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INTRODUCTION
INTRODUCTION

What is the purpose of TPS?
The TAX PERFORMANCE SYSTEM (TPS) Program provides information for the State Employment Security Agency (SESA) and the Department of Labor (DOL) in order to assess the quality of the State's Unemployment Insurance (UI) tax operation. At the SESA level, this information helps State Administrators improve, where warranted, the revenue operation of their UI programs. At the Federal level, the information helps DOL carry out its responsibilities of oversight, technical assistance, and policy development.

A considerable amount of data is gathered during TPS reviews. It is used for analysis and reports and is shared among the States. Data is gathered for each of the six tax functions reviewed:

- Status Determinations
- Cashiering
- Report Delinquency
- Collections
- Field Audit
- Account Maintenance

Each of these functions has information derived from one or more of the following methods used in the TPS procedures:

- Computed Measures
- Methods Surveys
- Program Reviews (consisting of Systems Reviews and Acceptance Samples)

What is the purpose of this handbook?
To help use the data collected, an automated system has been developed to store all information. This handbook was developed to explain this automated system — both what the system is and how to use it.

All TPS units have access to the UI computer system. This system is also used by the Benefits Quality Control (BQC) Program, the UI Required Reporting (UIRR) system, and other UI projects. Data entry terminals will be available within each TPS unit providing
INTRODUCTION

connectivity to the computer. The system is designed to allow access only to users having proper approval to prevent unauthorized use by other people on the UI computer.

The first chapter, "Getting Started — Overview," provides background information on the user's guide, including the standard or global EDP rules for using the data entry system. The remainder of the guide is organized following the data processing programming modules that are developed for entering TPS data. Separate chapters address the three methodologies used in the TPS investigative process and each is a separate module in the automated system.

A Quick Tour of the Contents

The user's guide is divided into the following chapters:

- Getting Started - An Overview introduces you to the computer equipment needed to run the TPS software and the software necessary to support the TPS system, both commercially purchased and custom developed packages. Also described are the setups needed to allow TPS users permission to enter data. Instructions are given for global procedures — such as cursor movement, menus, menu bars and the mouse — used in all data entry sessions regardless of the module involved.

- Computed Measures provides detailed data entry instructions for the Computed measures module. This chapter is further broken into subsections, one for each of the tax functions using measures: Status Determinations, Report Delinquency, Collections and Field Audit. Within each subsection you are given detailed steps in using the software. This includes what each screen looks like, how data is retrieved, updated, deleted etc. along with edits, error messages and help provided.

- Methods Survey will cover the detailed data entry instructions for
the Methods Survey module. As in the chapter, *Computed Measures*, it will be further broken into subsections for each of the tax functions using surveys: Status Determinations, Report Delinquency, and Collections.

*Program Review* [to be developed] will provide detailed data entry instructions for the Program Review module. It will contain two subsections reflecting the two portions of a program review: Systems Review and Sampling. These will be broken down further with sections for each of the tax functions using either of these methodologies.

*Other Management Tools* [to be developed] will provide the capability to produce miscellaneous reports or add other features to the system as enhancements.

*Technical References* includes a glossary, database table layouts, path names, utilities, and data elements used along with their definitions.
GETTING STARTED — OVERVIEW
This section introduces you to the computer equipment and required software — both commercially purchased and custom developed packages — needed to support the TPS software. Information is provided about the setups you need to get TPS user’s permission that will let you enter data. Also described are global procedures — such as cursor movement, menus, menu bars, and the mouse — you will use for all data entry sessions regardless of the module involved.

Let's begin with a description of automated processing in a broad, general manner, including commonly used terms and definitions.

**Hardware**

*Hardware* is the physical equipment that operates the system, such as the *central processing unit (CPU)*, terminal, modem, and printer. The CPU inside the computer receives data from information entered from the keyboard, another input device, or program.

The *terminal* is the screen (monitor) and the keyboard. More than one terminal can use a single CPU. There are two ways to join the terminal with the CPU. One way is directly (hard-wired) through electrical cables. The other way uses a *modem* that sends the signals from the keyboard over a telephone line to the CPU.

The *printer* produces a paper or hard copy of information contained in the computer.

A *disk* is a flat, circular plate with a magnetic surface where data and programs reside. The *hard disk* is a permanent, internal part of the computer. A *floppy disk*, also called a *diskette*, is portable and stores copies of the software or other information produced by the computer.

*Magnetic tape* is like a floppy disk but stores much more information. The computer system currently uses only magnetic tape, specifically either 9-track tape or 8 mm cartridge Exabyte. A
tape (or a floppy disk) can transfer its contents to other machines, archive old data, or restore information accidentally removed from the hard disk.

Software

Software is a collection of step-by-step instructions, called programs, written in a language the computer understands and can execute. Some programs do a particular task that the user initiates, while other programs work without the user's knowledge to internally control the computer's operation.

A menu is a list of options appearing on the monitor. It may be a list of programs or commands. This section describes different types of menus used in the TPS system. A menu-driven system allows you to execute complicated tasks without knowing technical computer language and commands.

Data are an aggregate collection of information stored in the system. Data reside in files. The file structure is a logical way of storing data. Understanding this structure helps you to find the data you need and to create new databases.

Files reside in directories. A directory is a hierarchical way of grouping data and programs contained on the system. The software contains a standardized directory structure for each account.

Database Systems

Another component of software is the database system. A database system is a collection of data stored in the computer in a logical and consistent manner. Using this type of system allows the development of multiple applications using a common database. Also, the database system allows the computer to store data efficiently and yet allow easy retrieval.

Relational Database. A relational database is a collection of data stored in two or more tables that share a common column-name [key field] that joins the tables together in a single database. This
key field allows you to create relationships across tables when querying a database. You can look at data stored in several tables as if they were a single table.

To create a relational database, you must first create a database and then several tables. All the tables need a key field to link them together. Tables can be linked by naming one column in each table the same. A join field is a single field that represents data from columns in different tables. All the tables must belong to the same database.

**INFORMIX-SQL.** This commercial software product created the UI database (UIDB) you are using. INFORMIX-SQL is the database management component of the package. It organizes, stores, and retrieves data. Once you become familiar with the user guide received with the INFORMIX package, you can begin to create useful programs and reports yourself.

An INFORMIX database has tables, rows, columns, screen forms, reports, and files. A table organizes data into rows and columns. A row is a record in the table containing all the data fields. A column contains the data of a specific field for each record. A screen form enters data into the system from the keyboard. You can create a screen form by selecting a table name, then compile it to the newly generated form name. A report allows you to arrange and format database information. You can then direct the resulting output to the monitor, to a printer, or to a file. A database file is a collection of records or rows.

For example, you may decide to make a database for information relating to allocating personnel for a review of a tax function for a year and quarter. You decide that the information contained in the table should be login id, tax function, year, and quarter. This information for each login id is a row. Individual items, such as
login id, are column or field names. Several rows make a table; several related tables make a database.

Files do not always contain data. Some contain text, such as a word processing file (a letter) or instructions for the computer to follow (a program). In using the system, you may create and name files. Remember to create a unique name for each file so that the computer will know where to find the information stored in them.

Window Systems

A window system is a collection of programs that lets you use and display many different applications on a single workstation screen. By dividing the screen into several small, possibly overlapping sections, called windows, you can run multiple login sessions simultaneously on different hosts. These can include graphics display programs, figure drawing programs, mail reading programs, and text reviewers.

Let's briefly discuss three types of commercial window software products — JAM, Motif, and eXceed.

JAM. This commercial software product created the software you're using. It has a graphics user interface (GUI), which includes the screen form development interface, a Reportwriter interface, and a programming language of its own which was used in the development of the TPS applications. JAM provides a variety of components for screen development called widgets. These include such things as pushbuttons and scroll bars, which give the application a graphics look.

Motif. This software provides guidelines on how a window system user interface for graphical computers should look and feel. The user interacts with the application by typing at the keyboard and by clicking, selecting, and dragging various graphic elements...
of the application with the mouse. Once the application is running, the user controls the application by choosing graphical elements rather than typing commands. Motif uses highlighting and shadowing to make buttons and other components look three-dimensional. For example, when a button is clicked on, it appears to be pressed in and released.

**eXceed.** *eXceed* is an X-emulation software program that gives your PC graphics capability. It acts as if it were a terminal by sending characters to, and receiving characters from, the computer. When eXceed receives special characters that would tell a real terminal what to do — such as clear the screen or move the cursor — it translates these special characters into the commands to do this on the display.
GETTING STARTED

Examples of Windows

Let's now look at the many types of windows designed using JAM and Motif.

Main Menu Window

The UIS Main Menu, shown below, is an example of a main menu window. This type of menu is a popup vertical menu. The cascade pixmap as shown in the figure indicates the presence of submenus for the menu option in focus.

Example: Main Menu Window

The menu leads you to the particular software program you want to run. You can choose an item from the menu in a variety of ways:
Click on the option with the mouse.

Highlight the option with the up or down arrow (89) keys, then press enter or the space bar.

Press the mnemonic entry (the underlined letter in the option, example, "R" for, "B" for Benefits Quality Control).

Continue making selections from the vertical popup menus until you reach the program you want to run. Once the program you want appears, different screens or menus are displayed.

The Utilities menu is used to select a particular X-windows utility you want to perform. Although the menu does not include all the utility applications available for the X-Windows system, it has the most used and most useful utilities (example, calculator, clock, mail tool).

To activate a utilities menu, click the right mouse button outside all windows, or put the cursor in the top left corner and press [Esc]. Shown below is an example of a Utilities menu window.
Example: Utilities Menu Window

![Utilities Menu Window](image)

This is a vertical menu. The options displayed lead you to the particular commercial software you want to run.

You can pick an item from the menu in various ways:

- Click on the option with the mouse.
If you accessed the Utilities menu using $\text{F2}$, there are two additional ways to choose a menu option.

- Highlight the option with the up or down arrow ($\text{89}$) keys, then press $\text{Enter}$ or the space bar.

- Press the mnemonic entry (example, "l" for Clock, "a" for Calculator).

Once you arrive at the program you want to run, different screens or menus appear depending on the program. These applications were not developed by TPS. Separate user manuals for the respective products are available. Check with your State's SUN Systems Administrator for more information.

**xterm Command Line**

You can use the xterm command line, if required, to access and edit files. It will not normally be used to run TPS applications.

To activate an xterm command line, click the middle mouse button (for a three-button mouse) or the left and right buttons simultaneously (for a two-button mouse) outside all windows, or position the cursor in the top left corner of the screen, then press $\text{F4}$. 
Shown below is an example of an xterm command line in an xterm window.

*Example: xterm Window*
Menubar

The menubar is another common menu. Although every application has a menubar, the options displayed on the menubar may differ depending on the application. However, as a standard, the Help option will be in the right corner of the menubar. Shown below is an example of a window displaying a typical menubar.

Example: Window with Menubar

You can access a menubar two ways.

- Click with the mouse on any option on the menubar.
- Press the key. The first menu option in the menubar appears; when active, it is raised. You can navigate the menu options by using the left and right arrow keys.
You can then also use the mnemonics to access the submenus under each menu option (example, "F" for File, "H" for Help).

Each menu option on the menubar has one or more submenu options. The submenu options differ depending on the requirements of the application. However, the Exit option — which is used to exit the application — always appears under the first menu option of the menubar. The Help option has four submenu options: Context Sensitive Help, Overview, Keyboard, and Product Information.

Tear-off Menu. Each menu option on a menubar has a tear-off feature to separate submenus from the main menu. This feature is useful if you want to keep certain menus on the screen at all times. Commonly used items can then be quickly accessed without having to pull down the menu.

To detach a submenu from its main menu, simply click the mouse on the perforated line below the respective menu option.
### Getting Started

#### Overview

![Diagram of Data Entry Users Guide](image)

Perforation for tear-off

<table>
<thead>
<tr>
<th>Entry</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Report &amp; Element #</td>
</tr>
<tr>
<td>2</td>
<td>RGC EID ID</td>
</tr>
<tr>
<td>3</td>
<td>UBRRI</td>
</tr>
<tr>
<td>4</td>
<td>RGC</td>
</tr>
</tbody>
</table>

- New Established Accounts
- New Established Accounts (90 days or less)
- New Established Accounts (100 days or less)
- Successor Accounts
- Successor Accounts (90 days or less)
- Successor Accounts (150 days or less)
Shown below is an example of a window with the menubar and the tear-off menus.

To close a tear-off menu window, click on the top left corner window menu button. A pull-down menu appears. Choose the "Close" option from the pull-down menu.

**Example: Tear-off Menu Windows**
**Customizing Your Menu System**

The designers of the TPS software have tried to give as many opportunities as possible for SESAs to customize the menu systems to best suit individual State operations.

Menu systems for accessing software programs are coded in a setup file called ".mwmrc", which is located in the system directory - /usr/lib/X11/system.mwmrc. You can customize the menu system by copying this file into your home directory and modifying the code to change or add menu options. For more information on modifying this setup file for menu systems, refer to the manual pages on the SUN system under the topic "mwm".
Help Window

Depending on the application, you can get either context-sensitive help or screen help/overview for most screens.

To get any of the following Help options, click on Help in the menubar or press `F1`:

- Context Sensitive Help
- Keyboard
- Overview
- Product Information

Shown below is an example of a typical Help window.

Example: Help Window
Error Messages are statements that appear when an error condition occurs while performing an application.

Error messages are displayed in an error message dialog window. The error dialog is titled ERROR and has a graphic symbol shaped like a hexagon. The pushbuttons shown on the error dialog are application dependent. You can move the error window on the screen, but must first respond to the error message before continuing data entry or choosing any other menu operations.

Shown below is an example of a typical error message dialog window.

Example: Error Message Dialog Window
A warning message is a statement that appears on the screen advising you to proceed cautiously with a chosen operation in the application.

Warning messages are displayed in a warning message dialog window. The warning dialog is titled WARNING and has a graphic symbol shaped like an exclamation point (!). The pushbuttons displayed on the warning dialog are application dependent. You can move the warning dialog on the screen, but must first respond to the warning message before continuing data entry or choosing any other menu operations.

Below is an example of a typical warning message dialog window.

**Example: Warning Message Dialog Window**
Informational messages are statements that display meaningful information regarding a field, screen, application, or a process in operation.

These messages appear in a message dialog window or on the status line in the window. The message dialog window is titled MESSAGE and has a graphic symbol in the shape of the letter "i". The pushbuttons displayed on a message dialog are application dependent. You can move a message dialog on the screen, but must first respond to the informational message before continuing data entry or choosing any other menu operations.

Shown below is an example of a window with a typical informational message dialog window.

**Example: Informational Message Dialog Window**

![Message Dialog Window Example](image-url)
Informational messages such as processing messages may also be displayed on the status line.

Shown below is an example of a window with a status line message.

*Example: Window with a Status Line Message*
Prompt messages are requests asking users for input information needed to continue the operation of an application. These messages are displayed in a window called a prompt dialog window. This window is titled and has a graphic symbol and pushbuttons that are application specific. You can move the prompt dialog on the screen, but must first respond to the prompt before continuing data entry or choosing any other menu operations.

Shown below is an example of a typical prompt message dialog window.

Example: Prompt Message Dialog Window

![Prompt Message Dialog Window](image)
GETTING STARTED

File Selection Dialog Window

A selection dialog window provides you with options such as selecting files or codes.

Files or codes are displayed in a selection dialog window. The prompt dialog has a title and a graphic symbol and pushbuttons that are application specific. You can move the selection dialog window on the screen, but must first respond to the selection dialog window before continuing data entry or choosing any other menu operations.

Shown below is an example of a typical File Selection dialog window.

Example: File Selection Dialog Window

![File Selection Dialog Window](image_url)
The TPS software is loaded on the SUN system. Since the software has been developed using a graphical user interface (GUI), a PC with X-emulation capability or an X-terminal should be used to access the software.

If a PC is used, the X-emulation software eXceed should be first triggered to login to the SUN system and then execute the applications.

If an X-terminal is used, a startup script file is automatically executed when you login to the SUN system. This script provides the terminal with the required graphics capability needed to execute the applications.

To help you interpret information easily, this guide uses consistent visual cues and window descriptions, known as conventions. They are:

- **Bold Courier font**  Copy that you type
- **Bold regular type**  Buttons on the screen
- **Regular Courier font**  Text, other than buttons, that appears on the screen
Logging In
On a PC

Execute the windows program on your PC. Double click on the red "X" option on the eXceed window. Once the eXceed software program is triggered from the windows environment and the terminal is ready for use, the login window appears on the screen. Shown below is the login window.

The screen displays two prompts, the login and the password.

