appeals Case Decisions and Other Dispositions | | | |
|  | UI Decisions | UCFE-No UI Decisions | UCX Only Decisions |
| Line No. | Higher Authority  (2) | Higher Authority  (4) | Higher Authority  (6) |
| 100 | 1-8  13-20  22-23 | 9-10a | 11-12a |

|  |  |  |  |
| --- | --- | --- | --- |
| SECTION B. Claimants Involved in State UI Appeals Cases by Status of Appeals | | | |
| Line No. | Status of Appeals | Single Claimant Appeals | Multi-Claimant Appeals |
| Higher Authority  (9) | Higher Authority  (11) |
| 210 | Disposed of During Month | 1-8  22b | 13-21  23c |

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

a Also includes multi-claimant UCFE and UCX decisions subpopulations that are not listed.

b Single claimant only

c Multi-claimant only

**Table A.9.3**

Relationship between ETA 9054B Report Cells and Subpopulations in Population 9

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

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

## Populations 8 and 9 Notes

1. Column 8 (Step 23B), Multi-claimant appeals:

States will either store an individual record for each appeal or one record with the number of appellants. States that maintain a single record for multi-claimant appeals with a field for the number of claimants involved must 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 must 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 must insert a text prefix of “M-Nonlead” in the multi-claimant field for the non-lead claimants. These records will be assigned to subpopulations 8.53 (lower authority) and 9.21 (higher authority).

1. Column 14 (Disposed of by Decision) is optional. States which have an indicator to distinguish countable from uncountable decisions must insert the value of the countable appeal indicator in this field to show that it is countable based on information in the appeals file
2. These populations include appeals for Short Time Compensation (STC) Program (workshare) claims. These records must be labeled as “Workshare” for “Type of UI Program.” See the software record layouts for more details.
3. Remanded cases by the higher authority are to be handled as follows.  A case remanded to lower authority for the taking of additional evidence is not a decision.  It thus does not belong in the Population 9 extract file until it is actually returned by the lower authority and then disposed of by the higher authority.  A case that is remanded for a rehearing does involve a decision by the higher authority but it is neither in favor of the appellant nor not in favor of the appellant.  Within the existing DV framework, the Population 9 record must be built as Not in Favor of the Appellant.  If a large number of remanded cases causes the Population 9 validation to fail, note the number if the Comments field.

**Table A.10.1**

Population 10 Subpopulations

Lower Authority Appeals Case Aging

Appeals Pending at the End of the Month Being Validated

Sort by Days Pending Within Each Category

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

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

**Table A.10.2**

Relationship between ETA 9055 Report Cells and Subpopulations in Population 10

## Age of Pending Lower Authority Single Claimant Appeals Cases

|  |  |
| --- | --- |
| 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** |
| --- | --- | --- | --- | --- | --- | --- |
| HIGHERAUTHORITY 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 |

#### **Populations 10 and 11 Notes**

1. Capture the lower authority and higher authority appeals data at the end of the month.

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

**Table A.12.1**

Population 12 Subpopulations

Overpayments Established by Cause

|  |  | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10** | **11** | **12** | **13** | **14** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | ***(Step 1G) (Rule 1)*** | ***(Step 1G) (Rule 2)*** | ***(Step 4)*** | ***(Step 33)*** | ***(Step 34)*** | ***(Step 36)*** | ***(Step 37A)*** | ***(Step 37B)*** | ***(Step 37C)*** | ***(Step 45A)*** | ***(Step 45B)*** | ***(Step 45C)*** | ***(Step 6A)***  ***(Step 6B)*** |
| **Sub**  **pop #** | **ETA 227A Line and Column** | **SSN** | **Unique ID** | **Program Type** | **Type of Overpay-ment** | **Cause of Overpay-ment** | **Date Estab-lished** | **UI Amounta** | **Federal Amounta** | **EB Amounta** | **Accumulated UI Amount** | **Accumulated Federal Amount** | **Accumulated EB Amount** | **Date of Original Monetary** |
| OVERPAYMENTS (12.1 through 12.27) | | | | | | | | | | | | | | |
| 1) Random Sample: 60 or 200 (includes review of folders); 2) Supplemental sample--missing strata; 3) Supplemental sample--outliers by dollars | | | | | | | | | | | | | | |
| 12.1b  12.1 | 101 (2, 4, 5) 112 (2, 4, 5) | Required | Required if State maintains a unique ID | UI | Fraud | Single Claimant | Within the Quarter | > 0 | > 0 if joint claim; otherwise blank or 0 | Blank or 0 |  |  | Blank or 0 | Required |
| 12.2b | 101 (2, 4, 5) 102 (2, 4, 5) 112 (2, 4, 5) | Required | Required if State maintains a unique ID | UI | Fraud | Multi Claimant Schemesc | Within the Quarter | > 0 | > 0 if joint claim; otherwise blank or 0 | Blank or 0 |  |  | Blank or 0 | Required |
| 12.3b | 104 (2, 4, 5)  113 (2, 4, 5) | Required | Required if State maintains a unique ID | UI | Nonfraud | Reversals | Within the Quarter | > 0 | > 0 if joint claim; otherwise blank or 0 | Blank or 0 |  |  | Blank or 0 | Required |
| 12.4b | 105 (2, 4, 5)  113 (2, 4, 5) | Required | Required if State maintains a unique ID | UI | Nonfraud | State Agency Errorsc | Within the Quarter | > 0 | > 0 if joint claim; otherwise blank or 0 | Blank or 0 |  |  | Blank or 0 | Required |
| 12.5b | 106 (2, 4, 5)  113 (2, 4, 5) | Required | Required if State maintains a unique ID | UI | Nonfraud | Employer Errorsc | Within the Quarter | > 0 | > 0 if joint claim; otherwise blank or 0 | Blank or 0 |  |  | Blank or 0 | Required |
| 12.6b | 107 (2, 4, 5)  113 (2, 4, 5) | Required | Required if State maintains a unique ID | UI | Nonfraud | Claimant Errorsc | Within the Quarter | > 0 | > 0 if joint claim; otherwise blank or 0 | Blank or 0 |  |  | Blank or 0 | Required |
| 12.7b | 108 (2, 4, 5)  113 (2, 4, 5) | Required | Required if State maintains a unique ID | UI | Nonfraud | Other | Within the Quarter | > 0 | > 0 if joint claim; otherwise blank or 0 | Blank or 0 |  |  | Blank or 0 | Required |
| 12.8b | 109 (4, 5) | Required | Required if State maintains a unique ID | UI | Penalty |  | Within the Quarter | > 0 | > 0 if joint claim; otherwise blank or 0 | Blank or 0 |  |  |  | Required |
| 12.9 | 101 (3, 5) 112 (3, 5) | Required | Required if State maintains a unique ID | UCFE or UCX | Fraud | Single Claimant | Within the Quarter | Blank or 0 | > 0 | Blank or 0 | Blank or 0 |  | Blank or 0 | Required |
| 12.10 | 101 (3, 5) 102 (3, 5) 112 (3, 5) | Required | Required if State maintains a unique ID | UCFE or UCX | Fraud | Multi Claimant Schemesc | Within the Quarter | Blank or 0 | > 0 | Blank or 0 | Blank or 0 |  | Blank or 0 | Required |
| 12.11 | 104 (3, 5)  113 (3, 5) | Required | Required if State maintains a unique ID | UCFE or UCX | Nonfraud | Reversals | Within the Quarter | Blank or 0 | > 0 | Blank or 0 | Blank or 0 |  | Blank or 0 | Required |
| 12.12 | 105 (3, 5)  113 (3, 5) | Required | Required if State maintains a unique ID | UCFE or UCX | Nonfraud | State Agency Errorsc | Within the Quarter | Blank or 0 | > 0 | Blank or 0 | Blank or 0 |  | Blank or 0 | Required |
| 12.13 | 106 (3, 5)  113 (3, 5) | Required | Required if State maintains a unique ID | UCFE or UCX | Nonfraud | Employer Errorsc | Within the Quarter | Blank or 0 | > 0 | Blank or 0 | Blank or 0 |  | Blank or 0 | Required |
| 12.14 | 107 (3, 5)  113 (3, 5) | Required | Required if State maintains a unique ID | UCFE or UCX | Nonfraud | Claimant Errorsc | Within the Quarter | Blank or 0 | > 0 | Blank or 0 | Blank or 0 |  | Blank or 0 | Required |
| 12.15 | 108 (3, 5)  113 (3, 5) | Required | Required if State maintains a unique ID | UCFE or UCX | Nonfraud | Other | Within the Quarter | Blank or 0 | > 0 | Blank or 0 | Blank or 0 |  | Blank or 0 | Required |
| 12.16 | 109 (5) | Required | Required if State maintains a unique ID | UCFE or UCX | Penalty |  | Within the Quarter | Blank or 0 | > 0 | Blank or 0 |  |  |  |  |
| 12.17b | 101 (2, 4, 5) 111 (2, 4, 5) 112 (2, 4, 5) | Required | Required if State maintains a unique ID | UI | Fraud | Agency Employee Benefit | Within the Quarter | > 0 | > 0 if joint claim; otherwise blank or 0 | Blank or 0 |  |  | Blank or 0 | Required |
| 12.18 | 101 (3, 5) 111 (3, 5) 112 (3, 5) | Required | Required if State maintains a unique ID | UCFE or UCX | Fraud | Agency Employee Benefit | Within the Quarter | Blank or 0 | > 0 | Blank or 0 | Blank or 0 |  | Blank or 0 | Required |
| 12.19 | 101 (20, 21) 112 (20, 21) | Required | Required if State maintains a unique ID | EB | Fraud | Single Claimant | Within the Quarter | Blank or 0 | Blank or 0 | > 0 | Blank or 0 | Blank or 0 |  | Required |
| 12.20 | 101 (20, 21) 102 (20, 21) 112 (20, 21) | Required | Required if State maintains a unique ID | EB | Fraud | Multi Claimant Schemesc | Within the Quarter | Blank or 0 | Blank or 0 | > 0 | Blank or 0 | Blank or 0 |  | Required |
| 12.21 | 101 (20, 21) 111 (20, 21) 112 (20, 21) | Required | Required if State maintains a unique ID | EB | Fraud | Agency Employee Benefit | Within the Quarter | Blank or 0 | Blank or 0 | > 0 | Blank or 0 | Blank or 0 |  | Required |
| 12.22 | 104 (20, 21)  113 (20, 21) | Required | Required if State maintains a unique ID | EB | Nonfraud | Reversals | Within the Quarter | Blank or 0 | Blank or 0 | > 0 | Blank or 0 | Blank or 0 |  | Required |
| 12.23 | 105 (20, 21)  113 (20, 21) | Required | Required if State maintains a unique ID | EB | Nonfraud | State Agency Errorsc | Within the Quarter | Blank or 0 | Blank or 0 | > 0 | Blank or 0 | Blank or 0 |  | Required |
| 12.24 | 106 (20, 21)  113 (20, 21) | Required | Required if State maintains a unique ID | EB | Nonfraud | Employer Errorsc | Within the Quarter | Blank or 0 | Blank or 0 | > 0 | Blank or 0 | Blank or 0 |  | Required |
| 12.25 | 107 (20, 21)  113 (20, 21) | Required | Required if State maintains a unique ID | EB | Nonfraud | Claimant Errorsc | Within the Quarter | Blank or 0 | Blank or 0 | > 0 | Blank or 0 | Blank or 0 |  | Required |
| 12.26 | 108 (20, 21)  113 (20, 21) | Required | Required if State maintains a unique ID | EB | Nonfraud | Other | Within the Quarter | Blank or 0 | Blank or 0 | > 0 | Blank or 0 | Blank or 0 |  | Required |
| 12.27 | 109 (21) | Required | Required if State maintains a unique ID | EB | Penalty |  | Within the Quarter | Blank or 0 | Blank or 0 | > 0 |  |  |  |  |

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

a To accommodate the special case when there is a claim that has no amount for a type of overpayment in the validation quarter but has an accumulated amount from

previous quarters that needs to be used to calculate a high dollar overpayment, the software will accept a zero or blank value in the UI Amount, Federal Amount and

EB Amount fields, but the corresponding accumulated amount must be greater than zero.

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

c These values are abbreviated in the record layout data format specifications (see Appendix A of ETA Operations Guide 411) but are shown here in their entirety

for informational purposes.

**Table A.12.2**

Relationship between ETA 227 Report Cells and Subpopulations in Population 12

A. PAGE 1 OF FORM

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

**Population 12 Notes**

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

The accumulated amounts (i.e. fields Accumulated UI Amount, Accumulated Federal Amount, and Accumulated EB Amount) are used to calculate high dollar overpayments. Enter the total amount that the claim has from previous quarters that has not been counted already towards a high dollar overpayment in a previous quarter. For records belonging to the same claim, the accumulated amount must be the same. The software will add the accumulated amount only once.