The System Administrator in each agency provides each user with a login name, also known as the user name or the account name. Enter the login name, then press Enter.
Everyone using the system has an account with a unique login name. Anyone using an account may access the files and functions granted that specific account. This is why it is important to keep your password private. It helps to ensure that only you access the subsystems assigned to your account. The password should be known only to you to ensure that others cannot use your account. You decide the password. Check with your System Administrator to learn how to set and change your password.

Change your password frequently. Do not use a common dictionary word. To deter unauthorized users from successfully discovering your password, it should ideally incorporate capital letters and numbers in unusual positions in the word. Type your password, then press [Enter].

If you make a mistake when entering your login name or password, an error message "Login Incorrect" appears and prompts you to reenter the identification parameters. Reenter your login and password until a new screen appears. If no new screen appears after a couple of tries, ask your System Administrator for help.
The screen that appears after successful login may contain either messages from your System Administrator or a window showing a variety of menu options. The following is a sample of the window displayed.

Menu Options Window

```
WELCOME TO THE UIS SYSTEM
-----------------------------

UIS MAIN MENU - Press F2 OR Left Mouse Button
(pointer outside of all windows)

UTILITIES MENU - Press F3 OR Right Mouse Button
(pointer outside of all windows)

XTERN COMMAND LINE - Press F4 OR Middle Mouse Button
(pointer outside of all windows)

EXIT - Press F12
```
Logging In
On an X-terminal

When an X-terminal is ready for use, the following prompt should appear on the screen:

```
Login:
```

A prompt is the computer's way of asking you to enter information by typing on the keyboard. Your System Administrator provides you with a login name, also known as a user name or an account name. Type your login name when the Login prompt appears, then press Enter.

Another prompt appears asking for your password. The password should be known only to you to ensure that others cannot use your account. You decide the password. Check with your System Administrator to learn how to set and change your password.

The password should be changed frequently and should not be a common dictionary word. To deter unauthorized users from successfully discovering your password, it should ideally incorporate capital letters and numbers in unusual positions in the word. As only the first eight letters are "read" by the computer, additional characters will be ignored. Enter the password, then press Enter as you did at the Login prompt. This time the letters entered from the keyboard do not appear on the screen.

If you make a mistake entering either your Login name or password, the Login prompt appears again. Reenter your Login and password until a new screen appears. If no new screen appears after a couple of tries, ask your System Administrator for help. The screen that appears after a successful login may display messages from your System Administrator or a window with a variety of menu options. Refer to the Menu Options window shown above.

Message Screen

A message screen is created by your State System Administrator to display messages, called the message of the day (motd), that you and
other users would want to know when you login. Such messages can include, for example, changes in system software, a list of scheduled down-times, or the name of newly installed third-party software. The motd is the screen you see after you login.

The System Administrator's message screen could look something like this:

**Message Screen**
Logging Off

To log off, simply press [F12] from the Menu options window or choose the "Exit" option from the Utilities menu. A window pops up with the message "QUIT Mwm?". You have two options. To log off the system, click on OK, or press the space bar or [Enter]. To return to the Menu options window, click on Cancel.

Logoff Window

![Logoff Window Image]
GETTING STARTED

Accessing TPS Programs

After logging in, the TPS applications are available via the UIS Main Menu choice on the Menu Options window, shown below.

Menu Options Window

You can access the UIS menus two ways:

- Click and hold down the left mouse button outside all windows, or
- Press $\text{[F]}$.
If either of these alternatives is chosen, the UIS Main Menu, shown below, appears.

If you choose to access the menus using the mouse:

- The triangular cascade pixmap, shown below, indicates there are additional submenus for the menu option in focus. When you release the mouse button on the cascade pixmap (↓), the menu stays on the screen and displays submenus for the menu option chosen.

If you choose to access the menus using ⌘:

- The UIS Main Menu appears and stays on the screen for you to choose additional options. Clicking on the cascade pixmap displays submenus for the menu option chosen.

UIS Menu System Window
Choose the first option from the UIS Main Menu. The TPS Main Menu, shown below, appears.

You can choose an item from the menu various ways.

- Click on the option with the mouse.
- Highlight the option with the up or down arrow (89) keys, then press [Enter] if the menu was chosen using [2] or if the menu stayed on the screen.
- Press the mnemonic entry (example, "R" for TAX PERFORMANCE SYSTEM, "B" for Benefits Quality Control) if the menu was chosen using [2] or if the menu stayed on the screen.

TPS Main Menu
If you choose the Computed Measures option from the TPS Main Menu, you'll see the Computed Measures Menu, shown below.

Computed Measures Menu
Permissions

Permissions are controls that give you access to TPS applications. You can access the applications only if your account exists in the TPS security table (c_security). If no account exists for you in the TPS security table, you'll see the message,

You have no access to this application.

However, all users have "select" permissions to the TPS database tables in UIDB.

If your access is denied for the application or you don't have your permissions set up, please check first with your State System Administrator or if necessary call the National Office Hotline for assistance.

The following sections in Appendix F describe programs developed specifically for TAX PERFORMANCE SYSTEM applications in the order of their respective positions on the menu.

Computed Measures

Methods Surveys

Systems Review

Acceptance Sampling

Other Management Tools
COMPUTED MEASURES
### Defining Computed Measures

*Computed measures* are indicators of the timeliness and completeness with which unemployment insurance (UI) tax transactions occur. To calculate these measures, TPS uses a series of data elements which States report through the existing Federally required reporting system.

Computed measures are used in four tax functions of TPS:

- Status Determination
- Report Delinquency
- Collections
- Field Audit

### Accessing Computed Measures

You can access these functions by going to the UIS Main Menu, choosing TAX PERFORMANCE SYSTEM, then choosing the Computed Measures menu.

### Source of Data for Computed Measures

Data needed to compute the TPS measures come from reports submitted to the National Office as part of the UI Required Report (UIRR) System. The reports from which data are used are:

- ETA 581 - *Contributions Operations*
- ETA 2112 - *UI Financial Summary, Unemployment Fund*
- Bureau of Labor Statistics (BLS) ES 202 - *Employment, Wages and Contributions*

Data for these reports are stored within the UI Data Base System (UIDB) maintained at both the State and National Offices.
How Computed Measures Are Gathered

The software developed for TPS automatically accesses the UIDB and, with computer coded instructions, calculates the necessary measures. New measures are available on a quarterly basis; however, the TPS software allows you to request the calculated measures as of any quarter.

There are 21 different measures. Some measures require data from more than one report quarter. TPS software automatically determines which quarters to use after the ending or “as of” year and quarter have been entered into the system.

Normal Use of Computed Measures Software

This guide explains how you can use the TPS software.

Although this guide is organized according to the order which the menu options appear on the screens, for Computed Measures you will normally use the software to simply generate reports. There are options allowing you to update the data originally reported. If all elements were originally reported accurately, you will not need to update the original data. If, however, the data are either inaccurate or missing, you will also use the software to query and update the data.
STATUS DETERMINATION
The main purpose of the status determination function is to identify newly established employers and successor employers who are liable for unemployment insurance (UI) coverage and to help them comply with State UI laws and written policies.

To ascertain the timeliness of new and successor status determinations, there are four computed measures:

- Percentage of status determinations made within 90 days from the last day of the quarter in which the business of newly established employers first became liable.
- Percentage of status determinations made within 180 days from the last day of the quarter in which the business of newly established employers first became liable.
- Percentage of status determinations made within 90 days from the last day of the quarter in which the business became a successor.
- Percentage of status determinations made within 180 days from the last day of the quarter in which the business became a successor.

To access the Status Determination function, go to the UIS Main Menu and choose the TAX PERFORMANCE SYSTEM option. In the TPS Main Menu, choose the Computed Measures option. When the Computed Measures Menu appears, choose the Status Determination option. These three menus are shown on the next page.
To display the Status Determination main window, shown on the next page, choose the Status Determination option from the Computed Measures Menu.
Status Determination Main Window

The main window has a menubar at the top with the following options: File, Database, Reports, and Help. Under each menubar option are the following options:

- **File.** Consists of Open, Save As, Print, and Exit. The Print option is further subdivided into System and Local.

- **Database.** Consists of Query, Update, Save, and Delete.

- **Reports.** Consists of Generate.

- **Help.** Consists of Context-Sensitive Help, Overview, Keyboard, and Product Information.
The menubar options have a tear-off feature that lets you separate the pull-down menu options. This feature is useful if you want certain pull-down menus to remain on the screen for repetitive use. Normally these pull-down menus disappear after making your selection. To separate the menu options, simply click the mouse on the perforation under the menu option.

Menu Option with Perforation
Shown below are the tear-off menus for the Computed Measures menu bar.

**Tear-off Menus**

![Tear-off Menus](image-url)
To access the menubar using the keyboard, simply press `F10` on the main window. The first option on the menubar is now highlighted. Using the left or right arrow key, you can move to any of the menu options desired. To activate the menu option, simply press `Enter`.

To access options from the Database menu on the menubar, you can use one of the following methods:

- **Under the Database option:**
  
  - Type `q` or use arrow keys to move to the Query option, then press `Enter` to access Query.
  - Type `u` or use arrow keys to move to the Update option, then press `Enter` to access Update.
  - Type `s` or use arrow keys to move to the Save option, then press `Enter` to access Save.
  - Type `d` or use arrow keys to move to the Delete option, then press `Enter` to access Delete.

You can also access some options under the Database menu option with fewer keystrokes by using what are termed "hot keys". From the Status Determination main window:

- Press `<Ctrl-q>` to access Query.
- Press `<Ctrl-u>` to access Update.
- Press `<Ctrl-s>` to access Save.
- Press `<Ctrl-d>` to access Delete.
The operation of this part of the TPS program is explained in the following sections:

- data entry
- reports generation
- help
**Data Entry Section**

The data entry section enables you to enter missing data or correct inaccurate data retrieved from the UIRR database tables into the TPS database tables.

**Accessing Data Entry**

To access the Data Entry section, go to the Status Determination main window. Click on Database in the menubar, then choose Query. The Search Criteria window appears, as shown below.

**Search Criteria Window**

![Search Criteria Window](image)

A year and quarter must be entered that represent the “Report Year and Quarter” requested for updating.
Editing Data

You can edit data entered on screens by following one of the methods below:

- If data need to be overwritten, press the "Insert" toggle key (on a PC) or the "Insert Here" toggle key (on an X-terminal, such as a Qume), then type over the required characters.

- If a single character of the data needs to be erased, press the arrow key to move the cursor before the character that you want to erase. Then press DELETE (on a PC) or the backspace key (on an X-terminal) and reenter the required data.

- If the contents of the entire field need to be erased and if the field is already highlighted by default, simply press DELETE (on a PC) or the backspace key (on an X-terminal).

- If the contents of the entire field need to be erased and if the field is not already highlighted by default, highlight the field by clicking the mouse on the data field and dragging the mouse the entire length of the field, then press DELETE (on a PC) or the backspace key (on an X-terminal).

Validating Data

The Search Criteria window displays the parameters year and quarter. Three pushbuttons appear at the bottom — OK, Cancel, and Help.

In the box to the right of "1) PLEASE ENTER THE REPORT YEAR: ", type the year of the report you want to inquire about in a YYYY format.

Example: 1991
For the year to be valid, it must satisfy the following validation criteria. The year cannot be:

- blank
- greater than the current year
- less than UIRR-MIN-YEAR where UIRR-MIN-YEAR is the oldest record entered by UIRR existing in the database.

If any of these criteria are not met, an error message appears and the cursor moves to the field in error. Type a valid year. After you've typed a valid year, the cursor automatically goes to the quarter field.

In the box to the right of "2) PLEASE ENTER THE REPORT QUARTER: ", type 1, 2, 3, or 4 — the number representing the quarter of the report year you want to inquire about. The cursor then goes to OK. Click on OK or press Enter.

For the quarter to be valid, it must satisfy the following criteria:

- The quarter cannot be blank.
- The valid values of quarter must be 1 through 4.

If either criterion is not met, an error message appears and the cursor moves to the field in error. Type a valid quarter.

After you type a valid year and quarter, the control automatically goes to the OK pushbutton. To return to the main window, choose Cancel. To display help messages related to the Search Criteria window, choose Help.
To have the program check for the validity of the query parameters and accessibility of the record in the database, choose **OK**. The following validations will be performed.

**Validation 1**

If the selected year is the current year, the program checks to ensure that you have access to the records.

*Example:* If the query year you enter is 1995 (the same as the current year) and the current month and current day are 03 (March) and 15 (day), respectively, the validation check will be as follows:

- IF selected quarter = 1
  earliest access date = "05/20/1995"
- IF selected quarter = 2
  earliest access date = "08/20/1995"
- IF selected quarter = 3
  earliest access date = "11/20/1995"
- IF selected quarter = 4
  earliest access date = "02/20/1996"

In this example, you will not have access to data for the year 1995. An error message will indicate your access has been denied and you'll be prompted to reenter the query.

**Validation 2**

Assuming the program passes Validation 1, it then checks the existence of the UIRR record for the query parameters requested. If the UIRR record exists, the control moves to check Warning 1. If no record exists, an error message indicates the record is unavailable and you're prompted to reenter the query.
**Warning 1**

Assuming the query parameters pass Validations 1 and 2, the mail flag in the UIRR record is then checked to ensure that UIRR is not in the process of revising the record. The valid value for the mail flag is "2" (Sent). If the value of the mail flag is either "0" (New) or "1" (Revision), a warning message appears indicating that UIRR is currently modifying the record and you're prompted if you want to continue the display process. You have two options:

- Yes - Goes ahead with display.
- No - Returns to reenter different query parameters.

Once the validations are complete, the Search Criteria window closes and the record appears on the main window. Two columns of data are displayed: the UIRR column with data from the UIRR database, and the TPS column with data (if data have been previously entered) from the TPS database.

From the Database menu, you can now choose the **Update** option if you want to update a TPS record, or the **Delete** option if you want to delete TPS data that were previously entered. If you choose **Update**, the cursor moves to the first field in the TPS column.

You can get context-sensitive help only in this mode. To access it, click on Help in the menubar and choose Context-Sensitive.

The validation edit check for updating the record is given below:

**Warning**

If any of the data entry fields are set to "0", you'll see the warning message, "Do you really want to set this field to 0?". You have two options:
### Computed Measures Status Determination

<table>
<thead>
<tr>
<th>Yes</th>
<th>Goes ahead and sets the value to 0.</th>
</tr>
</thead>
<tbody>
<tr>
<td>No</td>
<td>Returns control back to the field for the user to change value.</td>
</tr>
</tbody>
</table>

### Relational Edits

There are certain relationships between fields. The software will perform the following validations:

**Validation 1.** If SD2 > SD1, then an error message indicating that SD2 cannot be greater than SD1 is displayed and the cursor is set on the field SD2.

**Validation 2.** If SD3 > SD1, then an error message indicating that SD3 cannot be greater than SD1 is displayed and the cursor is set on the field SD3.

**Validation 3.** If SD3 < SD2, then an error message indicating that SD3 cannot be less than SD2 is displayed and the cursor is set on the field SD3.

**Validation 4.** If SD5 > SD4, then an error message indicating that SD5 cannot be greater than SD4 is displayed and the cursor is set on the field SD5.

**Validation 5.** If SD6 > SD4, then an error message indicating that SD6 cannot be greater than SD4 is displayed and the cursor is set on the field SD6.

**Validation 6.** If SD6 < SD5, then an error message indicating that SD6 cannot be less than SD5 is displayed and the cursor is set on the field SD6.
Saving Data
To save the updated record to the database, select **Save** from the **Database** option. The validations are then performed again. After the validations are complete and the record has been written to the database, you'll see a message on the status line indicating that the record has been successfully updated. However, if you want to cancel the process, after you select **Update**, any active menu items under **File**, **Database**, or **Reports** options can be chosen. If you choose any of these options, you'll see the warning message, "Latest changes have not been saved, do you wish to save before continuing?" You have three options:

- **Yes** - Saves the record and continues with the menu item process chosen.
- **No** - Does not save the record but continues with the menu item process chosen.
- **Cancel** - Returns to the "Update" mode.

Deleting Data
If you choose **Delete** from the **Database** option, you'll see the warning message, "Are you sure you wish to delete?" You have two options:

- **Yes** - Deletes the TPS record and clears the TPS column displayed.
- **No** - Returns you to the main window.
The Report Generation option enables you to generate, view, save, and print three types of reports:

- Computed Measures report
- Database Display report
- Data Elements and Formulae Used report

To display the Report Selection window, go to the Status Determination main window. Click on Reports in the menubar, then choose Generate. The Report Selection window, shown below, is displayed.
The top of the window lists the types of reports you can generate:

- Computed Measures
- Database Display
- Data Elements and Formulae Used

The bottom of the window features six pushbuttons:

- Generate
- Save As
- Preview
- Cancel
- Print
- Help

Four pushbuttons — Generate, Preview, Print, and Save As — are active or inactive, depending upon previous actions. For example, you cannot preview or print a report before the report is generated.

**Generating Reports**

The first time you access the Report Selection window, the default report — which is the Computed Measures report — is highlighted both at the top and in the Report Selected window. The Generate pushbutton is active. If you want to generate a report other than the default report, click on the report desired in the list or highlight it with an arrow key, then press Enter and that report name will appear in the Selection window.

When you choose either a Computed Measures report or a Database Display report and then press Generate, a Search Criteria window prompts you for Year and Quarter of the report. If, however, you choose a Data Elements and Formulae Used report, no Search Criteria window is displayed. The validations on parameters on this Search Criteria window are similar to the validations described in the Data Entry section. This represents the "Year and Quarter" ending date for which the measure will be calculated.
When you type valid year and quarter parameters, the Search Criteria window closes and you see the following message on the status line,

Report Generation in Progress ... Please Wait

When the report generation is completed, the pushbuttons PreView, Print, and Save As become active.

**Viewing Reports** To view a report on the screen, choose PreView. Shown below is an example of a PreView window.

**PreView Window**

You can scroll through the report by either clicking with the mouse on the scrollbar on the right side or pressing the PageUp/PageDown buttons. To close the window and return to
the Report Selection window, either click on the Close button or press \[ \text{tab} \] three times to highlight the Close button, then press the space bar.

**Printing Reports**  
To print a report, choose Print. The Printer Selection window, shown below, appears.

**Printer Selection Window**

You have two options: System Printer and Local Printer. The system printer is attached to the SPARC system, and the local printer is attached to your workstation. At the bottom of this window there are three pushbuttons: OK, Cancel, and Help. When
you choose OK, the Printer Selection window closes, the report is printed on the printer selected, and you're returned to the Reports Selection window. Choose Cancel to return to the Reports Selection window. Choose Help to view help messages related to the printer selection window.

See examples of printed reports in the Samples of Reports section.

Saving Reports

A session begins when you log on and ends when you log off. When a session ends, none of the reports generated during the session is automatically saved because the UIRR data may have been changed between sessions. Thus, each time you logon, the reports (computed measures and the data base display) must be regenerated. Therefore, if you want to save a report, you need to use the Save As option.

To save a report, choose Save As. The Save As window, shown below, appears.

Save As Window

At the bottom of the Save As window three pushbuttons appear: OK, Cancel and Help. If you choose OK, the default report name and path are used and the file is saved in the default directory which is your home directory. However, if you choose to change
the default path and/or the filename, type over the default path/filename with a path/filename of your choice.
Click on the **OK** pushbutton to accept input and invoke the "Save" process. Using the keyboard, you can use the **Tab** key to move to the pushbutton **OK** and then use the arrow keys to traverse the pushbuttons. To activate a pushbutton option, press the space bar when the focus is on the pushbutton desired. Any file saved will be checked for valid path and filename. Shown below are the default filenames generated by the system for each report selection.

<table>
<thead>
<tr>
<th>Report Selection</th>
<th>Default filename</th>
</tr>
</thead>
<tbody>
<tr>
<td>Computed Measures</td>
<td>cm_s_m_Year_Qtr.login_id</td>
</tr>
<tr>
<td></td>
<td>Ex: cm_s_m_1990_1.timmsr</td>
</tr>
<tr>
<td>Database Display</td>
<td>cm_s_d_Year_Qtr.login_id</td>
</tr>
<tr>
<td></td>
<td>Ex: cm_s_d_1990_1.timmsr</td>
</tr>
<tr>
<td>Data Elements and Formulae Used</td>
<td>cm_s_list.timmsr</td>
</tr>
<tr>
<td></td>
<td>Ex: cm_s_list.timmsr</td>
</tr>
</tbody>
</table>

When you choose **Cancel** on the Reports Selection window, the Reports Selection window closes and you're returned to the main window.

When you choose **Help** on the Reports Selection window, help messages related to the Reports Selection window appear.
If you generate reports during a session, after the reports are generated you have the following options available from the File option in the menubar: Open, Save As, and Print.

**Open.** If you choose Open, a File Selection window, shown below, displays selected reports generated during the session. However, if no reports were generated during this session, a message "No Report files present for Retrieval" appears.
Three pushbuttons are displayed at the bottom of the File Selection window: OK, Cancel, and Help. Any file chosen from the list appears on the selection window. To display the file, click on OK. Choose Cancel to return to the main window. Choose Help to view help messages related to the File Selection window.

Save As. To save selected reports generated during the session, choose Save As. A Save As window appears. If, however, no reports were generated during this session, a message "No Report files present to Save" is displayed.

Three pushbuttons are shown at the bottom of the Save As window: OK, Cancel, and Help. When you choose OK, the default report name and path are used and the file is saved in the default directory. Any files saved will be checked for valid path and filenames. Choose Cancel to return to the main window. Choose Help to view help messages related to the Save As window.

Print. To print selected reports generated during the session, choose Print. A submenu with the options System and Local appears. Choose either option to display the File Selection window. However, if no reports were generated during this session, you'll see the following message in the message window.

No Report files present for Print.

Three pushbuttons are displayed at the bottom of the Printer Selection window: OK, Cancel, and Help. Any file chosen from the list appears on the selection window. To print the file on the printer selected, click on OK. Choose Cancel to return to the main window. Choose Help to view help messages related to the Printer Selection window.
A radio button is a button grouped with other buttons that allows you to choose only one option from the group at a time, like selecting your favorite radio station. In the File Selection window, which appears in this section, the following radio buttons are available as auxiliary options.

**Select** Allows you to choose files from the box marked List.

**Delete** Allows you to delete any or all files from the User Selection box. To delete a file from the User Selection box, highlight the file to be deleted by dragging the mouse the entire length of the filename, then select the **Delete** radio button.

**Search** Generates a Search Dialog box from which you can enter a string (the full path name for the desired file) to be found within the box marked List.

**Top** Display the top of the list in the box marked List.

**Bottom** Displays the bottom of the list in the box marked List.

Samples of Reports

The Report Generation application produces three types of reports:
Reports of Computed Measures are indicators used in conjunction with the accuracy findings to determine if necessary actions are being accomplished in a timely, complete manner. The reports follow specified formats. If essential data element(s) are missing, the Report of Computed Measures indicates the missing data elements; otherwise, the percentage value for indicators is displayed on the report.

The Database Display Report is a replica of the data entry screen.

Shown on the following pages are examples of each type of report.
Report of Computed Measures

The following is a sample of a Computed Measures report generated for a year/quarter in which all data elements collected are valid.

DATE: 03/11/1995
TAX PERFORMANCE SYSTEM
REPORT OF COMPUTED MEASURES
STATUS DETERMINATIONS

State: CA
Requested Year/Qu: 1990/1

A: Percentage of Status Determinations made within 90 days from the last day of the quarter in which the business first became liable ..... 94.8%

B: Percentage of Status Determinations of newly established accounts made within 180 days from the last day of the quarter in which the business first became liable ..... 97.5%

C: Percentage of Status Determinations made within 90 days from the last day of the quarter in which the business became a successor ..... 92.0%

D: Percentage of Status Determinations made within 180 days from the last day of the quarter in which the business became a successor ..... 93.9%
Computed Measures Report

The following is a sample of a Computed Measures report generated for a year/quarter in which some data elements collected are missing/invalid. In addition to the Computed Measures Report, a report of missing data will also be generated, which is shown on the next page.

DATE: 03/11/1995
TAX PERFORMANCE SYSTEM
REPORT OF COMPUTED MEASURES
STATUS DETERMINATION

State: CA
Requested Year/Qtr: 1990/2
===========================================
A: Percentage of Status Determinations made within 90 days from the last day of the quarter in which the business first became liable ..... UNKNOWN
B: Percentage of Status Determinations of newly established accounts made within 180 days from the last day of the quarter in which the business first became liable ..... UNKNOWN
C: Percentage of Status Determinations made within 90 days from the last day of the quarter in which the business became a successor ..... 92.0%
D: Percentage of Status Determinations made within 180 days from the last day of the quarter in which the business became a successor ..... 93.9%

Note: UNKNOWN indicates missing quarter of data needed for computation. Refer to the REPORT OF MISSING DATA.
<table>
<thead>
<tr>
<th>COMPUTED MEASURES</th>
<th>STATUS DETERMINATION</th>
</tr>
</thead>
</table>

DATE: 03/11/1995

TAX PERFORMANCE SYSTEM

COMPUTED MEASURES

REPORT OF MISSING DATA

STATISTIC DETERMINATION

State: CA
Requested Year/Quart: 1990/2

A: Measure could not be computed.
- Missing data in SD1
- Missing data in SD2

B: Measure could not be computed.
- Missing data in SD2
- Missing data in SD3

Note: This is an example of a Missing Data Report. However, this report does not appear if all data are available for calculating the measures.
Database Display Report

The following is a sample of the Database Display report generated for a year/quarter.

STATE: CA
Requested Year/Qutr: 1990/1

<table>
<thead>
<tr>
<th>Report/Definition</th>
<th>TPS</th>
<th>EDP ID</th>
<th>UIRR</th>
<th>TPS</th>
</tr>
</thead>
<tbody>
<tr>
<td># of Newly Established Accounts ETA 581/14 SD1</td>
<td>45,220</td>
<td>47,000</td>
<td></td>
<td></td>
</tr>
<tr>
<td># of Newly Established Accounts ETA 581/15 SD2 90 days or less</td>
<td>39,000</td>
<td>42,000</td>
<td></td>
<td></td>
</tr>
<tr>
<td># of Newly Established Accounts ETA 581/16 SD3 180 days or less</td>
<td>44,000</td>
<td>45,000</td>
<td></td>
<td></td>
</tr>
<tr>
<td># of Successor Accounts ETA 581/17 SD4 90 days or less</td>
<td>1,320</td>
<td>2,300</td>
<td></td>
<td></td>
</tr>
<tr>
<td># of Successor Accounts ETA 581/18 SD5 90 days or less</td>
<td>1,215</td>
<td>1,500</td>
<td></td>
<td></td>
</tr>
<tr>
<td># of Successor Accounts ETA 581/19 SD6 180 days or less</td>
<td>1,240</td>
<td>2,000</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Report of Data Elements and Formulae Used

The following is a sample of a Report of Data Elements and Formulae Used.

DATE: 03/11/1995

<table>
<thead>
<tr>
<th>TPS</th>
<th>Report #/ UIRR</th>
<th>EDP ID</th>
<th>Element #</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>SD1</td>
<td>ETA 581/14</td>
<td>c11</td>
<td></td>
<td># of Newly Established Accounts</td>
</tr>
<tr>
<td>SD2</td>
<td>ETA 581/15</td>
<td>c61</td>
<td></td>
<td># of Newly Established Accounts (90 days or less)</td>
</tr>
<tr>
<td>SD3</td>
<td>ETA 581/16</td>
<td>c62</td>
<td></td>
<td># of Newly Established Accounts (180 days or less)</td>
</tr>
<tr>
<td>SD4</td>
<td>ETA 581/17</td>
<td>c68</td>
<td></td>
<td># of Successor Accounts</td>
</tr>
<tr>
<td>SD5</td>
<td>ETA 581/18</td>
<td>c59</td>
<td></td>
<td># of Successor Accounts (90 days or less)</td>
</tr>
<tr>
<td>SD6</td>
<td>ETA 581/19</td>
<td>c60</td>
<td></td>
<td># of Successor Accounts (180 days or less)</td>
</tr>
</tbody>
</table>
Report of Data Elements and Formulae Used (Continued)

A: Percent of Determinations Within 90 days - New Accounts

\[ \frac{SD2_{Qx}}{SD1_{Qx}} \times 100 \]

B: Percent of Determinations Within 180 days - New Accounts

\[ \frac{SD3_{Qx}}{SD1_{Qx}} \times 100 \]

C: Percent of Determinations Within 90 days - Successor Accounts

\[ \frac{SD5_{Qx}}{SD4_{Qx}} \times 100 \]

D: Percent of Determinations Within 180 days - Successor Accounts

\[ \frac{SD6_{Qx}}{SD4_{Qx}} \times 100 \]

Note: Qx represents the requested year/quarter.
Help Section

The Help Section provides the following four options:

- context-sensitive help
- an overview of the subsystem
- help about keyboard operation procedures
- product release information

Accessing Help

To access the Help option, go to the Status Determination main window and choose the Help option. The Help menu, shown below, appears.

Help Menu
Shown below is the screen display of a typical help window.

Help Window

The Help Window is designed to calculate the performance indicators based on the SES’s reported data. These indicators are used in turn to help the RQC reviewers in final evaluation of the timeliness and completeness of the State tax operations. Computed Measures will be used in four of the tax functions within RQC:

- Status Determination,
- Report Delinquency,
- Collections, and
- Field Audit

Data needed to compute the performance indicators will come from reports currently submitted to the National Office as part of the UI Required Reporting (UIRR) System. The three reports from which the data is derived include:

If you choose the Context-Sensitive Help option from the Help menu, a Help window appears with messages related to the field on focus. You can view the entire help message with the mouse by using the scroll bar on the right side or by pressing the Page Up/Page Down keys on your PC. (Note: The Context-Sensitive Help option is active only if you choose Update...
from the Database menu to clarify edits/definitions for entry fields.) To exit the Context-Sensitive Help option and return to the main window, either click on Close or press [TAB] three times to highlight the Close button, then press the space bar.

To see an overview of the subsystem, choose Overview. You can view the entire help message with the mouse by using the scroll bar on the right side, or by pressing the Page Up/Page Down keys on your PC. To return to the main window, either click on Close or press [TAB] three times to highlight the Close button, then press the space bar.

To see a help window with keyboard operation procedures for this part of the application, choose the Keyboard option from the Help menu. You can view the entire help message with the mouse by using the scroll bar on the right side, or by pressing the Page Up/Page Down keys on your PC. To return to the main window, either click on Close or press [TAB] three times to highlight the Close button, then press the space bar.

To see a help window with product release information for this part of the application, choose the Product Information option from the Help menu. To return to the main window, either click on Close or press [TAB] three times to highlight the Close button, then press the space bar.
REPORT DELINQUENCY
The main purpose of the report delinquency function is to assist employers to comply with State laws and regulations for employment reporting and to resolve delinquent reports.

To ascertain the timeliness of employer reporting and delinquent report resolution, there are six computed measures:

- Percentage of reports filed timely (Contributory employers).
- Percentage of reports secured by the end of the following quarter (Contributory employers).
- Percentage of reports secured plus delinquencies resolved within 90 days (Contributory employers).
- Percentage of reports filed timely (Reimbursing employers).
- Percentage of reports secured by the end of the following quarter (Reimbursing employers).
- Percentage of reports secured plus delinquencies resolved within 90 days (Reimbursing employers).

To access the Report Delinquency function, go to the UIS Main Menu and choose the TAX PERFORMANCE SYSTEM option. In the TPS Main Menu, choose the Computed Measures option. When the Computed Measures Menu appears, choose the Report Delinquency option. These three menus are shown on the next page.
Menu Selection

To display the Report Delinquency main window, shown on the next page, choose the Report Delinquency option from the Computed Measures Menu.
Report Delinquency Main Window

The main window has a menubar at the top with the following options: File, Database, Reports, and Help. Under each menubar option are the following options:

- **File**. Consists of Open, Save As, Print, and Exit. The Print option is further subdivided into System and Local.

- **Database**. Consists of Query, Update, Save, and Delete.

- **Reports**. Consists of Generate.

- **Help**. Consists of Context-Sensitive Help, Overview, Keyboard, and Product Information.
The menubar options have a tear-off feature that lets you separate the pull-down menu options. This option is useful if you want certain pull-down menus to remain on the screen for repetitive use. Normally these pull-down menus disappear after making your selection. To separate the menu options, simply click the mouse on the perforation under the menu option.

Menu Option with Perforation
Shown below are the tear-off menus for the Computed Measures menu bar.

Tear-off Menus
Accessing Menubar Using Keyboard

To access the menubar using the keyboard, simply press F10 on the main window. The first option on the menubar is now highlighted. Using the left or right arrow keys, you can move to any of the menu options desired. To activate the menu option, simply press \[\text{Enter}\].