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

**Table A.13.1**

Population 13 Subpopulations

Overpayment Reconciliation Activities

Overpayment Reconciliation Transaction Occurred During

Reporting Quarter Being Validated

ETA 227 – Section C

|  |  | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | **(Step 1H)** | **(Step 1H)** | **(Step 4)** | **(Step 33)** | **(Step 38)** | **(Step 39)** | **(Step 40A)** | **(Step 40B)** | **(Step 40C)** |
|  |  | ***(Rule 1)*** | ***(Rule 2)*** |  |  |  |  |  |  |  |
| **Sub** | **ETA 227C** |  |  |  |  |  |  |  |  |  |
| **pop #** | **Line and Column** | **SSN** | **Unique ID** | **Program**  **Type** | **Type of Overpayment** | **Type of Reconciliation Activity** | **Date of Reconciliation Activity** | **UI Reconciliation Amount** | **Federal Reconciliation Amounta** | **EB Reconciliation Amount** |
| OVERPAYMENT RECONCILIATION TRANSACTIONS (13.1 through 13.57) | | | | | | | | | | |
| 1) Random sample: 30 or 100 (includes review of folders); 2) Supplemental sample-missing strata; 3) Supplemental sample--outliers by dollars | | | | | | | | | | |
| 13.1 | 303 (11, 12) | Required | Required if State maintains a unique ID | UI | Fraud | Cash | Required | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 13.2 | 304 (11, 12) | Required | Required if State maintains a unique ID | UI | Fraud | Benefit Offset | Required | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 13.3 | 305 (11, 12) | Required | Required if State maintains a unique ID | UI | Fraud | State Income Tax Offset\* | Required | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 13.4 | 306 (11, 12) | Required | Required if State maintains a unique ID | UI | Fraud | By Other State | Required | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 13.5 | 307 (11, 12) | Required | Required if State maintains a unique ID | UI | Fraud | Other | Required | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 13.6 | 309 (11, 12) | Required | Required if State maintains a unique ID | UI | Fraud | Write-Off | Required | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 13.7 | 310 (11, 12) | Required | Required if State maintains a unique ID | UI | Fraud | Addition | Required | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 13.8 | 311 (11, 12) | Required | Required if State maintains a unique ID | UI | Fraud | Subtraction | Required | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 13.9 | 303 (12) | Required | Required if State maintains a unique ID | UCFE or UCX | Fraud | Cash | Required | Must be blank or 0 | > 0 | Must be blank or 0 |
| 13.10 | 304 (12) | Required | Required if State maintains a unique ID | UCFE or UCX | Fraud | Benefit Offset | Required | Must be blank or 0 | > 0 | Must be blank or 0 |
| 13.11 | 305 (12) | Required | Required if State maintains a unique ID | UCFE or UCX | Fraud | State Income Tax Offset\* | Required | Must be blank or 0 | > 0 | Must be blank or 0 |
| 13.12 | 306 (12) | Required | Required if State maintains a unique ID | UCFE or UCX | Fraud | By Other State | Required | Must be blank or 0 | > 0 | Must be blank or 0 |
| 13.13 | 307 (12) | Required | Required if State maintains a unique ID | UCFE or UCX | Fraud | Other | Required | Must be blank or 0 | > 0 | Must be blank or 0 |
| 13.14 | 309 (12) | Required | Required if State maintains a unique ID | UCFE or UCX | Fraud | Write-Off | Required | Must be blank or 0 | > 0 | Must be blank or 0 |
| 13.15 | 310 (12) | Required | Required if State maintains a unique ID | UCFE or UCX | Fraud | Addition | Required | Must be blank or 0 | > 0 | Must be blank or 0 |
| 13.16 | 311 (12) | Required | Required if State maintains a unique ID | UCFE or UCX | Fraud | Subtraction | Required | Must be blank or 0 | > 0 | Must be blank or 0 |
| 13.17 | 303 (13, 14) | Required | Required if State maintains a unique ID | UI | Nonfraud | Cash | Required | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 13.18 | 304 (13, 14) | Required | Required if State maintains a unique ID | UI | Nonfraud | Benefit Offset | Required | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 13.19 | 305 (13, 14) | Required | Required if State maintains a unique ID | UI | Nonfraud | State Income Tax Offset\* | Required | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 13.20 | 306 (13, 14) | Required | Required if State maintains a unique ID | UI | Nonfraud | By Other State | Required | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 13.21 | 307 (13, 14) | Required | Required if State maintains a unique ID | UI | Nonfraud | Other | Required | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 13.22 | 308 (13, 14) | Required | Required if State maintains a unique ID | UI | Nonfraud | Waived | Required | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 13.23 | 309 (13, 14) | Required | Required if State maintains a unique ID | UI | Nonfraud | Write-Off | Required | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 13.24 | 310 (13, 14) | Required | Required if State maintains a unique ID | UI | Nonfraud | Addition | Required | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 13.25 | 311 (13, 14) | Required | Required if State maintains a unique ID | UI | Nonfraud | Subtraction | Required | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 13.26 | 303 (14) | Required | Required if State maintains a unique ID | UCFE or UCX | Nonfraud | Cash | Required | Must be blank or 0 | > 0 | Must be blank or 0 |
| 13.27 | 304 (14) | Required | Required if State maintains a unique ID | UCFE or UCX | Nonfraud | Benefit Offset | Required | Must be blank or 0 | > 0 | Must be blank or 0 |
| 13.28 | 305 (14) | Required | Required if State maintains a unique ID | UCFE or UCX | Nonfraud | State Income Tax Offset\* | Required | Must be blank or 0 | > 0 | Must be blank or 0 |
| 13.29 | 306 (14) | Required | Required if State maintains a unique ID | UCFE or UCX | Nonfraud | By Other State | Required | Must be blank or 0 | > 0 | Must be blank or 0 |
| 13.30 | 307 (14) | Required | Required if State maintains a unique ID | UCFE or UCX | Nonfraud | Other | Required | Must be blank or 0 | > 0 | Must be blank or 0 |
| 13.31 | 308 (14) | Required | Required if State maintains a unique ID | UCFE or UCX | Nonfraud | Waived | Required | Must be blank or 0 | > 0 | Must be blank or 0 |
| 13.32 | 309 (14) | Required | Required if State maintains a unique ID | UCFE or UCX | Nonfraud | Write-Off | Required | Must be blank or 0 | > 0 | Must be blank or 0 |
| 13.33 | 310 (14) | Required | Required if State maintains a unique ID | UCFE or UCX | Nonfraud | Addition | Required | Must be blank or 0 | > 0 | Must be blank or 0 |
| 13.34 | 311 (14) | Required | Required if State maintains a unique ID | UCFE or UCX | Nonfraud | Subtraction | Required | Must be blank or 0 | > 0 | Must be blank or 0 |
| 13.35 | 303 (22) | Required | Required if State maintains a unique ID | EB | Fraud | Cash | Required | Must be blank or 0 | Must be blank or 0 | > 0 |
| 13.36 | 304 (22) | Required | Required if State maintains a unique ID | EB | Fraud | Benefit Offset | Required | Must be blank or 0 | Must be blank or 0 | > 0 |
| 13.37 | 305 (22) | Required | Required if State maintains a unique ID | EB | Fraud | State Income Tax Offset\* | Required | Must be blank or 0 | Must be blank or 0 | > 0 |
| 13.38 | 306 (22) | Required | Required if State maintains a unique ID | EB | Fraud | By Other State | Required | Must be blank or 0 | Must be blank or 0 | > 0 |
| 13.39 | 307 (22) | Required | Required if State maintains a unique ID | EB | Fraud | Other | Required | Must be blank or 0 | Must be blank or 0 | > 0 |
| 13.40 | 309 (22) | Required | Required if State maintains a unique ID | EB | Fraud | Write-Off | Required | Must be blank or 0 | Must be blank or 0 | > 0 |
| 13.41 | 310 (22) | Required | Required if State maintains a unique ID | EB | Fraud | Addition | Required | Must be blank or 0 | Must be blank or 0 | > 0 |
| 13.42 | 311 (22) | Required | Required if State maintains a unique ID | EB | Fraud | Subtraction | Required | Must be blank or 0 | Must be blank or 0 | > 0 |
| 13.43 | 303 (23) | Required | Required if State maintains a unique ID | EB | Nonfraud | Cash | Required | Must be blank or 0 | Must be blank or 0 | > 0 |
| 13.44 | 304 (23) | Required | Required if State maintains a unique ID | EB | Nonfraud | Benefit Offset | Required | Must be blank or 0 | Must be blank or 0 | > 0 |
| 13.45 | 305 (23) | Required | Required if State maintains a unique ID | EB | Nonfraud | State Income Tax Offset\* | Required | Must be blank or 0 | Must be blank or 0 | > 0 |
| 13.46 | 306 (23) | Required | Required if State maintains a unique ID | EB | Nonfraud | By Other State | Required | Must be blank or 0 | Must be blank or 0 | > 0 |
| 13.47 | 307 (23) | Required | Required if State maintains a unique ID | EB | Nonfraud | Other | Required | Must be blank or 0 | Must be blank or 0 | > 0 |
| 13.48 | 308 (23) | Required | Required if State maintains a unique ID | EB | Nonfraud | Waived | Required | Must be blank or 0 | Must be blank or 0 | > 0 |
| 13.49 | 309 (23) | Required | Required if State maintains a unique ID | EB | Nonfraud | Write-Off | Required | Must be blank or 0 | Must be blank or 0 | > 0 |
| 13.50 | 310 (23) | Required | Required if State maintains a unique ID | EB | Nonfraud | Addition | Required | Must be blank or 0 | Must be blank or 0 | > 0 |
| 13.51 | 311 (23) | Required | Required if State maintains a unique ID | EB | Nonfraud | Subtraction | Required | Must be blank or 0 | Must be blank or 0 | > 0 |
| 13.52 | 314 (11, 12) | Required | Required if State maintains a unique ID | UI | Fraud | Federal Income Tax Offset\* | Required | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 13.53 | 314 (12) | Required | Required if State maintains a unique ID | UCFE or UCX | Fraud | Federal Income Tax Offset\* | Required | Must be blank or 0 | > 0 | Must be blank or 0 |
| 13.54 | 314 (13, 14) | Required | Required if State maintains a unique ID | UI | Nonfraud | Federal Income Tax Offset\* | Required | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 13.55 | 314 (14) | Required | Required if State maintains a unique ID | UCFE or UCX | Nonfraud | Federal Income Tax Offset\* | Required | Must be blank or 0 | > 0 | Must be blank or 0 |
| 13.56 | 314 (22) | Required | Required if State maintains a unique ID | EB | Fraud | Federal Income Tax Offset\* | Required | Must be blank or 0 | Must be blank or 0 | > 0 |
| 13.57 | 314 (23) | Required | Required if State maintains a unique ID | EB | Nonfraud | Federal Income Tax Offset\* | Required | Must be blank or 0 | Must be blank or 0 | > 0 |