For example to access options from the Database menu on the menubar, you can also use one of the following methods:

- Under the Database option:
  - Type q or use arrow keys to move to the Update option, then press \[\text{Enter}\] to access Query.
  - Type u or use arrow keys to move to the Update option, then press \[\text{Enter}\] to access Update.
  - Type s or use arrow keys to move to the Save option, then press \[\text{Enter}\] to access Save.
  - Type d or use arrow keys to move to the Delete option, then press \[\text{Enter}\] to access Delete.

You can also access some options under the Database menu option with fewer keystrokes by using what are termed "hot keys". From the Report Delinquency main window:

- Press \(<\text{Ctrl}-q>\) to access Query.
- Press \(<\text{Ctrl}-u>\) to access Update.
- Press \(<\text{Ctrl}-s>\) to access Save.
- Press \(<\text{Ctrl}-d>\) to access Delete.
The operation of this part of the TPS program is explained in the following sections:

- data entry
- reports generation
- help
Data Entry Section

The data entry section enables you to enter missing data or correct inaccurate data retrieved from the UIRR database tables into the TPS database tables.

Accessing Data Entry

To access the Data Entry section, go to the Report Delinquency main window. Click on Database in the menubar, then choose Query. The Search Criteria window appears, as shown below.

Search Criteria Window

A year and quarter must be entered that represents the "Report Year and Quarter" requested for updating.
Editing Data

You can edit data entered on screens by following one of the methods below:

- If data need to be overwritten, press the "Insert" toggle key (on a PC) or the "Insert Here" toggle key (on an X-terminal such as a Qume), then type over the required characters.

- If a single character of the data needs to be erased, press the arrow keys to move the cursor before the character to be erased, then press $\text{DEL}$ (on a PC) or the backspace key (on an X-terminal) and reenter the required data.

- If the contents of the entire field need to be erased and if the field is already highlighted by default, simply press $\text{DEL}$ (on a PC) or the backspace key (on an X-terminal).

- If the contents of the entire field need to be erased and if the field is not already highlighted by default, highlight the field by clicking the mouse on the data field and dragging the mouse the entire length of the field, then press $\text{DEL}$ (on a PC) or the backspace key (on an X-terminal).

Validating Data

The Search Criteria window displays the parameters year and quarter. Three pushbuttons appear at the bottom — OK, Cancel, and Help.

In the box to the right of "1) PLEASE ENTER THE REPORT YEAR: " type the year of the report you want to inquire about in a YYYY format.

Example: 1991
For the year to be valid, it must satisfy the following validation criteria. The year cannot be:

- blank
- greater than current year
- less than UIRR-MIN-YEAR where UIRR-MIN-YEAR is the oldest record entered by UIRR existing in the database.

If any of these criteria are not met, an error message appears and the cursor moves to the field in error. Type a valid year. After you've typed a valid year, the cursor automatically goes to the quarter field.

In the box to the right of "2) PLEASE ENTER THE REPORT QUARTER: ", type 1, 2, 3, or 4 — the number representing the quarter of the report year you want to inquire about. The cursor then goes to OK. Click on OK or press \[\text{Enter}\].

For the quarter to be valid, it must satisfy the following criteria:

- The quarter cannot be blank.
- The valid values of quarter must be 1 through 4.

If any of these are not met, an error message appears and the cursor moves to the field in error. Type a valid quarter.

After you type a valid year and quarter, the control automatically goes to the OK pushbutton. To return to the main window, choose Cancel. To display help messages related to the Search Criteria window, choose Help.
To have the program check for the validity of the query parameters and accessibility of the record in the database, choose **OK**. The following validations will now be performed.

**Validation 1**

If the selected year is the current year, the program checks to ensure that you have access to the records.

*Example:* If the query year you enter is 1995 (the same as the current year) and the current month and current day are 03 (March) and 15 (day), respectively, the validation check will be as follows:

```
IF selected quarter = 1
  earliest access date = "05/20/1995"
IF selected quarter = 2
  earliest access date = "08/20/1995"
IF selected quarter = 3
  earliest access date = "11/20/1995"
IF selected quarter = 4
  earliest access date = "02/20/1996"
```

In this example, you will not have access to data for the year 1995. An error message will indicate your access has been denied and you'll be prompted to reenter the query.

**Validation 2**

Assuming the program passes Validation 1, it then checks the existence of the **UIRR** record for the query parameters requested. If the **UIRR** record exists, the control moves to check **Warning 1**. If no record exists, an error message indicates the record is unavailable and you're prompted to reenter the query.

**Warning 1**
Assuming the query parameters pass Validations 1 and 2, the mail flag in the UIRR record is then checked to ensure that UIRR is not in the process of revising the record. The valid value for the mail flag is "2" (Sent). If the value of the mail flag is either "0" (New) or "1" (Revision), a warning message appears indicating that UIRR is currently modifying the record and you're prompted if you want to continue the display process. You have two options:

Yes - Goes ahead with the display process.
No - Returns to reenter different query parameters.

Once the validations are complete, the Search Criteria window closes and the record appears on the main window. Two columns of data are displayed: the UIRR column with data from the UIRR database, and the TPS column with data (if data have been previously entered) from the TPS database.

From the Database menu, you can now choose the Update option if you want to update an TPS record, or the Delete option if you want to delete TPS data that was previously entered. If you choose Update, the cursor moves to the first field in the TPS column.

You can get context-sensitive help only in this mode. To access it, click on Help in the menubar and choose Context-Sensitive.

The validation edit check for updating the record is given below.

**Warning**

If any of the data entry fields are set to "0", a warning message will be displayed "Do you really want to set this field to 0 ?". You have two options:

Yes - Goes ahead and sets the value to 0.
No - Returns control back to the field for you to change value.

Relational Edits

There are certain relationships between fields. The software performs the following validations:

Validation 1. If RD3 < RD1, then an error message indicating that RD3 should be greater than or equal to RD1 is displayed and the cursor is set on the field RD3.

Validation 2. If RD3 > (110% of RD2), then a warning message indicating that RD3 cannot be greater than 110% of RD2 is displayed. If the values are not acceptable then the cursor is set on the field RD3.

Validation 3. If RD4 > (110% of RD2), then a warning message indicating that RD4 cannot be greater than 110% of RD2 is displayed. If the values are not acceptable then the cursor is set on the field RD4.

Validation 4. If RD7 < RD5, then an error message indicating that RD7 cannot be less than RD5 is displayed and the cursor is set on the field RD7.

Validation 5. If RD7 > (110% of RD6), then a warning message indicating that RD7 cannot be greater than 110% of RD6 is displayed. If the values are not acceptable then the cursor is set on the field RD7.

Validation 6. If RD8 > (110% of RD6), then a warning message indicating that RD8 cannot be greater than 110% of RD6 is displayed. If the values are not acceptable then the cursor is set on the field RD8.
Saving Data

To save the updated record to the database, select **Save** from the **Database** option. The validations are then performed again. After the validations are complete and the record has been written to the database, you'll see a message on the status line indicating that the record has been successfully updated. However, if you want to cancel the process, after you select **Update**, any active menu items under **File**, **Database**, or **Reports** options can be chosen.

If you choose any of these options, you'll see the warning message, "Latest changes have not been saved, do you wish to save before continuing?" You have three options:

- **Yes** - Saves the record and continues with the menu item process chosen.
- **No** - Does not save the record but continues with the menu item process chosen.
- **Cancel** - Returns to the "Update" mode.

Deleting Data

If you choose **Delete** from the **Database** option, you'll see the warning message, "Are you sure you wish to delete?" You have two options:

- **Yes** - Deletes the TPS record and clears the TPS column displayed.
- **No** - Returns you to the main window.
### Report Generation

The Report Generation option enables you to generate, view, save, and print three types of reports:

- Computed Measures report
- Database Display report
- Data Elements and Formulae Used report

### Accessing Report Generation

To display the Report Selection window, go to the Report Delinquency main window. Click on Reports in the menubar, then choose Generate. The Report Selection window, shown below, is displayed.

#### Report Selection Window

![Report Selection Window](image)
The top of the window lists the types of reports you can generate:

- Computed Measures
- Database Display
- Data Elements and Formulae Used

The bottom of the window features six pushbuttons:

- Generate
- Save As
- PreView
- Cancel
- Print
- Help

Four pushbuttons — Generate, PreView, Print, and Save As — are active or inactive, depending upon previous actions. For example, you cannot preview or print a report before the report is generated.

When you choose either a Computed Measures report or a Database Display report and then press Generate, a Search Criteria window prompts you for the report's Year and Quarter. If, however, you choose a Data Elements and Formulae Used report, no Search Criteria window is displayed. The validations on parameters on this Search Criteria window are similar to the validations described in the Data Entry section. This represents the "Year and Quarter" ending date for which the measure will be calculated.
When you type valid year and quarter parameters, the Search Criteria window closes and you see the following message on the status line,

Report Generation in Progress ... Please Wait

When the report generation is completed, the pushbuttons PreView, Print, and Save As become active.

Viewing Reports

To view a report on the screen, choose PreView. Shown below is an example of a PreView window.

**PreView Window**

You can scroll through the report by either clicking with the mouse on the scrollbar on the right side or pressing the PageUp/PageDown keys. To close the window and return to the
Report Selection window, either click on the Close button, or press the Tab three times to highlight the Close button, then press the space bar.

Printing Reports To print a report, choose Print. The Printer Selection window, shown below, appears.

Printer Selection Window

You have two options: System Printer and Local Printer. The system printer is attached to the SPARC system, and the local printer is attached to your workstation. At the bottom of the Printer Selection window there are three pushbuttons: OK, Cancel, and Help. When you choose OK, the printer selection
window closes, the report is printed on the printer selected, and you're returned to the Reports selection window. Choose Cancel to return to the Reports Selection window. Choose Help to view help messages related to the printer selection window.

See examples of printed report in the Samples of Reports section.

**Saving Reports**

A session begins when you log in and ends when you log off. When a session ends, none of the reports generated during the session is automatically saved because the UIRR data may have been changed between sessions. Thus, each time you login, the reports (Computed Measures and the Database Display) must be regenerated. Therefore, if you want to save a report, you need to use the Save As option.

To save a report, choose Save As. The Save As window, shown below, appears.

**Save As Window**

At the bottom of the Save As window three pushbuttons appear: OK, Cancel and Help. If you choose OK, the default report name and path are used and the file is saved in the default directory that is your home directory. However, if you
choose to change the default path or/and the filename, type over the
default path/filename with a path/filename of your choice. Click on
the OK pushbutton to accept the input and activate the "Save"
process. Using the keyboard, you can press Tab to move to the
pushbutton OK, then use the arrow keys to traverse the
pushbuttons. To activate a pushbutton option, press the space bar
when the focus in on the pushbutton desired. Any files saved will
be checked for valid path and filenames. Shown below are the
default filenames generated by the system for each report selection.

<table>
<thead>
<tr>
<th>Report Selection</th>
<th>Default filename</th>
</tr>
</thead>
<tbody>
<tr>
<td>Computed Measures</td>
<td>cm_r_m_Year_Qtr.login_id</td>
</tr>
<tr>
<td></td>
<td>Ex: cm_r_m_1990_1.timmsr</td>
</tr>
<tr>
<td>Database Display</td>
<td>cm_r_d_Year_Qtr.login_id</td>
</tr>
<tr>
<td></td>
<td>Ex: cm_r_d_1990_1.timmsr</td>
</tr>
<tr>
<td>Data Elements and Formulae Used</td>
<td>cm_r_list.timmsr</td>
</tr>
<tr>
<td></td>
<td>Ex: cm_r_list.timmsr</td>
</tr>
</tbody>
</table>

When you choose Cancel in the Reports Selection window, the
Reports Selection window closes and you're returned to the
main window.

When you choose Help in the Reports Selection window, help
messages related to the Reports Selection window appear.

If you generate reports during a session, after the reports are
COMPUTED MEASURES

Report Delinquency

File Options generated you have the following options available from the File option in the menubar: Open, Save As, and Print.

Available After
Generating Reports

Open. If you choose Open, a File Selection window, shown below, displays selected reports generated during the session. However, if no reports were generated during this session, a message "No Report files present for Retrieval" appears.

File Selection Window
Three pushbuttons are displayed at the bottom of the File Selection window: OK, Cancel, and Help. Any file chosen from the list appears on the selection window. To display the file, click on OK. Choose Cancel to return to the main window. Choose Help to view help messages related to the File Selection window.

Save As. To save selected reports generated during the session, choose Save As. A Save As window appears. If, however, no reports were generated during this session, a message "No Report files present to Save" is displayed.

Three pushbuttons are shown at the bottom of the Save As window: OK, Cancel, and Help. When you choose OK, the default report name and path are used and the file is saved in the default directory. Any files saved are checked for valid path and filenames. Choose Cancel to return to the main window. Choose Help to view help messages related to the Save As window.

Print. To print selected reports generated during the session, choose Print. A submenu with the options System and Local appears. Choose either option to display the File Selection window. However, if no reports were generated during this session, you'll see the following message in the message window.

No Report files present for Print.

Three pushbuttons are displayed at the bottom of the Printer Selection window: OK, Cancel, and Help. Any file chosen from the list appears on the selection window. To print the file on the printer selected, click on OK. Choose Cancel to return to the main window. Choose Help to view help messages related to the Printer Selection window.

A radio button is a button grouped with other buttons that allows
you to choose only one option from the group at a time, like selecting your favorite radio station. In the File Selection window, which appears in this section, the following radio buttons are available as auxiliary options.

<table>
<thead>
<tr>
<th>Select</th>
<th>Allows you to choose files from the box marked List.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Delete</td>
<td>Allows you to delete any or all files from the User Selection box. To delete a file from the User Selection box, highlight the file to be deleted by dragging the mouse the entire length of the filename, then select the Delete radio button.</td>
</tr>
<tr>
<td>Search</td>
<td>Generates a Search Dialog box from which you can enter a string (that is, the full path name for the desired file) to be found within the box marked List.</td>
</tr>
<tr>
<td>Top</td>
<td>Displays the top of the list in the box marked List.</td>
</tr>
<tr>
<td>Bottom</td>
<td>Displays the bottom of the list in the box marked List.</td>
</tr>
</tbody>
</table>

**Samples of Reports**

The Report Generation application produces three types of reports:

<table>
<thead>
<tr>
<th>Report Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>F - II - b - 23</td>
<td>REPORT DELINQUENCY</td>
</tr>
</tbody>
</table>
### Computed Measures

- Report of Computed Measures
- Database Display Report
- Report of Data Elements and Formulae Used

Reports of Computed Measures are indicators used in conjunction with the accuracy findings to determine if necessary actions are being accomplished in a timely, complete manner. The reports follow specified formats. If essential data element(s) are missing, the Report of Computed Measures indicates the missing data elements; otherwise, the percentage value for indicators is displayed on the report.

The Database Display Report is a replica of the data entry screen.

Shown on the following pages are examples of each type of report.
**Report of Computed Measures**

The following is a sample of a Computed Measures report generated for a year/quarter in which all data elements collected are valid.

**DATE:** 04/20/1995

**TAX PERFORMANCE SYSTEM**

**REPORT OF COMPUTED MEASURES**

**REPORT DELINQUENCY**

<table>
<thead>
<tr>
<th>STATE</th>
<th>CA</th>
</tr>
</thead>
<tbody>
<tr>
<td>REQUESTED YEAR/QTR</td>
<td>1994/1</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Contributory Employers</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>A: Percentage of Reports filed timely</td>
</tr>
<tr>
<td>B: Percentage of Reports secured by the end of the following quarter</td>
</tr>
<tr>
<td>C: Percentage of Reports secured plus delinquencies resolved within 180 days</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Reimbursing Employers</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>D: Percentage of Reports filed timely</td>
</tr>
<tr>
<td>E: Percentage of Reports secured by the end of the following quarter</td>
</tr>
<tr>
<td>F: Percentage of Reports secured plus delinquencies resolved within 180 days</td>
</tr>
</tbody>
</table>
**Computed Measures Report**

The following is a sample of a Computed Measures report generated for a year/quarter in which some data elements collected are missing/invalid. In addition to the Computed Measures Report, a report of missing data will also be generated, which is shown on the next page.