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

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

**Table A.13.2**

Relationship between ETA 227 Report Cells and Subpopulations in Population 13

# PAGE 2 OF FORM

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

## Population 13 Notes

1. Reconstructing this population requires a detailed transaction history file that associates activities (Column 6) with particular overpayment types (Column 5).

2. Subpopulations 13.1-13.8, 13.17-13.25, 13.52, and 13.54. Enter the Federal amount in Column 9 for joint claims (field number 9 on the record layout).

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

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

|  |  | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | ***(Step 1G)*** | ***(Step 1G)*** | ***(Step 36)*** | ***(Step 4)*** | ***(Step 44)*** | ***(Step 33)*** | ***(Step 42A)*** | ***(Step 42B)*** | ***(Step 42C)*** |
|  | **ETA 227C** | ***(Rule 1)*** | ***(Rule 2)*** |  |  |  |  |  |  |  |
|  | **ETA 227E** |  |  |  |  |  | **Type of** | **UI** | **Federal** | **EB** |
| **Sub** | **Report, Line,** | **SSN** | **Unique ID** | **Date Established** | **Program** | **Active** | **Overpay-ment** | **Balance at** | **Balance at** | **Balance at** |
| **pop #** | **and Column** |  |  |  | **Type** | **Collection** |  | **End of Qtr** | **End of Qtr** | **End of Qtr** |
| 14.1 | E501 (18, 19) Age ≤ 90 days | Required | Required if State maintains a unique ID | Requireda | UI |  |  | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 14.2 | E502 (18, 19) Age 91-180 days | Required | Required if State maintains a unique ID | Requireda | UI |  |  | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 14.3 | E503 (18, 19) Age 181-270 days | Required | Required if State maintains a unique ID | Requireda | UI |  |  | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 14.4 | E504 (18, 19) Age 271-360 days | Required | Required if State maintains a unique ID | Requireda | UI |  |  | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 14.5 | E505 (18, 19) Age 361-450 days | Required | Required if State maintains a unique ID | Requireda | UI |  |  | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 14.6 | E506 (18, 19) Age > 450 days | Required | Required if State maintains a unique ID | Requireda | UI | Y or N\* |  | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 14.7 | E501 (19) Age ≤ 90 days | Required | Required if State maintains a unique ID | Requireda | UCFE or UCX |  |  | Must be blank or 0 | > 0 | Must be blank or 0 |
| 14.8 | E502 (19) Age 91-180 days | Required | Required if State maintains a unique ID | Requireda | UCFE or UCX |  |  | Must be blank or 0 | > 0 | Must be blank or 0 |
| 14.9 | E503 (19) Age 181-270 days | Required | Required if State maintains a unique ID | Requireda | UCFE or UCX |  |  | Must be blank or 0 | > 0 | Must be blank or 0 |
| 14.10 | E504 (19) Age 271-360 days | Required | Required if State maintains a unique ID | Requireda | UCFE or UCX |  |  | Must be blank or 0 | > 0 | Must be blank or 0 |
| 14.11 | E505 (19) Age 361-450 days | Required | Required if State maintains a unique ID | Requireda | UCFE or UCX |  |  | Must be blank or 0 | > 0 | Must be blank or 0 |
| 14.12 | E506 (19) Age > 450 days | Required | Required if State maintains a unique ID | Requireda | UCFE or UCX | Y or N\* |  | Must be blank or 0 | > 0 | Must be blank or 0 |
| 14.13 | C312 (11, 12) | Required | Required if State maintains a unique ID | Requiredb | UI | N or D\* | Fraud | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 14.14 | C312 (13, 14) | Required | Required if State maintains a unique ID | Requiredb | UI | N or D\* | Nonfraud | > 0 | > 0 if joint claim; otherwise blank or 0 | Must be blank or 0 |
| 14.15 | C312 (12) | Required | Required if State maintains a unique ID | Requiredb | UCFE or UCX | N or D\* | Fraud | Must be blank or 0 | > 0 | Must be blank or 0 |
| 14.16 | C312 (14) | Required | Required if State maintains a unique ID | Requiredb | UCFE or UCX | N or D\* | Nonfraud | Must be blank or 0 | > 0 | Must be blank or 0 |
| 14.17 | C312 (22) | Required | Required if State maintains a unique ID | Requiredb | EB | N or D\* | Fraud | Must be blank or 0 | Must be blank or 0 | > 0 |
| 14.18 | C312 (23) | Required | Required if State maintains a unique ID | Requiredb | EB | N or D\* | Nonfraud | Must be blank or 0 | Must be blank or 0 | > 0 |
| 14.19 | E501 (25) Age ≤ 90 days | Required | Required if State maintains a unique ID | Requireda | EB |  |  | Must be blank or 0 | Must be blank or 0 | > 0 |
| 14.20 | E502 (25) Age 91-180 days | Required | Required if State maintains a unique ID | Requireda | EB |  |  | Must be blank or 0 | Must be blank or 0 | > 0 |
| 14.21 | E503 (25) Age 181-270 days | Required | Required if State maintains a unique ID | Requireda | EB |  |  | Must be blank or 0 | Must be blank or 0 | > 0 |
| 14.22 | E504 (25) Age 271-360 days | Required | Required if State maintains a unique ID | Requireda | EB |  |  | Must be blank or 0 | Must be blank or 0 | > 0 |
| 14.23 | E505 (25) Age 361-450 days | Required | Required if State maintains a unique ID | Requireda | EB |  |  | Must be blank or 0 | Must be blank or 0 | > 0 |
| 14.24 | E506 (25) Age > 450 days | Required | Required if State maintains a unique ID | Requireda | EB | Y or N\* |  | Must be blank or 0 | 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 6:

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

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

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

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Table A.14.2**  Relationship between ETA 227 Report Cells and Subpopulations in Population 14  E. PAGE 3 OF FORM | | | | | |
| SECTION E: AGING OF BENEFIT OVERPAYMENT ACCOUNTS | | | | |
|  |  | Dollar Amounts | | |
| Accounts Receivable | Line No. | UI | UCFE/UCX | EB |
|  |  | (18) | (19) | (25) |
| 90 days or less | 501 | 1 | 1 and 7 | 19 |
| 91 − 180 days | 502 | 2 | 2 and 8 | 20 |
| 181 − 270 days | 503 | 3 | 3 and 9 | 21 |
| 271 − 360 days | 504 | 4 | 4 and 10 | 22 |
| 361 − 450 days | 505 | 5 | 5 and 11 | 23 |
| 451 days or more | 506 | 6 | 6 and 12 | 24 |
| Total Accounts Receivable | 507 |  |  |  |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Table A.14.3**  Relationship between ETA 227 Report Cells and Subpopulations in Population 14  C. PAGE 2 OF FORM | | | | | | | | |
| C. RECOVERY/RECONCILIATION | | | | | | | | |
|  | Line | Dollar Amount | | | | | | |
| No. | Fraud | | | Nonfraud | | | |
|  | UI | UCFE/UCX | EB | UI | UCFE/UCX | EB | |
|  | (11) | (12) | (22) | (13) | (14) | (23) | |
| Receivables Removed at End of Period | 312 | 13 | 13, 15 | 17 | 14 | 14, 16 | 18 | |

## Population 14 Notes

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

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

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

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

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

* Yes – in active collection. These overpayments will not be removed and will be included in section E (greater than 450 days).
* No – not in active collection. These overpayments will be removed (not included in section E but included in Section C line 12) in the ninth quarter after the date established. Any overpayment greater than nine quarters old with a no in Column 7 is not included in Sections C or E.
* Dropped – the overpayment has been reported for 9 or more quarters and was in active collection in the prior quarter but has been dropped during the report quarter from active collection status. These payments will be included in Section C line 12 as removed during the quarter.

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

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

**Table A.15.1**

Population 15 Subpopulations

Overpayments Established by Method

|  |  | **2** | **3** | **4** | **5** | **6** | **7** | **8** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | ***(Step 1G)*** | ***(Step 1G)*** | ***(Step 33)*** | ***(Step 35)*** | ***(Step 36)*** | ***(Step 37A)*** | ***(Step 46)*** |
|  |  | ***(Rule 1)*** | ***(Rule 2)*** |  |  |  | ***(Step 37B)*** |  |
| **Subpop #** | **ETA 227B Line and Column** | **SSN** | **Unique ID** | **Type of Overpayment** | **Detection Method** | **Date**  **Established** | **Amount** | **Overpayment Established by Investigation** |
|  | | | | | | | | |
| OVERPAYMENTS (15.01 through 15.21) | | | | | | | | |
| 1) Random Sample: 60 or 200 (includes review of folders); 2) Supplemental sample--missing strata | | | | | | | | |
| 15.01 | 202 (6) | Required | Required if State maintains a unique ID | Must be blank | Wage Crossmatch | Required | Must be blank or 0 | N |
| 15.02 | 203 (6) | Required | Required if State maintains a unique ID | Must be blank | IB Crossmatch | Required | Must be blank or 0 | N |
| 15.03 | 210 (6) | Required | Required if State maintains a unique ID | Must be blank | NDNH | Required | Must be blank or 0 | N |
| 15.04 | 204 (6) | Required | Required if State maintains a unique ID | Must be blank | SDNH | Required | Must be blank or 0 | N |
| 15.05 | 205 (6) | Required | Required if State maintains a unique ID | Must be blank | Multi-claimant | Required | Must be blank or 0 | N |
| 15.06 | 206 (6) | Required | Required if State maintains a unique ID | Must be blank | Special Project | Required | Must be blank or 0 | N |
| 15.07 | 202 (6, 7, 8) | Required | Required if State maintains a unique ID | Fraud | Wage Crossmatch | Required | > 0 | Y |
| 15.08 | 203 (6, 7, 8) | Required | Required if State maintains a unique ID | Fraud | IB Crossmatch | Required | > 0 | Y |
| 15.09 | 210 (6, 7, 8) | Required | Required if State maintains a unique ID | Fraud | NDNH | Required | > 0 | Y |
| 15.10 | 204 (6, 7, 8) | Required | Required if State maintains a unique ID | Fraud | SDNH | Required | > 0 | Y |
| 15.11 | 205 (6, 7, 8) | Required | Required if State maintains a unique ID | Fraud | Multi-claimant | Required | > 0 | Y |
| 15.12 | 206 (6, 7, 8) | Required | Required if State maintains a unique ID | Fraud | Special Project | Required | > 0 | Y |
| 15.13 | 207 (7, 8) | Required | Required if State maintains a unique ID | Fraud | Other Controllable | Required | > 0 |  |
| 15.14 | 208 (7, 8) | Required | Required if State maintains a unique ID | Fraud | Noncontrollable | Required | > 0 |  |
| 15.15 | 202 (6, 9, 10) | Required | Required if State maintains a unique ID | Nonfraud | Wage Crossmatch | Required | > 0 | Y |
| 15.16 | 203 (6, 9, 10) | Required | Required if State maintains a unique ID | Nonfraud | IB Crossmatch | Required | > 0 | Y |
| 15.17 | 210 (6, 9, 10) | Required | Required if State maintains a unique ID | Nonfraud | NDNH | Required | > 0 | Y |
| 15.18 | 204 (6, 9, 10) | Required | Required if State maintains a unique ID | Nonfraud | SDNH | Required | > 0 | Y |
| 15.19 | 206 (6, 9, 10) | Required | Required if State maintains a unique ID | Nonfraud | Special Project | Required | > 0 | Y |
| 15.20 | 207 (9, 10) | Required | Required if State maintains a unique ID | Nonfraud | Other Controllable | Required | > 0 |  |
| 15.21 | 208 (9, 10) | Required | Required if State maintains a unique ID | Nonfraud | Noncontrollable | Required | > 0 |  |