**DATE: 04/20/1995**

**TAX PERFORMANCE SYSTEM**

**REPORT OF COMPUTED MEASURES**

**REPORT DELINQUENCY**

**STATE**: CA  
**REQUESTED YEAR/QTR**: 1994/1

<table>
<thead>
<tr>
<th>Category</th>
<th>Measure Description</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contributory Employers</td>
<td>A: Percentage of Reports filed timely</td>
<td>UNKNOWN</td>
</tr>
<tr>
<td></td>
<td>B: Percentage of Reports secured by the end of the following quarter</td>
<td>3.11%</td>
</tr>
<tr>
<td></td>
<td>C: Percentage of Reports secured plus delinquencies resolved within 180 days</td>
<td>1.97%</td>
</tr>
<tr>
<td>Reimbursing Employers</td>
<td>D: Percentage of Reports filed timely</td>
<td>79.54%</td>
</tr>
<tr>
<td></td>
<td>E: Percentage of Reports secured by the end of the following quarter</td>
<td>UNKNOWN</td>
</tr>
<tr>
<td></td>
<td>F: Percentage of Reports secured plus delinquencies resolved within 180 days</td>
<td>19.43%</td>
</tr>
</tbody>
</table>

Note: UNKNOWN indicates missing quarter of data needed for computation.  
Refer to the REPORT OF MISSING DATA.
**COMPUTED MEASURES** | **REPORT DELINQUENCY**
---|---

**DATE:** 04/20/1995

**TAX PERFORMANCE SYSTEM**

**COMPUTED MEASURES**

**REPORT OF MISSING DATA**

**REPORT DELINQUENCY**

**STATE:** CA  
**REQUESTED YEAR/QTR:** 1994/1

---

Measure A could not be computed. Missing data in RD 1  
for the following year/quarter(s):  
1993/4

Measure E could not be computed. Missing data in RD 7  
for the following year/quarter(s):  
1993/2

---

Note: This is an example of a Missing Data Report. However, this report does not appear if all data are  
available for calculating the measures.
Database Display Report

The following is a sample of the Database Display report generated for a year/quarter.

DATE: 04/20/1995
TAX PERFORMANCE SYSTEM
COMPUTED MEASURES
DATABASE DISPLAY
REPORT DELINQUENCY

### Contributory Employers:

<table>
<thead>
<tr>
<th>Report/Element #</th>
<th>TPS</th>
<th>EDP ID</th>
<th>UIRR</th>
<th>TPS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Filing Timely</td>
<td>ETA 581/6</td>
<td>RD1</td>
<td>20,000</td>
<td>23,000</td>
</tr>
<tr>
<td># of Employers</td>
<td>ETA 581/1</td>
<td>RD2</td>
<td>764,553</td>
<td>764,553</td>
</tr>
<tr>
<td># of Secured Reports</td>
<td>ETA 581/7</td>
<td>RD3</td>
<td>40,000</td>
<td>41,000</td>
</tr>
<tr>
<td># of Resolved Reports</td>
<td>ETA 581/8</td>
<td>RD4</td>
<td>4,567</td>
<td>4,600</td>
</tr>
</tbody>
</table>

### Reimbursing Employers:

<table>
<thead>
<tr>
<th>Report/Element #</th>
<th>TPS</th>
<th>EDP ID</th>
<th>UIRR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Filing Timely</td>
<td>ETA 581/9</td>
<td>RD5</td>
<td>44,844</td>
</tr>
<tr>
<td># of Employers</td>
<td>ETA 581/2</td>
<td>RD6</td>
<td>5,158</td>
</tr>
<tr>
<td># of Secured Reports</td>
<td>ETA 581/10</td>
<td>RD7</td>
<td>6,000</td>
</tr>
<tr>
<td># of Resolved Reports</td>
<td>ETA 581/11</td>
<td>RD8</td>
<td>490</td>
</tr>
</tbody>
</table>

**Report of Data Elements and Formulae Used**
The following is a sample of a Report of Data Elements and Formulae Used.

Date: 04/20/1995

TAX PERFORMANCE SYSTEM
COMPUTED MEASURES
REPORT OF DATA ELEMENTS AND FORMULAE
REPORT DELINQUENCY

<table>
<thead>
<tr>
<th>TPS</th>
<th>Report #/</th>
<th>UIIRR</th>
<th>EDP ID</th>
<th>Element #</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>RD1</td>
<td>ETA 581/</td>
<td>#6</td>
<td>c53</td>
<td>Filing timely - Contributory Employers</td>
<td></td>
</tr>
<tr>
<td>RD2</td>
<td>ETA 581/</td>
<td>#1</td>
<td>c1</td>
<td>Number of active Contributory Employers</td>
<td></td>
</tr>
<tr>
<td>RD3</td>
<td>ETA 581/</td>
<td>#7</td>
<td>c54</td>
<td>Number of Contributory Employers - Secured Reports</td>
<td></td>
</tr>
<tr>
<td>RD4</td>
<td>ETA 581/</td>
<td>#8</td>
<td>c55</td>
<td>Number of Contributory Employers - Resolved Reports</td>
<td></td>
</tr>
<tr>
<td>RD5</td>
<td>ETA 581/</td>
<td>#9</td>
<td>c56</td>
<td>Filing timely - Reimbursing Employers</td>
<td></td>
</tr>
<tr>
<td>RD6</td>
<td>ETA 581/</td>
<td>#2</td>
<td>c2</td>
<td>Number of active Reimbursing Employers</td>
<td></td>
</tr>
<tr>
<td>RD7</td>
<td>ETA 581/</td>
<td>#10</td>
<td>c57</td>
<td>Number of Reimbursing Employers - Secured Reports</td>
<td></td>
</tr>
<tr>
<td>RD8</td>
<td>ETA 581/</td>
<td>#11</td>
<td>c58</td>
<td>Number of Reimbursing Employers - Resolved Reports</td>
<td></td>
</tr>
</tbody>
</table>
Report of Data Elements and Formulae Used (Continued)

Contributory Employers

A: Percent of Reports Filed Timely

\[
\frac{(\text{Sum of RD1})\text{ for } Q(x-3), Q(x-2), Q(x-1), Qx}{(\text{Sum of RD2})\text{ for } Q(x-4), Q(x-3), Q(x-2), Q(x-1)} \times 100
\]

B: Percent of Reports Secured by the last day of the following quarter

\[
\frac{(\text{Sum of RD3})\text{ for } Q(x-3), Q(x-2), Q(x-1), Qx}{(\text{Sum of RD2})\text{ for } Q(x-4), Q(x-3), Q(x-2), Q(x-1)} \times 100
\]

C: Percent of Reports Secured Plus Delinquencies Resolved within 180 days

\[
\frac{(\text{Sum of RD4})\text{ for } Q(x-3), Q(x-2), Q(x-1), Qx}{(\text{Sum of RD2})\text{ for } Q(x-5), Q(x-4), Q(x-3), Q(x-2)} \times 100
\]

Reimbursing Employers

D: Percent of Reports Filed Timely

\[
\frac{(\text{Sum of RD5})\text{ for } Q(x-3), Q(x-2), Q(x-1), Qx}{(\text{Sum of RD6})\text{ for } Q(x-4), Q(x-3), Q(x-2), Q(x-1)} \times 100
\]

E: Percent of Reports Secured by the last day of the following quarter

\[
\frac{(\text{Sum of RD7})\text{ for } Q(x-3), Q(x-2), Q(x-1), Qx}{(\text{Sum of RD6})\text{ for } Q(x-4), Q(x-3), Q(x-2), Q(x-1)} \times 100
\]

F: Percent of Reports Secured Plus Delinquencies Resolved within 180 days

\[
\frac{(\text{Sum of RD8})\text{ for } Q(x-3), Q(x-2), Q(x-1), Qx}{(\text{Sum of RD6})\text{ for } Q(x-5), Q(x-4), Q(x-3), Q(x-2)} \times 100
\]

Note: Qx represents the requested year/quarter.
Help Section  
The Help Section provides the following four options:

- context-sensitive help
- an overview of the subsystem
- help about keyboard operation procedures
- product release information

Accessing Help  
To access the Help option, go to the Report Delinquency main window and choose the Help option. The Help menu, shown below, appears.

Help Menu
Shown below is the screen display of a typical help window.

Help Window

The Computed Measures subsystem is designed to calculate the performance indicators based on the SESA’s reported data. These indicators are used in turn to help the RQC reviewers in final evaluation of the timeliness and completeness of the State tax operations. Computed Measures will be used in four of the tax functions within RQC:

- Status Determination,
- Report Delinquency,
- Collections, and
- Field Audit.

Data needed to compute the performance indicators will come from reports currently submitted to the National Office as part of the UI Required Reporting (UIRR) System. The three reports from which the data is derived include:

If you choose the Context-Sensitive Help option from the Help menu, a Help window appears with messages related to the field on focus. You can view the help message with the mouse by using the scroll bar on the right side or by pressing the Page Up/Page Down keys on your PC. (Note: The Context-Sensitive Help option is active only if you choose Update from the Database menu to clarify edits/definitions for entry fields.) To exit the Context-Sensitive Help option and return to the main
window, either click on Close with the mouse, or press \text{Tab} three times to highlight the Close button, then press the space bar.

To see an overview of the subsystem, choose Overview. You can view the entire help message with the mouse by using the scroll bar on the right side, or by pressing the Page Up/Page Down keys on your PC. To return to the main window, either click on Close with the mouse, or press \text{Tab} three times to highlight the Close button, then press the space bar.

To see a help window with keyboard operation procedures for this part of the application, choose the Keyboard option from the Help menu. You can view the help message with the mouse by using the scroll bar on the right side, or by pressing the Page Up/Page Down keys on your PC. To return to the main window, either click on Close with the mouse, or press \text{Tab} three times to highlight the Close button, then press the space bar.

To see a help window with product release information for this part of the application, choose the Product Information option from the Help menu. To return to the main window, either click on Close with the mouse, or press \text{Tab} three times to highlight the Close button, then press the space bar.
COLLECTIONS
The main purpose of the *collections* function is to assist employers to comply with State laws and regulations, promote voluntary payment compliance, collect past due amounts from employers, and manage accounts receivable.

To ascertain the timeliness of employer payment and management of accounts receivable, there are eight computed measures:

For Contributory Employers:

- Percentage of amounts due paid timely.
- Turnover Ratio - The ratio of receivables liquidated and declared uncollectible and/or doubtful to taxes due.
- Receivables declared uncollectible and/or doubtful. The percent of tax due declared uncollectible and/or doubtful.
- Accounts receivable at the end of the report period as a percent of tax due.

For Reimbursing Employers:

- Percentage of amounts due paid timely.
- Turnover Ratio - The ratio of receivables liquidated and declared uncollectible and/or doubtful to taxes due.
- Receivables declared uncollectible and/or doubtful. The percent of tax due declared uncollectible and/or doubtful.
- Accounts receivable at the end of the report period as a percent of tax due.
Accessing Collections

To access the Collections function, go to the UIS Main Menu and choose the TAX PERFORMANCE SYSTEM option. In the TPS Main Menu, choose the Computed Measures option. When the Computed Measures Menu appears, choose the Collections option. Shown below are these three menus.

Menu Selection

To display the Collections main window, shown below, choose the Collections option from the Computed Measures Menu.
The main window has a menubar at the top with the following options: File, Database, Reports, and Help. Under each menubar option are the following options:

- **File**. Consists of Open, Save As, Print, and Exit. The Print option is further subdivided into System and Local.

- **Database**. Consists of Query, Update, Save, and Delete.

- **Reports**. Consists of Generate.

- **Help**. Consists of Context-Sensitive Help, Overview, Keyboard, and Product Information.
The menubar options have a tear-off feature that lets you separate the pull-down menu options. This option is useful if you want certain menus to remain on the screen for repetitive use. Normally these pull-down menus disappear after making your selection. To separate the menu options, simply click the mouse on the perforation under the menu option.

Menu Option with Perforation
Shown below is a screen of the tear-off menus for the Computed Measures menu bar.

**Tear-off Menus**

![Menu Screen](image-url)
To access the menubar using the keyboard, simply press \[10\] on the main window. The first option on the menubar is now highlighted. Using the left or right arrow keys, you can move to any of the menu options desired. To activate the menu option, simply press [enter].

For example to access options from the Database menu on the menubar, you can also use one of the following methods:

- **Under the Database option:**
  - Type `q` or use arrow keys to move to the Query option and press [enter] to access Query.
  - Type `u` or use arrow keys to move to the Update option and press [enter] to access Update.
  - Type `s` or use arrow keys to move to the Save option and press [enter] to access Save.
  - Type `d` or use arrow keys to move to the Delete option and press [enter] to access Delete.

You can also access some options under the Database menu option with fewer keystrokes by using what are termed "hot keys". From the Collections main window:

- Press <Ctrl-q> to access Query.
- Press <Ctrl-u> to access Update.
- Press <Ctrl-s> to access Save.
- Press <Ctrl-d> to access Delete.
The operation of this part of the TPS program is explained in the following sections:

- data entry
- reports generation
- help
The data entry section enables you to enter missing data or correct inaccurate data retrieved from the UIRR database tables into the TPS database tables.

Data Entry Section

Accessing Data Entry

To access the Data Entry section, go to the Collections main window. Click on Database in the menubar, then choose Query. The Search Criteria window appears, as shown below.

Search Criteria Window

A year and quarter must be entered which represents the "Report Year and Quarter" requested for updating.
Editing Data

You can edit data entered on screens by following one of the methods below:

- If data need to be overwritten, press the "Insert" toggle key (on a PC) or the "Insert Here" toggle key (on an X-terminal such as a Qume), then type over the required characters.

- If a single character of the data needs to be erased, press the arrow keys to move the cursor before the character to be erased, then press (on a PC) or the backspace key (on an X-terminal) and reenter the required data.

- If the contents of the entire field need to be erased and if the field is already highlighted by default, simply press (on a PC) or the backspace key (on an X-terminal).

- If the contents of the entire field need to be erased and if the field is not already highlighted by default, highlight the field by clicking the mouse on the data field and dragging the mouse the entire length of the field, then press (on a PC) or the backspace key (on an X-terminal).

Validating Data

The Search Criteria window displays the parameters year and quarter. Three pushbuttons appear at the bottom — OK, Cancel, and Help.
In the box to the right of "1) PLEASE ENTER THE REPORT YEAR: ",
 type the year of the report you want to inquire about in a YYYY
 format.

Example: 1991

For the year to be valid, it must satisfy the following validation
criteria. The year cannot be:

- blank
- greater than current year
- less than UIRR-MIN-YEAR where UIRR-MIN-YEAR is the oldest
  record entered by UIRR existing in the database.

If any of these criteria are not met, an error message appears and
the cursor moves to the field in error. Type a valid year.
After you've typed a valid year, the cursor automatically goes to the
quarter field.

In the box to the right of "2) PLEASE ENTER THE REPORT QUARTER: ",
type 1, 2, 3, or 4 — the number representing the quarter of the
report year you want to inquire about. The cursor then goes to OK.
Click on OK or press [Enter].

For the quarter to be valid, it must satisfy the following criteria:

- The quarter cannot be blank.
- The valid values of quarter must be 1 through 4.

If any of these are not met, an error message appears and the cursor
moves to the field in error. Type a valid quarter.
After you type a valid year and quarter, the control automatically goes to the OK pushbutton. To return to the main window, choose Cancel. To display help messages related to the Search Criteria window, choose Help.

To have the program check for the validity of the query parameters and accessibility of the record in the database, choose OK. The following validations will now be performed.

**Validation 1**

If the selected year is the current year, the program checks to ensure that you have access to the records.

*Example:* If the query year you enter is 1995 (the same as the current year) and the current month and current day are 03 (March) and 15 (day), respectively, the validation check will be as follows:

IF selected quarter = 1  
earliest access date = "05/20/1995"

IF selected quarter = 2  
earliest access date = "08/20/1995"

IF selected quarter = 3  
earliest access date = "11/20/1995"

IF selected quarter = 4  
earliest access date = "02/20/1996"

In this example, you will not have access to data for the year 1995. An error message will indicate your access has been denied and you'll be prompted to reenter the query.

**Validation 2**

Assuming the program passes Validation 1, it then checks the existence of the UIRR record for the query parameters requested. If
the UIRR record exists, the control moves to check Warning 1. If no record exists, an error message indicates the record is unavailable and you're prompted to reenter the query.

**Warning 1**

Assuming the query parameters pass Validations 1 and 2, the mail flag in the UIRR record is then checked to ensure that UIRR is not in the process of revising the record. The valid value for the mail flag is "2" (Sent). If the value of the mail flag is either "0" (New) or "1" (Revision), a warning message appears indicating that UIRR is currently modifying the record and you're prompted if you want to continue the display process. You have two options:

- **Yes** - Goes ahead with display.
- **No** - Returns to reenter different query parameters.

Once the validations are complete, the Search Criteria window closes and the record appears on the main window. Two columns of data are displayed: the UIRR column with data from the UIRR database, and the TPS column with data (if data have been previously entered) from the TPS database.

From the Database menu, you can now choose the **Update** option if you want to update an TPS record, or the **Delete** option if you want to delete TPS data that was previously entered. If you choose **Update**, the cursor moves to the first field in the TPS column.

You can get context-sensitive help only in this mode. To access it, click on **Help** in the menubar and choose **Context-Sensitive**.

The validation edit checks for updating the record are given below.

**Warning**
If any of the data entry fields are set to "0", a warning message will be displayed "Do you really want to set this field to 0 ?". You have two options:

Yes - Goes ahead and sets the value to 0.
No - Returns control back to the field for the user to change value.

There are certain relationships between fields. The software will perform the following validations:

**Validation 1.** If CO1 > CO6, then a warning message indicating that CO1 is greater than CO6 is displayed. If the values are not acceptable then the cursor is set on the field CO1.

**Validation 2.** If CO3 > CO6, then a warning message indicating that CO3 is greater than CO6 is displayed. If the values are not acceptable then the cursor is set on the field CO3.

**Validation 3.** If CO7 > CO12, then a warning message indicating that CO7 is greater than CO12 is displayed. If the values are not acceptable then the cursor is set on the field CO7.

**Validation 4.** If CO9 > CO12, then an warning message indicating that CO9 is greater than CO12 is displayed. If the values are not acceptable then the cursor is set on the field CO9.
Saving Data

When you want to save the updated record to the database by selecting **Save** from the **Database** option, the validations are performed again. After the validations are complete and the record has been written to the database, you'll see a message on the status line indicating that the record has been successfully updated. However, if you want to cancel the process, after you select **Update**, any active menu items under **File**, **Database**, or **Reports** options can be chosen. If you choose any of these options, you'll see the warning message, "Latest changes have not been saved, do you wish to save before continuing?" You have three options:

- **Yes** - Saves the record and continues with the menu item process chosen.
- **No** - Does not save the record but continues with the menu item process chosen.
- **Cancel** - Returns to the "Update" mode.

Deleting Data

If you choose **Delete** from the **Database** option, you'll see the warning message, "Are you sure you wish to delete?" You have two options:

- **Yes** - Deletes the TPS record and clears the TPS column displayed.
- **No** - Returns you to the main window.
The Report Generation option enables you to generate, view, save, and print three types of reports:

- Computed Measures report
- Database Display report
- Data Elements and Formulae Used report

To display the Report Selection window, go to the Collections main window. Click on Reports in the menubar, then choose Generate.

The Report Selection window, shown below, is displayed.

The top of the window lists the types of reports you can generate:
COMPUTED MEASURES

- Computed Measures
- Database Display
- Data Elements and Formulae Used

The bottom of the window features six pushbuttons:

- Generate
- PreView
- Print
- Save As
- Cancel
- Help

Four pushbuttons — Generate, PreView, Print, and Save As — are active or inactive, depending upon previous actions. For example, you cannot preview or print a report before the report is generated.

Generating Reports

The first time you access the Report Selection window, the default report — which is the Computed Measures report — is highlighted both at the top and in the Report Selected field. The Generate pushbutton is active. If you want to generate a report other than the default report, click on the report desired in the list or highlight it with an arrow key, then press Enter and that report name will appear in the Report Selected field.

When you choose either a Computed Measures report or a Database Display report and then press Generate, a Search Criteria window prompts you for Year and Quarter of the report. If, however, you choose a Data Elements and Formulae Used report, no Search Criteria window is displayed. The validations on parameters on this Search Criteria window are similar to the validations described in the Data Entry section. This represents the "Year and Quarter" ending date for which the measure will be calculated.
When you type valid year and quarter parameters, the Search Criteria window closes and you see the following message on the status line,

Report Generation in Progress ... Please Wait

When the report generation is completed, the pushbuttons **PreView**, **Print**, and **Save As** become active.

**Viewing Reports**  To view a report on the screen, choose PreView. Shown below is an example of a PreView window.

**PreView Window**

You can scroll through the report by either clicking with the mouse on the scrollbar on the right side or pressing the PageUp/PageDown keys. To close the window and return to the
Report Selection window, either click on the **Close** button with the mouse, or press **Tab** three times to highlight the **Close** button, then press the space bar.

**Printing Reports**  
To print a report, choose **Print**. The **Printer Selection** window, shown below, appears.

**Printer Selection Window**

You have two options: **System Printer** and **Local Printer**. The system printer is attached to the SPARC system, and the local printer is attached to your workstation. At the bottom of this window there are three pushbuttons: **OK**, **Cancel**, and **Help**. When
you choose OK, the printer selection window closes, the report is printed on the printer selected, and you're returned to the Reports Selection window. Choose Cancel to return to the Reports Selection window. Choose Help to view help messages related to the printer selection window.

See examples of printed reports in the Samples of Reports section.

Saving Reports

A session begins when you log on and ends when you log off. When a session ends, none of the reports generated during the session is automatically saved because the UIRR data may have been changed between sessions. Thus, each time you logon, the reports (computed measures and the data base display) must be regenerated. Therefore, if you want to save a report, you need to use the Save As option.

To save a report, choose Save As. The Save As window, shown below, appears.

Save As Window

At the bottom of the Save As window three pushbuttons appear: OK, Cancel and Help. If you choose OK, the default report name and path are used and the file is saved in the default directory.
which is your home directory. However, if you choose to change the default path or/and the filename, type over the default path/filename with a path/filename of your choice. Click on the OK pushbutton to accept the input and activate the "Save" process. Using the keyboard, you can use the Tab key to move to the pushbutton OK and then use the arrow keys to traverse the pushbuttons. To activate a pushbutton option, press the space bar when the focus is on the pushbutton desired. Any files saved will be checked for valid path and filenames. Shown below are the default filenames generated by the system for each report selection.

<table>
<thead>
<tr>
<th>Report Selection</th>
<th>Default filename</th>
</tr>
</thead>
<tbody>
<tr>
<td>Computed Measures</td>
<td>cm_c_m_Year_Qtr.login_id</td>
</tr>
<tr>
<td></td>
<td>cm_c_m_1990_1.timmsr</td>
</tr>
<tr>
<td>Database Display</td>
<td>cm_c_d_Year_Qtr.login_id</td>
</tr>
<tr>
<td></td>
<td>cm_c_d_1990_1.timmsr</td>
</tr>
<tr>
<td>Data Elements and Formulae Used</td>
<td>cm_c_list.timmsr</td>
</tr>
<tr>
<td></td>
<td>cm_c_list.timmsr</td>
</tr>
</tbody>
</table>

When you choose **Cancel** on the Reports Selection window, the Reports Selection window closes and you're returned to the main window.

When you choose **Help** on the Reports Selection window, help messages related to the Reports Selection window appear.
If you generate reports during a session, after the reports are generated you have the following options available from the File option in the menubar: Open, Save As, and Print.

**Open.** If you choose Open, a File Selection window, shown below, displays selected reports generated during the session. However, if no reports were generated during this session, a message "No Report files present for Retrieval" appears.

**File Selection Window**
Three pushbuttons are displayed at the bottom of the File Selection window: OK, Cancel, and Help. Any file chosen from the list appears on the selection window. To display the file, click on OK. Choose Cancel to return to the main window. Choose Help to view help messages related to the File Selection window.

Save As. To save selected reports generated during the session, choose Save As. A Save As window appears. If, however, no reports were generated during this session, a message "No Report files present to Save" is displayed.

Three pushbuttons are shown at the bottom of the Save As window: OK, Cancel, and Help. When you choose OK, the default report name and path are used and the file is saved in the default directory. Any files saved will be checked for valid path and filenames. Choose Cancel to return to the main window. Choose Help to view help messages related to the Save As window.

Print. To print selected reports generated during the session, choose Print. A submenu with the options System and Local appears. Choose either option to display the File Selection window. However, if no reports were generated during this session, you'll see the following message in the message window.

No Report files present for Print.

Three pushbuttons are displayed at the bottom of the Printer Selection window: OK, Cancel, and Help. Any file chosen from the list appears on the selection window. To print the file on the printer selected, click on OK. Choose Cancel to return to the main window. Choose Help to view help messages related to the Printer Selection window.

A radio button is a button grouped with other buttons that allows
you to choose only one option from the group at a time, like selecting your favorite radio station. In the File Selection window, which appears in this section, the following radio buttons are available as auxiliary options.

Select  Allows you to choose files from the box marked List.

Delete  Allows you to delete any or all files from the User Selection box. To delete a file from the User Select box, highlight the file to be deleted by dragging the mouse the entire length of the filename, then select the Delete radio button.

Search  Generates a Search Dialog box from which you can enter a string (the full path name for the desired file) to be found within the box marked List.

Top  Display the top of the list in the box marked List.

Bottom  Displays the bottom of the list in the box marked List.

Samples of Reports  The Report Generation application produces three types of reports:
Reports of Computed Measures are indicators used in conjunction with the accuracy findings to determine if necessary actions are being accomplished in a timely, complete manner. The reports follow specified formats. If essential data element(s) are missing, the Report of Computed Measures indicates the missing data elements; otherwise, the percentage value for indicators is displayed on the report.

The Database Display Report is a replica of the data entry screen.

Shown on the following pages are examples of each type of report.
Report of Computed Measures

The following is a sample of a Computed Measures report generated for a year/quarter in which all data elements collected are valid.

DATE: 03/11/1995

TAX PERFORMANCE SYSTEM
REPORT OF COMPUTED MEASURES
COLLECTIONS

State: CA
Requested Year/Qu: 1990/1

-----------------------------------------------
CONTRIBUTORY EMPLOYERS:

A: Percent of Amount due paid timely: 98.8%

B: Turnover Ratio - The ratio of receivables liquidated and declared uncollectible to taxes due 99.6%

C: Receivables declared uncollectible - The percent of tax due declared uncollectible and/or doubtful 79.7%

D: Accounts receivable at the end of the report 56.8%

REIMBURSING EMPLOYERS:

A: Percent of Amount due paid timely: 98.8%

B: Turnover Ratio - The ratio of receivables liquidated and declared uncollectible to taxes due 99.6%

C: Receivables declared uncollectible - The percent of tax due declared uncollectible and/or doubtful 79.7%

D: Accounts receivable at the end of the report 56.8%
Computed Measures Report

The following is a sample of a Computed Measures report generated for a year/quarter in which some data elements collected are missing/invalid. In addition to the Computed Measures Report, a report of missing data will also be generated, which is shown on the next page.

DATE: 04/19/1995

TAX PERFORMANCE SYSTEM
REPORT OF COMPUTED MEASURES
COLLECTIONS

STATE: CA
REQUESTED YEAR/QTR: 1993/4

==============================================

Contributory Employers:

A: Percent of Amounts due paid timely: UNKNOWN

B: Turnover Ratio - The ratio of receivables liquidated and declared uncollectible to taxes due UNKNOWN

C: Receivables declared uncollectible and/or doubtful - The percent of tax due declared uncollectible and/or doubtful UNKNOWN

D: Accounts receivable at the end of the report period as a percent of tax due UNKNOWN

Reimbursing Employers:

E: Percent of Amounts due paid timely: 99.13%

F: Turnover Ratio - The ratio of receivables Liquidated and declared uncollectible and/or doubtful to tax due 1.89%

G: Receivables declared uncollectible and/or doubtful - The percent of tax due declared uncollectible and/or doubtful 0.04%

H: Accounts receivable at the end of the report period as a percent of tax due 0.44%

Note: UNKNOWN indicates missing quarter of data needed for computation. Refer to the Report of MISSING DATA.

DATE: 04/19/1995
<table>
<thead>
<tr>
<th>COMPUTED MEASURES</th>
<th>COLLECTIONS</th>
</tr>
</thead>
</table>

**TAX PERFORMANCE SYSTEM**  
**REPORT OF MISSING DATA**  
**COLLECTIONS**

**STATE:** CA  
**REQUESTED YEAR/QTR:** 1993/4

Measure A, B, C, D could not be computed  
- Missing data in CO1 for the following year/quarter(s):  
  1993/2  
  1993/3

*Note:* This is an example of a Missing Data Report. However, this report does not appear if all data are available for calculating the measures.
### Database Display Report

The following is a sample of the Database Display report generated for a year/quarter.

**DATE:** 04/19/1995

**TAX PERFORMANCE SYSTEM**

**DATABASE DISPLAY**

**COLLECTIONS**

**STATE:** CA

**REQUESTED YEAR/QTR:** 1993/4

<table>
<thead>
<tr>
<th>DEFINITION</th>
<th>REPORT &amp; ELEMENT #</th>
<th>TPS</th>
<th>EDP ID</th>
<th>UIRR</th>
<th>TPS</th>
</tr>
</thead>
<tbody>
<tr>
<td>CONTRIBUTORY EMPLOYERS</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Amount of Determined Receivable</td>
<td>ETA581-#22</td>
<td>CO1</td>
<td>27,281,260</td>
<td>1,920,120</td>
<td></td>
</tr>
<tr>
<td>Dollar Deposited:</td>
<td>ETA2112-#11</td>
<td>CO2</td>
<td>90,628,284.60</td>
<td>906,283,323.33</td>
<td>307,301,646.03</td>
</tr>
<tr>
<td>Receivables Liquidated:</td>
<td>ETA581-#23</td>
<td>CO3</td>
<td>23,650,093</td>
<td>23,650,093</td>
<td></td>
</tr>
<tr>
<td>Receivables - Uncollectible:</td>
<td>ETA581-#24</td>
<td>CO4</td>
<td>28,236</td>
<td>28,236</td>
<td></td>
</tr>
<tr>
<td>Receivables - Doubtful:</td>
<td>ETA581-#25</td>
<td>CO5</td>
<td>9,876,587</td>
<td>9,876,587</td>
<td></td>
</tr>
<tr>
<td>Receivable Balance:</td>
<td>ETA581-#26</td>
<td>CO6</td>
<td>190,012,024</td>
<td>190,012,024</td>
<td></td>
</tr>
</tbody>
</table>
### REIMBURSING EMPLOYERS

<table>
<thead>
<tr>
<th></th>
<th>ETA581-#34 CO7</th>
<th>ETA2112-#18 CO8</th>
<th>ETA2112-#19 CO8</th>
<th>ETA2112-#20 CO8</th>
</tr>
</thead>
<tbody>
<tr>
<td>Determined Receivable:</td>
<td>3,143,862</td>
<td>4,841,275.16</td>
<td>2,172,054.51</td>
<td>5,012,861.62</td>
</tr>
<tr>
<td>Dollar Deposited:</td>
<td>3,140</td>
<td>4,841,275.16</td>
<td>2,172,054.51</td>
<td>5,012,861.62</td>
</tr>
<tr>
<td></td>
<td></td>
<td>6,016,603.60</td>
<td>4,206,052.85</td>
<td>7,226,748.53</td>
</tr>
<tr>
<td></td>
<td></td>
<td>5,812,558.42</td>
<td>4,492,820.14</td>
<td>6,723,064.69</td>
</tr>
<tr>
<td>Receivables Liquidated</td>
<td></td>
<td>2,805,765</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3,140</td>
<td>4,841,275.16</td>
<td>2,172,054.51</td>
</tr>
<tr>
<td></td>
<td></td>
<td>6,016,603.60</td>
<td>4,206,052.85</td>
<td>7,226,748.53</td>
</tr>
<tr>
<td></td>
<td></td>
<td>5,812,558.42</td>
<td>4,492,820.14</td>
<td>6,723,064.69</td>
</tr>
<tr>
<td>Receivables - Uncollectible:</td>
<td></td>
<td>800</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>800</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Receivables - Doubtful:</td>
<td></td>
<td>122,223</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Receivable Balance:</td>
<td></td>
<td>2,805,765</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

**Database Display Report (Continued)**
## Report of Data Elements and Formulae Used

The following is a sample of a Report of Data Elements and Formulae Used.