**Table A.15.2**

Relationship between ETA 227 Report Cells and Subpopulations in Population 15

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

**Population 15 Notes**

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

Appendix B

*Benefits*

Sample Specifications

**A. Purpose**

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

### B. Types of Samples

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

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

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

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

**C. Random Samples**

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

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

Depending on the type of transactions to be validated, the software selects 100 or 200 cases at random from a specific set of subpopulations. The validator initially reviews 30 cases for samples of 100 records or 60 for samples of 200 records, referred to as the first tier of the sample. After the validator finishes validating the first tier, the software indicates whether it is necessary to continue to review the remaining cases. If there are no errors or a sufficiently large number of errors in the first tier, it is not necessary to validate the remaining cases because the error rate of the whole sample is conclusively below 5% or above 5%. It is only necessary to validate the remaining cases when the error rate is not conclusively below or above 5%. The method the software uses to determine pass/fail scores follows. Specifications for each type of random sample are found in Table B.1 on page B.5.

**Procedures for reviewing 30/100 samples:**

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

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

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

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

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

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

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

**Procedures for reviewing 60/200 samples:**

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

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

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

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

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

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

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

**D. Missing Subpopulations Samples**

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

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

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

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

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

**F. Minimum Samples**

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

# G. Sample Selection Specifications

Table B.1 summarizes the sampling specifications. It lists all samples drawn by the software along with the subpopulations sampled, the sample size, the sample name, the sample type, and the corresponding RV group. For example, Sample 100 is a random sample of 200 records selected from subpopulations 1.1 through 1.3 (intrastate weeks claimed), related to Group 1.01 of the RV.