**Run Date: 03/11/1995**

<table>
<thead>
<tr>
<th>TPS</th>
<th>Report # / UIRR</th>
<th>EDP ID</th>
<th>Element #</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>CONTRIBUTORY EMPLOYERS</td>
</tr>
<tr>
<td>CO1</td>
<td>ETA 581/22</td>
<td>c15</td>
<td></td>
<td>Amount determined receivable</td>
</tr>
<tr>
<td>CO2</td>
<td>*ETA 2112/11</td>
<td>c9*</td>
<td></td>
<td>Dollar Amount Deposited</td>
</tr>
<tr>
<td>CO3</td>
<td>ETA 581/23</td>
<td>c16</td>
<td></td>
<td>Amount of Receivables Liquidated</td>
</tr>
<tr>
<td>CO4</td>
<td>ETA 581/24</td>
<td>c17</td>
<td></td>
<td>Amount of Receivables Uncollectible</td>
</tr>
<tr>
<td>CO5</td>
<td>ETA 581/25</td>
<td>c64</td>
<td></td>
<td>Amount of Receivables Doubtful</td>
</tr>
<tr>
<td>CO6</td>
<td>ETA 581/26</td>
<td>c18</td>
<td></td>
<td>Amount of Receivables Balance</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>REIMBURSING EMPLOYERS</td>
</tr>
<tr>
<td>CO7</td>
<td>ETA 581/34</td>
<td>c20</td>
<td></td>
<td>Amount determined receivable</td>
</tr>
<tr>
<td>CO8</td>
<td>*ETA 2112/</td>
<td>c27,c29,c31,18,19,20</td>
<td>Dollar Amount Deposited</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Amount of Receivables Liquidated</td>
</tr>
<tr>
<td>CO9</td>
<td>ETA 581/35</td>
<td>c21</td>
<td></td>
<td>Amount of Receivables Liquidated</td>
</tr>
<tr>
<td>CO10</td>
<td>ETA 581/36</td>
<td>c22</td>
<td></td>
<td>Amount of Receivables Uncollectible</td>
</tr>
<tr>
<td>CO11</td>
<td>ETA 581/37</td>
<td>c65</td>
<td></td>
<td>Amount of Receivables Doubtful</td>
</tr>
<tr>
<td>CO12</td>
<td>ETA 581/38</td>
<td>c23</td>
<td></td>
<td>Amount of Receivable Balance</td>
</tr>
</tbody>
</table>

**Report of Data Elements and Formulae Used (Continued)**
Contributory Employers

A: Percentage of Amounts due paid timely

\[
\left( \frac{\text{Sum of CO1) for Q(x-3), Q(x-2), Q(x-1), Qx}}{\text{(Sum of CO2+CO1-CO3) for Q(x-3), Q(x-2), Q(x-1), Qx}}} \right) \times 100
\]

B: Turnover Ratio - The ratio of receivables liquidated and declared uncollectible to taxes due

\[
\left( \frac{\text{Sum of CO3, CO4, CO5) for Q(x-3), Q(x-2), Q(x-1), Qx}}{\text{(Sum of CO2+CO1-CO3) for Q(x-3), Q(x-2), Q(x-1), Qx}}} \right) \times 100
\]

C: Receivables declared uncollectible - The percent of tax due declared uncollectible and/or doubtful

\[
\left( \frac{\text{Sum of CO4+CO5) for Q(x-3), Q(x-2), Q(x-1), Qx}}{\text{(Sum of CO2+CO1-CO3) for Q(x-3), Q(x-2), Q(x-1), Qx}}} \right) \times 100
\]

D: Accounts receivable at the end of the report period as a percent of tax due

\[
\left( \frac{\text{CO6 for Qx}}{\text{(Sum of CO2+CO1-CO3) for Q(x-3), Q(x-2), Q(x-1), Qx}}} \right) \times 100
\]

Note: Qx represents the requested year/quarter.
Report of Data Elements and Formulae Used *(Continued)*

Reimbursing Employers

E: Percentage of Amounts due paid timely

\[
\text{E} = \left( \frac{\text{Sum of CO7)} Q(x-3), Q(x-2), Q(x-1), Qx}{[1 - \frac{\text{Sum of CO7+CO8-CO9}) Q(x-3),Q(x-2),Q(x-1), Qx]} \right) \times 100
\]

F: Turnover Ratio - The ratio of receivables liquidated and declared uncollectible to taxes due

\[
\text{F} = \frac{\text{Sum of CO9+CO10+CO11}) Q(x-3), Q(x-2), Q(x-1), Qx}{(\text{Sum of CO7+CO8-CO9}) Q(x-3), Q(x-2), Q(x-1), Qx} \times 100
\]

G: Receivables declared uncollectible - The percent of tax due declared uncollectible and/or doubtful

\[
\text{G} = \left( \frac{\text{Sum of CO10+CO11}) Q(x-3), Q(x-2), Q(x-1), Qx}{(\text{Sum of CO7+CO8-CO9}) Q(x-3), Q(x-2), Q(x-1), Qx} \right) \times 100
\]

H: Accounts receivable at the end of the report period as a percent of tax due

\[
\text{H} = \frac{\text{CO12 for Qx}}{(\text{Sum of CO7+CO8-CO9}) Q(x-3), Q(x-2), Q(x-1), Qx} \times 100
\]

Note: Qx represents the requested year/quarter.
Help Section  The Help Section provides the following four options:

- context-sensitive help
- an overview of the subsystem
- help about keyboard operation procedures
- product release information

Accessing Help  To access the Help option, go to the Collections main window and choose the Help option. The Help menu, shown below, appears.

Help Menu
Shown below is the screen display of a typical help window.

Help Window

The Computed Measures subsystem is designed to calculate the performance indicators based on the SESA’s reported data. These indicators are used in turn to help the RQC reviewers in final evaluation of the timeliness and completeness of the State tax operations. Computed Measures will be used in four of the tax functions within RQC:

- Status Determination,
- Report Delinquency,
- Collections, and
- Field Audit.

Data needed to compute the performance indicators will come from reports currently submitted to the National Office as part of the UI Required Reporting (UIRR) System. The three reports from which the data is derived include:

If you choose the Context-Sensitive Help option from the Help menu, a Help window appears with messages related to the field on focus. You can view the entire help message with the mouse by using the scroll bar on the right side or by pressing the Page Up/Page Down keys on your PC. (Note: The Context-Sensitive Help option is active only if you choose Update from the Database menu to clarify edits/definitions for entry fields.)
To exit the Context-Sensitive Help option and return to the main window, either click on Close with the mouse, or press \[\text{Tab}\] three times to highlight the Close button, then press the space bar.

To see an overview of the subsystem, choose Overview. You can view the entire help message with the mouse by using the scroll bar on the right side, or by pressing the Page Up/Page Down keys on your PC. To return to the main window, either click on Close with the mouse, or press \[\text{Tab}\] three times to highlight the Close button, then press the space bar.

To see a help window with keyboard operation procedures for this part of the application, choose the Keyboard option from the Help menu. You can view the entire help message with the mouse by using the scroll bar on the right side, or by pressing the Page Up/Page Down keys on your PC. To return to the main window, either click on Close with the mouse, or press \[\text{Tab}\] three times to highlight the Close button, then press the space bar.

To see a help window with product release information for this part of the application, choose the Product Information option from the Help menu. To return to the main window, either click on Close with the mouse, or press \[\text{Tab}\] three times to highlight the Close button, then press the space bar.
FIELD AUDIT
Defining Field Audit Measures

The main purpose of the field audit function is to assist employers to comply with State laws and regulations and to determine if wages and taxes have been reported in accordance with law and agency policies.

To ascertain the level of employer compliance and provide for analysis of improper employer reporting and audit penetration by both number and size, there are three computed measures:

- Percentage of change in total wages resulting from audit.
- Percentage of contributory employers who are audited.
- Percentage of total wages audited.

Accessing Field Audit

To access the Field Audit function, go to the UIS Main Menu and choose the TAX PERFORMANCE SYSTEM option. In the TPS Main Menu, choose the Computed Measures option. When the Computed Measures Menu appears, choose the Field Audit option. Shown on the next page are these three menus.
Menu Selection

To display the Field Audit main window, shown on the next page, choose the Field Audit option from the Computed Measures Menu.
Field Audit Main Window

![Field Audit Main Window](image)

The main window has a menubar at the top with the following options: File, Database, Reports, and Help. Under each menubar option are the following options:

- **File.** Consists of Open, Save As, Print, and Exit. The Print option is further subdivided into System and Local.

- **Database.** Consists of Query, Update, Save, and Delete.

- **Reports.** Consists of Generate.

- **Help.** Consists of Context-Sensitive Help, Overview, Keyboard, and Product Information.
The menubar options have a tear-off feature that lets you separate the pull-down menu options. This option is useful if you want certain pull-down menus to remain on the screen for repetitive use. Normally these pull-down menus disappear after making your selection. To separate the menu options, simply click the mouse on the perforation under the menu option.

Menu Option with Perforation
Shown below is a screen of the tear-off menus for the Computed Measures menu bar.

**Tear-off Menus**
To access the menubar using the keyboard, simply press \( F_0 \) on the main window. The first option on the menubar is now highlighted. Using the left or right arrow keys, you can move to any of the menu options desired. To activate the menu option, simply press \( \text{Enter} \).

For example to access options from the Database menu on the menubar, you can also use one of the following methods:

- **Under the Database option:**
  - Press \( \text{Ctrl-q} \) to access Query.
  - Press \( \text{Ctrl-u} \) to access Update.
  - Press \( \text{Ctrl-s} \) to access Save.
  - Press \( \text{Ctrl-d} \) to access Delete.

You can also access some options under the Database menu option with fewer keystrokes by using what are termed as "hot keys". From the Field Audit main window:

- Press \( \text{Ctrl-q} \) to access Query.
- Press \( \text{Ctrl-u} \) to access Update.
- Press \( \text{Ctrl-s} \) to access Save.
- Press \( \text{Ctrl-d} \) to access Delete.
The operation of this part of the TPS program is explained in the following sections:

- data entry
- reports generation
- help
The data entry section enables you to enter missing data or correct inaccurate data retrieved from the UIRR database tables into the TPS database tables.

To access the Data Entry section, go to the Field Audit main window. Click on Database in the menubar, then choose Query. The Search Criteria window appears, as shown below.

A year and quarter must be entered which represents the "Report Year and Quarter" requested for updating.
Editing Data

Data entered on screens can be edited by following one of four different methods:

- If data need to be overwritten, press the "Insert" toggle key (on a PC) or the "Insert Here" toggle key (on an X-terminal, such as a Qume), then type over the required characters.

- If a single character of the data needs to be erased, press the arrow key to move the cursor before the character that you want to erase. Then press `DEL` (on a PC) or the backspace key (on an X-terminal), then reenter the required data.

- If the contents of the entire field need to be erased and if the field is already highlighted by default simply press `DEL` (on a PC) or the backspace key (on an X-terminal).

- If the contents of the entire field need to be erased and if the field is not already highlighted, highlight the field by clicking the mouse on the data field and dragging the mouse the entire length of the field, then press `DEL` (on a PC) or the backspace key (on an X-terminal).

Validating Data

The Search Criteria window displays the parameters year and quarter. Three pushbuttons appear at the bottom — OK, Cancel, and Help.

In the box to the right of "1) PLEASE ENTER THE REPORT YEAR: ", type the year of the report you want to inquire about in a YYYY format.

*Example:* 1991
For the year to be valid, it must satisfy the following validation criteria. The year cannot be:

- blank
- greater than current year
- less than UIRR-MIN-YEAR where UIRR-MIN-YEAR is the oldest record entered by UIRR existing in the database.

If any of these criteria are not met, an error message appears and the cursor moves to the field in error. Type a valid year. After you've typed a valid year, the cursor automatically goes to the quarter field.

In the box to the right of "2) PLEASE ENTER THE REPORT QUARTER: ", type 1, 2, 3, or 4 — the number representing the quarter of the report year you want to inquire about. The cursor then goes to OK.

Click on OK or press [Enter].

For the quarter to be valid, it must satisfy the following criteria:

- The quarter cannot be blank.
- The valid values of quarter must be 1 through 4.

If any of these are not met, an error message appears and the cursor moves to the field in error. Type a valid quarter.

After you type a valid year and quarter, the control automatically goes to the OK pushbutton. To return to the main window, choose Cancel. To display help messages related to the Search Criteria window, choose Help.

To have the program check for the validity of the query parameters and accessibility of the record in the database, choose OK. The following validations will now be performed.
Validation 1

If the selected year is the current year, the program checks to ensure that you have access to the records.

Example: If the query year you enter is 1995 (the same as the current year) and the current month and current day are 03 (March) and 15 (day), respectively, the validation check will be as follows:

IF selected quarter = 1
  earliest access date = "05/20/1995"
IF selected quarter = 2
  earliest access date = "08/20/1995"
IF selected quarter = 3
  earliest access date = "11/20/1995"
IF selected quarter = 4
  earliest access date = "02/20/1996"

In this example, you will not have access to data for the year 1995. An error message will indicate your access has been denied and you'll be prompted to reenter the query.

Validation 2

Assuming the program passes Validation 1, it then checks the existence of the UIRR record for the query parameters requested. If the UIRR record exists, the control moves to check Warning 1. If no record exists, an error message indicates the record is unavailable and you're prompted to reenter the query.

Warning 1

Assuming the query parameters pass Validations 1 and 2, the mail flag in the UIRR record is then checked to ensure that UIRR is not in the process of revising the record. The valid value for
the mail flag is "2" (Sent). If the value of the mail flag is either "0" (New) or "1" (Revision), a warning message appears indicating that UIRR is currently modifying the record and you're prompted if you want to continue the display process. You have two options:

- Yes - Goes ahead with display.
- No - Returns to reenter different query parameters.

Once the validations are complete, the Search Criteria window closes and the record appears on the main window. Two columns of data are displayed: the UIRR column with data from the UIRR database, and the TPS column with data (if data have been previously entered) from the TPS database.

From the Database menu, you can now choose the Update option if you want to update an TPS record, or the Delete option if you want to delete TPS data that was previously entered. If you choose Update, the cursor moves to the first field in the TPS column.

You can get context-sensitive help only in this mode. To access it, click on Help in the menubar and choose Context-Sensitive.

The validation edit checks for updating the record are given below:

**Warning**

If any of the data entry fields are set to "0", a warning message will be displayed "Do you really want to set this field to 0?". You have two options:

- Yes - Goes ahead and sets the value to 0.
- No - Returns control back to the field for the user to change value.
Computational Measures

Relational Edits

There are certain relationships between fields. The software will perform the following validations:

Validation 1. If FA1 >= FA2, then an error message indicating that FA1 cannot be greater than or equal to FA2 is displayed and the cursor is set on the field FA1.

Validation 2. If FA3 >= FA8, then an error message indicating that FA3 cannot be greater than or equal to FA8 is displayed and the cursor is set on the field FA3.

Validation 3. If FA4 >= FA8, then an error message indicating that FA4 cannot be greater than or equal to FA8 is displayed and the cursor is set on the field FA4.

Validation 4. If FA5 >= FA8, then an error message indicating that FA5 cannot be greater than or equal to FA8 is displayed and the cursor is set on the field FA5.

Validation 5. If FA6 >= FA8, then an error message indicating that FA6 cannot be greater than or equal to FA8 is displayed and the cursor is set on the field FA6.

Validation 6. If FA1 >= FA7, then an error message indicating that FA1 cannot be greater than or equal to FA7 is displayed and the cursor is set on the field FA1.

Validation 7. If FA5 - FA3 + FA4 <> FA6, then an error message indicating that FA5 - FA3 + FA4 must be equal to FA6 is displayed and the cursor is set on the field FA3.
When you want to save the updated record to the database by selecting **Save** from the **Database** option, the validations are performed again. After the validations are complete and the record has been written to the database, you’ll see a message on the status line indicating that the record has been successfully updated. However, if you want to cancel the process, after you select **Update**, any active menu items under **File**, **Database**, or **Reports** options can be chosen. If you choose any of these options, you’ll see the warning message, "Latest changes have not been saved, do you wish to save before continuing?" You have three options:

- **Yes** - Saves the record and continues with the menu item process chosen.
- **No** - Does not save the record but continues with the menu item process chosen.
- **Cancel** - Returns to the "Update" mode.

**Deleting Data**

If you choose **Delete** from the **Database** option, you’ll see the warning message, "Are you sure you wish to delete?" You have two options:

- **Yes** - Deletes the TPS record and clears the TPS column displayed.
- **No** - Returns you to the main window.
The Report Generation option enables you to generate, view, save, and print three types of reports:

- Computed Measures report
- Database Display report
- Data Elements and Formulae Used report

To display the Report Selection window, go to the Field Audit main window. Click on Reports in the menubar, then choose Generate. The Report Selection window, shown below, is displayed.
The top of the window lists the types of reports you can generate:

- Computed Measures
- Database Display
- Data Elements and Formulae Used

The bottom of the window features six pushbuttons:

- Generate
- Save As
- PreView
- Cancel
- Print
- Help

Four pushbuttons — Generate, PreView, Print, and Save As — are active or inactive, depending upon previous actions. For example, you cannot preview or print a report before the report is generated.

**Generating Reports**

The first time you access the Report Selection window, the default report — which is the Computed Measures report — is highlighted both at the top and in the Report Selected field. The Generate pushbutton is active. If you want to generate a report other than the default report, click on the report desired in the list or highlight it with an arrow key, then press ENTER and that report name will appear in the Report Selected field.