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

**Column 1:** Sample number

**Column 2:** Type of Transaction (population)

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

**Column 4:** Sample Name of sampled subset

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

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

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

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

**Table B.1**

Sample Specifications

| **Benefits Population** | | **Data Element Validation Samples** | | | | **Pass/Fail Groups** | |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **(1)** | **(2)** | **(3)** | **(4)** | **(5)** | **(6)** | **(7)** | **(8)** |
| **Pop** | **Type of Transaction** | **Sample ID** | **Sample Name** | **Type and Size** | **Universe (Subpops)** | **Group Number** | **Group Name** |
| **1** | Weeks Claimed | 100 | Intrastate Weeks Claimed | Random 60/200 | 1.1-1.3 | 1.01 | 5159 Intrastate Weeks Claimed |
| 110 | Interstate Liable Weeks Claimed | Random 30/100 | 1.4-1.6 | 1.02 | 5159 Interstate Liable Weeks Claimed |
| 120 | Interstate Weeks Claimed from Agent | Minimum--6 | 1.7-1.9 | 1.03 | 5159 Interstate Weeks Claimed Filed from Agent State |
| **2** | Final Payments | 200 | Final Payments | Random 30/100 | 2.1-2.4 | 2.01 | 5159 Final Payments |
|  |  |  |  | 2.02 | 218 Final Payments |
| **3** | Claims | 300 | New Intra & Inter Liable Claims | Random 60/200 | 3.1-3.18 | 3.01 | 5159 New Intrastate & Interstate Received as Liable |
| 301 | New Intra & Inter Liable Claims | Missing Subpops  ≤ 17 | 3.1-3.18 | 3.02 | 5159 Filed from Agent |
| 305 | Interstate Filed from Agent | Minimum--6 | 3.19-3.21 | 3.03 | 5159 Taken as Agent |
| 310 | Interstate Taken as Agent | Minimum--6 | 3.22-3.24 | 3.08 | 218 Total Determinations |
| 315 | Intra and Inter Transitional Claims | Random 30/100 | 3.25-3.33 | 3.04 | 5159 Transitional |
| 320 | CWC Claims | Random 30/100 | 3.34-3.39 | 3.06 | 586 New CWC |
| 321 | CWC Claims | Missing Subpops ≤ 5 | 3.34-3.39 | 3.07 | 586 New CWC BY Established |
| 325 | Monetary Sent w/o New Claim | Minimum--12 | 3.40-3.45 | 3.09 | 218 Total Benefit Year Established |
| 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 |
| 405 | First Payments | Missing Subpops  ≤ 15 | 4.1-4.16 | 4.02 | 9050 Partial First Payments |
| 410 | First Payments | Outliers--10 | 4.1, 4.3, 4.5, 4.7, 4.9, 4.11, 4.13, 4.15 | 4.03 | 9051 Continued Weeks Compensated |
| 415 | Continued Weeks Total Payments | Outliers--10 | 4.17-4.24 | 4.05 | 586 Weeks Compensated |
| 420 | Continued Weeks Partial Payments | Random 30/100 | 4.25-4.32 | 4.04 | 9051 Continued Partial Weeks Compensated |
| 425 | Adjusted Payments | Outliers--10 | 4.33-4.42 | 4.06 | 586 Prior Weeks Compensated |
| 430 | Self Employment Payments | Minimum--2 | 4.43 | 4.07 | 586 Benefits Paid ($) |
| 435 | CWC First Payments | Random 30/100 | 4.44-4.45 | 4.09 | 586 CWC First Payments |
| 440 | CWC Continued Payments | Minimum--4 | 4.46-4.47 | 4.08 | 586 Prior Benefits Paid ($) |
| 445 | CWC Adjusted Payments | Minimum--4 | 4.48-4.49 | 4.1 | 5159 UI Weeks Compensated |
| 450 | CWC Prior Weeks Compensated | Minimum--4 | 4.50-4.51 | 4.11 | 5159 UCFE/UCX Weeks Compensated |
|  |  |  |  | 4.12 | 5159 UI Amount Paid ($) |
|  |  |  |  | 4.13 | 5159 UCFE/UCX Amount Paid ($) |
| **5** | Nonmonetary Determinations | 500 | Single Claimant Nonmon Determinations | Random 30/100 | 5.1-5.60 | 5.09 | 9052 Single Claimant Non Monetary Determinations |
|  |  | 501 | Single Claimant Nonmon Determinations | Missing Subpops  ≤ 59 | 5.1-5.60 | 5.01 | 207 Total Single Claimant Determinations and UCFE/UCX Redeterminations |
| 505 | Single Claimant Nonmon Determinations | Outliers--10 | 5.1-5.60 | 5.03 | 207 Single Claimant Denials |
| 510 | UI Multi-Claimant Determinations | Minimum--8 | 5.61-5.64 | 5.04 and 5.10 | 207 and 9052 Multi-Claimant Non Monetary Determinations |
|  |  |  |  |  |  |
| 520 | Single Claimant Redeterminations | Random 30/100 | 5.65-5.70 | 5.02 | 207 UI Single Claimant Redeterminations |
|  |  |  |  | 5.05 | 207 Separation Determinations |
|  |  |  |  | 5.06 | 207 Separation Denials |
|  |  |  |  | 5.07 | 207 UI Non Separation Determinations |
|  |  |  |  | 5.08 | 207 UI Non Separation Denials |
| **6** | Appeals Filed, Lower Authority | 600 | Appeals Filed, Lower Authority | Minimum--4 | 6.1-6.2 | 6.01 | 5130 Lower Authority Appeals |
| **7** | Appeals Filed, Higher Authority | 700 | Appeals Filed, Higher Authority | Minimum--4 | 7.1-7.2 | 7.01 | 5130 Higher Authority Appeals |
| **8** | Appeals Decisions, Lower Authority | 800 | Lower Authority Appeals Decisions | Random 60/200 | 8.1-8.52; 8.54-8.55 | 8.01 | 5130 All Decisions |
| 8.06 | 9054 All Appeals |
| 810 | Lower Authority Appeals Decisions | Missing Subpops  ≤ 21 | 8.33-8.52; 8.54-8.55 | 8.02 | 5130 UI Disposed of During Month |
| 820 | Lower Authority Appeals Decisions | Outliers--10 | 8.1-8.52; 8.54-8.55 | 8.03 | 5130 UI Decisions (by Type) |
|  |  |  |  | 8.04 | 5130 UI in Favor of Appellant |
|  |  |  |  | 8.05 | 5130 UI Decisions (by Issue) |
| **9** | Appeals Decisions, Higher Authority | 900 | Higher Authority Appeals Decisions | Random 30/100 | 9.1-9.20; 9.22-9.23 | 9.01 | 5130 All Decisions |
| 9.05 | 9054B All Appeals |
| 910 | Multi Claimant Appeals, Higher Authority | Missing Subpops ≤ 9 | 9.13 – 9.20; 9.22-9.23 | 9.02 | 5130 UI Disposed of During Month |
| 920 | Higher Authority Appeals Decisions | Outliers--10 | 9.13 – 9.20; 9.22-9.23 | 9.03 | 5130 UI Decisions (by Type) |
|  |  |  |  | 9.04 | 5130 UI in Favor of Appellant |
| **10** | Appeals Case Aging, Lower Authority | 1000 | Appeals Case Aging, Lower Authority | Outliers--10 | 10.1-10.7 | 10.01 | 9055 Lower Authority Appeals Case Aging |
| **11** | Appeals Case Aging, Higher Authority | 1100 | Appeals Case Aging, Higher Authority | Outliers--10 | 11.1-11.6 | 11.01 | 9055 Higher Authority Appeals Case Aging |
| **12** | Overpayments Established by Cause | 1200 | Overpayment $ Established | Random 60/200 | 12.1-12.7; 12.9-12.15;  12.17-12.26 | 12.04 | 227 Total Dollars Established ($) |
| 1210 | Overpayment $ Established | Missing Subpops  ≤ 24 | 12.1-12.7; 12.9-12.15;  12.17-12.26 | 12.02 | 227 Fraud |
| 1220 | Overpayment $ Established | Outliers--10 | 12.1-12.7; 12.9-12.15;  12.17-12.26 | 12.03 | 227 Non-fraud |
|  |  |  |  | 12.05 | 227 Penalty ($) |
| **13** | Overpayment Reconciliation Activities | 1300 | Overpayment Reconciliation Activities | Random 30/100 | 13.1-13.57 | 13.01 | 227 Recovered ($) |
| 1310 | Overpayment Reconciliation Activities | Missing Subpops  ≤ 56 | 13.1-13.57 | 13.02 | 227 Waived ($) |
| 1320 | Overpayment Reconciliation Activities | Outliers--10 | 13.1-13.57 | 13.03 | 227 Written-Off ($) |
|  |  |  |  | 13.04 | 227 Addition ($) |
|  |  |  |  | 13.05 | 227 Subtraction ($) |
| **14** | Aged Overpayments | 1400 | Aged Overpayments | Random 30/100 | 14.1-14.12 | 14.01 | 227 UI Total Accounts Receivable ($) |
| 1410 | Aged Overpayments | Outliers--10 | 14.1-14.12 | 14.03 | 227 Receivables Removed at End of Period ($) |
| 1420 | Aged Overpayments | Missing Subpops  ≤ 11 | 14.1-14.12 | 14.02 | 227 UCFE/UCX Total Accounts Receivable ($) |
| **15** | Overpayments Established by Method | 1500 | Overpayments $ Established by Method | Random 60/200 | 15.7-15.21 | 15.03 | 227 Dollars Established ($) |
| 1510 | Overpayments $ Established by Method | Missing Subpops  ≤ 14 | 15.7-15.21 | 15.01 | 227 Overpayment Cases Investigated |
|  |  |  |  | 15.02 | 227Overpayment Cases |

**H. Sample Sizes below the Guidelines**

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

**Table B.2**

Numbers of Errors and Conclusions for Samples under Supplemented Guidelines

|  |  |  |
| --- | --- | --- |
| **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*

Interstate Filed from Agent Records

Populations 1 and 3

**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) |
| **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) |
| **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) |
| **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 must 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 must 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 $150 | 4.17, UI cont’d payment  4.46, CWC cont’d payment | 586-101-4,  586-101-5 ($) | 5159B-301 (14,15)  5159B-302 (14,15)  9051-All-C2 |

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

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

**Table D.7**

Scenario 2

How the Steps Would be Reflected in Population 3 Validation Records

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

**Table D.8**

Scenario 2

How the Steps Would be Reflected in Population 4 Validation Records

| **Step** | **Type UI Program** | **Program Type** | **Intra/ Inter Claim** | **Type of Comp.** | **Part/**  **Total** | **Earnings** | **WBA** | **UI Amount** | **UCFE Amount** | **UCX Amount** | **CWC Amount** | **SE Amount** | **Week End Date** | **Mail Date** | **Subpop** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **2** | Regular UI-1 | UI Only-U | Intrastate  CWC-1 | First Payment | Total | 0 | 100 | 100 | 0 | 0 | 0 | 0 | 1/7/2006 | 1/13/2006 | 4.1 |
| **2** | Regular UI-1 | UI Only-U | Intrastate | Continued Payment | Total | 0 | 100 | 0 | 0 | 0 | 100 | 0 | 1/7/2006 | 1/13/2006 | 4.46 |
| **3** | Regular UI-1 | UI Only-U | Intrastate  CWC-1 | Continued Payment | Total | 0 | 100 | 100 | 0 | 0 | 0 | 0 | 1/14/2006 | 1/20/2006 | 4.17 |
| **3** | Regular UI-1 | UI Only-U | Intrastate | Continued Payment | Total | 0 | 100 | 0 | 0 | 0 | 100 | 0 | 1/14/2006 | 1/20/2006 | 4.46 |
| **6** | Regular UI-1 | UI Only-U | Intrastate  CWC-1 | Continued Payment | Total | 0 | 150 | 150 | 0 | 0 | 0 | 0 | 1/21/2006 | 2/3/2006 | 4.17 |
| **6** | Regular UI-1 | UI Only-U | Intrastate | First Payment | Total | 0 | 150 | 0 | 0 | 0 | 150 | 0 | 1/21/2006 | 2/3/2006 | 4.44 |
| **7** | Regular UI-1 | UI Only-U | Intrastate  CWC-1 | Adjustment | Total | 0 | 150 | 100 | 0 | 0 | 0 | 0 |  | 2/9/2006 | 4.33 |
| **7** | Regular UI-1 | UI Only-U | Intrastate | Adjustment | Total | 0 | 150 | 0 | 0 | 0 | 100 | 0 |  | 2/9/2006 | 4.48 |
| **8** | Regular UI-1 | UI Only-U | Intrastate  CWC-1 | Continued Payment | Total | 0 | 150 | 150 | 0 | 0 | 0 | 0 | 1/28/2006 | 2/10/2006 | 4.17 |
| **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 must 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 |
| **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 |
| **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 (re-deteminations) |
| **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 $150 | 4.17, UI Cont’d payment  4.44 CWC first payment | 586-101-4,  586-101-5 ($) | 5159B-301 (14,15)  5159B-302 (14,15)  9051-All-C2 |
| **10** | 02/10/2006 | Payment of $150 | 4.17, UI cont’d payment  4.46, CWC cont’d payment | 586-101-4,  586-101-5 ($) | 5159B-301 (14,15)  5159B-302 (14,15)  9051-All-C2 |
| **11** | 02/17/2006 | Payment of $150 | 4.17, UI cont’d payment  4.46, CWC cont’d payment | 586-101-4,  586-101-5 ($) | 5159B-301 (14,15)  5159B-302 (14,15)  9051-All-C2 |

1. A new UI intrastate claim is filed and determined sufficient on 12/02/2005. The claim and monetary establishing a $2,600 MBA and WBA of $100 are reported in the 2005-04 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 2006-01 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 2006-01 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 2006-01 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 | 01/25/2006 | 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 2006-01 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 | 12/04/2005 | 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 | 12/11/2005 | 12/16/2006 | 4.50 |
| **3** | Regular UI-1 | UI Only-U | Intrastate | Continued Payment | Total | 0 | 100 | 100 | 0 | 0 | 0 | 0 |  | 01/06/2006 | 4.17 |
| **3** | Regular UI-1 | UI Only-U | Intrastate  CWC-1 | Continued Payment | Total | 0 | 100 | 0 | 0 | 0 | 100 | 0 |  | 01/06/2006 | 4.46 |
| **3** | Regular UI-1 | UI Only-U | Intrastate | Continued Payment | Total | 0 | 100 | 100 | 0 | 0 | 0 | 0 | 01/06/2006 | 01/13/2006 | 4.17 |
| **3** | Regular UI-1 | UI Only-U | Intrastate  CWC-1 | Continued Payment | Total | 0 | 100 | 0 | 0 | 0 | 100 | 0 | 01/06/2006 | 01/13/2006 | 4.46 |
| **7** | Regular UI-1 | UI Only-U | Intrastate | Adjustment | Total | 0 | 150 | 200 | 0 | 0 | 0 | 0 |  | 02/02/2006 | 4.33 |
| **7** | Regular UI-1 | UI Only-U | Intrastate  CWC-1 | Adjustment | Total | 0 | 150 | 0 | 0 | 0 | 200 | 0 |  | 02/02/2006 | 4.48 |
| **6** | Regular UI-1 | UI Only-U | Intrastate | Continued Payment | Total | 0 | 150 | 150 | 0 | 0 | 0 | 0 | 01/21/2006 | 02/03/2006 | 4.17 |
| **6** | Regular UI-1 | UI Only-U | Intrastate  CWC-1 | First Payment | Total | 0 | 150 | 0 | 0 | 0 | 150 | 0 | 01/21/2006 | 02/03/2006 | 4.44 |
| **8** | Regular UI-1 | UI Only-U | Intrastate | Continued Payment | Total | 0 | 150 | 150 | 0 | 0 | 0 | 0 | 01/28/2006 | 02/10/2006 | 4.17 |
| **8** | Regular UI-1 | UI Only-U | Intrastate  CWC-1 | Continued Payment | Total | 0 | 150 | 0 | 0 | 0 | 150 | 0 | 01/28/2006 | 02/10/2006 | 4.46 |
| **9** | Regular UI-1 | UI Only-U | Intrastate | Continued Payment | Total | 0 | 150 | 150 | 0 | 0 | 0 | 0 | 02/04/2006 | 02/17/2006 | 4.17 |
| **9** | Regular UI-1 | UI Only-U | Intrastate  CWC-1 | Continued Payment | Total | 0 | 150 | 0 | 0 | 0 | 150 | 0 | 02/04/2006 | 02/17/2006 | 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 2005-04 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 2006-01 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 | 01/16/2006 | 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 2006-01 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 | 01/13/2006 | 01/20/2006 | 4.1 |
| **4** | Regular UI-1 | UI Only-U | Intrastate  CWC-1 | First Payment | Total | 0 | 150 | 0 | 0 | 0 | 150 | 0 | 01/13/2006 | 01/20/2006 | 4.44 |
| **5** | Regular UI-1 | UI Only-U | Intrastate | Continued Payment | Total | 0 | 150 | 150 | 0 | 0 | 0 | 0 | 01/20/2006 | 01/27/2006 | 4.17 |
| **5** | Regular UI-1 | UI Only-U | Intrastate  CWC-1 | Continued Payment | Total | 0 | 150 | 0 | 0 | 0 | 150 | 0 | 01/20/2006 | 01/27/2006 | 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 2005-04 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 2006-01 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 | 02/06/2009 | SUFFICIENT NEW BY | Less than Maximum | 7540 | 26 | Y | 3.04 |
| **2** | 2/2/2009 | Regular UI | CWC NEW | UI | CWC Intrastate | 02/06/2009 | 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 | 01/06/2009 | 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 | 01/06/2009 | 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 | 02/06/2009 | 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 | 02/06/2009 | 2/10/2006 | 4.44 |

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 +2%. If the counts differ by more than +2%, then the state must investigate and advise its Federal regional office of its findings and what it is doing to reconcile the differences. [↑](#footnote-ref-2)
2. All records in the database on last day of reporting period [↑](#footnote-ref-3)
3. File constructed directly from database [↑](#footnote-ref-4)
4. File with accumulated records used for ETA reports [↑](#footnote-ref-5)
5. Step numbers 15, 22, 29, 41, and 43 are no longer used but have been retained in Module 3 as placeholders. All steps but step 41 correspond to time lapse calculations that are now automatically validated by the software. Step 41 is no longer validated. [↑](#footnote-ref-6)
6. The appropriate substeps for each population are specified on the population tables in Appendix A. [↑](#footnote-ref-7)