When you choose either a Computed Measures report or a Database Display report and then press Generate, a Search Criteria window prompts you for Year and Quarter of the report. If, however, you choose a Data Elements and Formulae Used report, no Search Criteria window is displayed. The validations on parameters on this Search Criteria window are similar to the validations described in the Data Entry section. This represents the "Year and Quarter" ending date for which the measure will be calculated.
When you type valid year and quarter parameters, the Search Criteria window closes and you see the following message on the status line,

Report Generation in Progress ... Please Wait

When the report generation is completed, the pushbuttons PreView, Print, and Save As become active.

Viewing Reports

To view a report on the screen, choose PreView. Shown below is an example of a PreView window.

**PreView Window**

You can scroll through the report by either clicking with the mouse on the scrollbar on the right side or pressing the PageUp/PageDown buttons. To close the window and return to the Report Selection window, either click on the Close button with the mouse, or press
Press [Tab] three times to highlight the Close button, then press the space bar.

**Printing Reports**

To print a report, choose Print. The Printer Selection window, shown below, appears.

**Printer Selection Window**

You have two options: System Printer and Local Printer. The system printer is attached to the SPARC system, and the local printer is attached to your workstation. At the bottom of this window there are three pushbuttons: OK, Cancel, and Help. When you choose OK, the printer selection window closes, the
report is printed on the printer selected, and you're returned to the Reports Selection window. Choose Cancel to return to the Reports Selection window. Choose Help to view help messages related to the printer selection window.

See examples of printed reports in the Samples of Reports section.

**Saving Reports**

A session begins when you log on and ends when you log off. When a session ends, none of the reports generated during the session is automatically saved because the UIRR data may have been changed between sessions. Thus, each time you login, the reports (computed measures and the data base display) must be regenerated. Therefore, if you want to save a report, you need to use the Save As option.

To save a report, choose Save As. The Save As window, shown below, appears.

**Save As Window**

![Save As Window]

At the bottom of the Save As window three pushbuttons appear: OK, Cancel and Help. If you choose OK, the default report name and path are used and the file is saved in the default directory which is your home directory. However, if you
choose to change the default path or/and the filename, type over the default path/filename of your choice. Click on the OK pushbutton to accept the input and activate the "Save" process. Using the keyboard, you can press \[\text{Tab}\] to move to the pushbutton OK, then use the arrow keys to traverse the pushbuttons. To activate the pushbutton, press the space bar when the focus is on the pushbutton desired. Any files saved will be checked for valid path and filenames. Shown below are the default filenames generated by the system for each report selection.

<table>
<thead>
<tr>
<th>Report Selection</th>
<th>Default filename</th>
</tr>
</thead>
<tbody>
<tr>
<td>Computed Measures</td>
<td>cm_f_m_Year_Qtr.login_id</td>
</tr>
<tr>
<td></td>
<td>Ex: cm_f_m_1990_1.timmsr</td>
</tr>
<tr>
<td>Database Display</td>
<td>cm_f_d_Year_Qtr.login_id</td>
</tr>
<tr>
<td></td>
<td>Ex: cm_f_d_1990_1.timmsr</td>
</tr>
<tr>
<td>Data Elements and Formulae</td>
<td>cm_f_list.timmsr</td>
</tr>
<tr>
<td>Used</td>
<td>Ex: cm_f_list.timmsr</td>
</tr>
</tbody>
</table>

When you choose Cancel on the Reports Selection window, the Reports Selection window closes and you're returned to the main window.

When you choose Help on the Reports Selection window, help messages related to the Reports Selection window appear.
If you generate reports during a session, after the reports are generated you have the following options available from the File option in the menubar: Open, Save As, and Print.

**Open.** If you choose Open, a File Selection window, shown below, displays selected reports generated during the session. However, if no reports were generated during this session, a message "No Report files present for Retrieval" appears.

**File Selection Window**

![File Selection Window](image)
Three pushbuttons are displayed at the bottom of the File Selection window: OK, Cancel, and Help. Any file chosen from the list appears on the selection window. To display the file, click on OK. Choose Cancel to return to the main window. Choose Help to view help messages related to the File Selection window.

Save As. To save selected reports generated during the session, choose Save As. A Save As window appears. If, however, no reports were generated during this session, a message "No Report files present for Save" is displayed.

Three pushbuttons are shown at the bottom of the Save As window: OK, Cancel, and Help. When you choose OK, the default report name and path are used and the file is saved in the default directory. Any files saved will be checked for valid path and filenames. Choose Cancel to return to the main window. Choose Help to view help messages related to the Save As window.

Print. To print selected reports generated during the session, choose Print. A submenu with the options System and Local appears. Choose either option to display the File Selection window. However, if no reports were generated during this session, you'll see the following message in the message window.

      No Report files present for Print.

Three pushbuttons are displayed at the bottom of the Printer Selection window: OK, Cancel, and Help. Any file chosen from the list appears on the selection window. To print the file on the printer selected, click on OK. Choose Cancel to return to the main window. Choose Help to view help messages related to the Printer Selection window.

A radio button is a button grouped with other buttons that allows
you to choose only one option from the group at a time, like selecting your favorite radio station. In the File Selection window, which appears in this section, the following radio buttons are available as auxiliary options.

Select
Allows you to choose files from the box marked List.

Delete
Allows you to delete any or all files from the User Selection box. To delete a file from the User Selection box, highlight the file to be deleted by dragging the mouse the entire length of the filename, then select the Delete radio button.

Search
Generates a Search Dialog box from which you can enter a string (the full path name for the desired file) to be found within the box marked List.

Top
Display the top of the list in the box marked List.

Bottom
Displays the bottom of the list in the box marked List.

Samples of Reports
The Report Generation application produces three types of reports:
Reports of Computed Measures are indicators used in conjunction with the accuracy findings to determine if necessary actions are being accomplished in a timely, complete manner. The reports follow specified formats. If essential data element(s) are missing, the Report of Computed Measures indicates the missing data elements; otherwise, the percentage value for indicators is displayed on the report.

The Database Display Report is a replica of the data entry screen.

Shown on the following pages are examples of each type of report.
Report of Computed Measures

The following is a sample of a Computed Measures report generated for a year/quarter in which all data elements collected are valid.

Date: 03/11/1995

REPORT OF COMPUTED MEASURES
FIELD AUDIT

State: CA
Requested Year/Qu: 1990/1

A: Percentage of Change in total wages resulting from audit ..... 1.4%
B: Percentage of contributory employers which are audited ..... 1.8%
C: Percentage of total wages audited ..... 1.5%
Computed Measures Report

The following is a sample of a Computed Measures report generated for a year/quarter in which some data elements collected are missing/invalid. In addition to the Computed Measures Report, a report of missing data will also be generated, which is shown on the next page.

Date: 03/11/1995

TAX PERFORMANCE SYSTEM

REPORT OF COMPUTED MEASURES
FIELD AUDIT

State: CA
Requested Year/Quar: 1990/2

A: Percentage of Change in total wages resulting from audit ..... UNKNOWN

B: Percentage of contributory employers which are audited ..... 1.8%

C: Percentage of total wages audited ..... UNKNOWN

Note: UNKNOWN indicates missing quarter of data needed for computation. Refer to the REPORT OF MISSING DATA.
Date: 03/11/1995

TAX PERFORMANCE SYSTEM

COMPUTED MEASURES

REPORT OF MISSING DATA

FIELD AUDIT

State: CA
Requested Year/Quar: 1990/2

A: Measure could not be computed.
   - Missing data in FA5 for following year/quarter(s):
     1991/4
     1992/1
     1992/2

C: Measure could not be computed.
   - Missing data in FA6 for following year/quarter(s):
     1991/4
     1992/1
     1992/2

   - Missing data in FA8 for following year/quarter(s):
     1990/3
     1990/4
     1991/1
     1991/2

Note: This is an example of a Missing Data Report. However, this report does not appear if all data are available for calculating the measures.
Database Display Report

The following is a sample of the Database Display report generated for a year/quarter.

Date: 03/11/1995

<table>
<thead>
<tr>
<th>Description</th>
<th>Report/Element</th>
<th>TPS</th>
<th>UIRR</th>
<th>Report/Element</th>
<th>TPS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total # of Completed Audits Contributory</td>
<td>ETA 581/46</td>
<td>FA1</td>
<td>3,641</td>
<td>ETA 581/46</td>
<td>FA1</td>
</tr>
<tr>
<td>Total # of Contributory Employers</td>
<td>ETA 581/1</td>
<td>FA2</td>
<td>563,007</td>
<td>ETA 581/1</td>
<td>FA2</td>
</tr>
<tr>
<td>Total Wages - Amt Over-reported</td>
<td>ETA 581/55</td>
<td>FA3</td>
<td>562,040,000</td>
<td>ETA 581/55</td>
<td>FA3</td>
</tr>
<tr>
<td>Total Wages - Amt Under-reported</td>
<td>ETA 581/52</td>
<td>FA4</td>
<td>668,664,000</td>
<td>ETA 581/52</td>
<td>FA4</td>
</tr>
<tr>
<td>Total Wages Audited - Pre-Audit</td>
<td>ETA 581/48</td>
<td>FA5</td>
<td>55,444,230</td>
<td>ETA 581/48</td>
<td>FA5</td>
</tr>
<tr>
<td>Total Wages Audited - Post-Audit</td>
<td>ETA 581/49</td>
<td>FA6</td>
<td>45,456,200</td>
<td>ETA 581/49</td>
<td>FA6</td>
</tr>
<tr>
<td>Total # of Quarters Audits</td>
<td>ETA 581/47</td>
<td>FA7</td>
<td>16,039</td>
<td>ETA 581/47</td>
<td>FA7</td>
</tr>
<tr>
<td>Total Wages Paid - All Contributory Employers</td>
<td>ES 202</td>
<td>FA8</td>
<td>810,411,028</td>
<td>ES 202</td>
<td>FA8</td>
</tr>
</tbody>
</table>
Report of Data Elements and Formulae Used

The following is a sample of a Report of Data Elements and Formulae Used.

Date: 03/11/1995

TAX PERFORMANCE SYSTEM

COMPUTED MEASURES

REPORT OF DATA ELEMENTS AND FORMULAE

FIELD AUDIT

<table>
<thead>
<tr>
<th>TPS EDI</th>
<th>Report #/ Element #</th>
<th>UIRR EDI</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>FA1</td>
<td>ETA 581/46 c25b</td>
<td></td>
<td>Total # of Completed Audit - Contributory</td>
</tr>
<tr>
<td>FA2</td>
<td>ETA 581/1 c1</td>
<td></td>
<td>Total # - Contributory Employers</td>
</tr>
<tr>
<td>FA3</td>
<td>ETA 581/55 c40a</td>
<td></td>
<td>Total Wages - Amt over-reported</td>
</tr>
<tr>
<td>FA4</td>
<td>ETA 581/52 c37a</td>
<td></td>
<td>Total Wages - Amt Under-reported</td>
</tr>
<tr>
<td>FA5</td>
<td>ETA 581/48 c66</td>
<td></td>
<td>Total Wages Audited - Pre-Audit</td>
</tr>
<tr>
<td>FA6</td>
<td>ETA 581/49 c67</td>
<td></td>
<td>Total Wages Audited - Post-Audit</td>
</tr>
<tr>
<td>FA7</td>
<td>ETA 581/47 c26a</td>
<td></td>
<td>Total # of Quarters Audited</td>
</tr>
<tr>
<td>FA8</td>
<td>ES 202 c5</td>
<td></td>
<td>Total Wages Paid - All Contributory Employers</td>
</tr>
</tbody>
</table>
Report of Data Elements and Formulae Used (Continued)

A: Percent of Change in Total Wages Resulting from Audit

\[
\frac{\text{(Sum of FA3+FA4) for Q(x-3), Q(x-2), Q(x-1), Qx}}{\text{(Sum of FA5) for Q(x-3), Q(x-2), Q(x-1), Qx}} \times 100
\]

B: Percent of Contributory Employers Audited

\[
\frac{\text{(Sum of FA1) for Q(x-3), Q(x-2), Q(x-1), Qx}}{\text{FA2 for Q(x-5)}} \times 100
\]

C: Annualized Percent of Total Wages Audited

\[
\frac{\left[\text{(Sum of FA6) for Q(x-3), Q(x-2), Q(x-1), Qx} \times \text{(Sum of FA1) for Q(x-3), Q(x-2), Q(x-1), Qx}\right]}{\left[\text{(Sum of FA7) for Q(x-3), Q(x-2), Q(x-1), Qx} \times \text{(Sum of FA8) for Q(x-7), Q(x-6), Q(x-5), Q(x-4)}\right]} \times 4 \times 100
\]

Note: Qx represents the requested year/quarter
The Help Section provides the following four options:

- context-sensitive help
- an overview of the subsystem
- help about keyboard operation procedures
- product release information

To access the Help option, go to the Field Audit main window and choose the Help option. The Help menu, shown below, appears.

Help Menu
Shown below is the screen display of a typical help window.

Help Window

The Computed Measures subsystem is designed to calculate the performance indicators based on the SESA’s reported data. These indicators are used in turn to help the RQC reviewers in final evaluation of the timeliness and completeness of the State tax operations. Computed Measures will be used in four of the tax functions within RQC:

- Status Determination,
- Report Delinquency,
- Collections, and
- Field Audit

Data needed to compute the performance indicators will come from reports currently submitted to the National Office as part of the UI Required Reporting (UIRR) System. The three reports from which the data is derived include:

If you choose the Context-Sensitive Help option from the Help menu, a Help window appears with messages related to the field on focus. You can view the entire help message with the mouse by using the scroll bar on the right side or by pressing the Page Up/Page Down keys on your PC. (Note: The Context-Sensitive Help option is active only if you choose Update from the Database menu to clarify edits/definitions for entry fields.)
To exit the Context-Sensitive Help option and return to the main window, either click on Close with the mouse, or press \( \text{Tab} \) three times to highlight the Close button, then press the space bar.

To see an overview of the subsystem, choose Overview. You can view the entire help message with the mouse by using the scroll bar on the right side, or by pressing the Page Up/Page Down keys on your PC. To return to the main window, either click on Close with the mouse, or press \( \text{Tab} \) three times to highlight the Close button, then press the space bar.

To see a help window with keyboard operation procedures for this part of the application, choose the Keyboard option from the Help menu. You can view the entire help message with the mouse by using the scroll bar on the right side, or by pressing the Page Up/Page Down keys on your PC. To return to the main window, either click on Close with the mouse, or press \( \text{Tab} \) three times to highlight the Close button, then press the space bar.

To see a help window with product release information for this part of the application, choose the Product Information option from the Help menu. Choose Close to return to the main window. To return to the main window, either click on Close with the mouse, or press \( \text{Tab} \) three times to highlight the Close button, then press the space bar.
METHODS SURVEY
Methods surveys are used to gather data on the tools, procedures, and best practices used among States for facilitating employer identification/registration, collecting delinquent reports, auditing, and managing accounts receivable.

The information gathered will be processed and shared among States to help them improve their tax procedures. It will also be analyzed along with results of Computed Measures to determine methods used by high performance States.

Surveys will be conducted on the methods used for the following tax functions:

a. Status Determination
   - Identification and registration of employers
   - Differentiation of employees from independent contractors
   - Accommodation of the employee leasing industry by SESA laws

b. Report Delinquency
   - Resolution of report delinquencies
   - Promotion of reporting and payment compliance

c. Collections
   - Management of accounts receivable
   - Collection procedures

d. Field Audit
   - Audit unit structure
   - Auditor responsibilities
   - Methods to select employers for audit
   - Computerized Audits
Overview

The Methods Survey subsystem is a set of four modules which use a suite of sophisticated menu-driven software to input, update, and retrieve data on methods and tools used by States in the tax functions of Status Determination, Report Delinquency, Collections, and Field Audit.

Data entered is identical to responses for the set of survey questions in the TAX PERFORMANCE SYSTEM Operations Handbook. The software provides data entry screens whose formats are similar to the questions in the Handbook.

Since the amount of survey information to be recorded for each tax function is large, the data entry task is logically subdivided into multiple screens. Data entered on each sub-screen is voluminous. To prevent data entered from being lost in case of a modem drop or system fault, it is recommended that each screen be saved to the database before moving to the next one. The software provides two types of "Save" functions: one saves data without executing any edits, and the other checks the validity of the data on the current screen before saving information to the database. This option is provided so that an entire survey need not be entered all at once but can be input over time.

Since the survey question types for all the four tax functions are similar in nature, this guide covers general operations using examples of the types of questions possible in each tax function.

The software provides the means for retrieving a given year's Methods Survey data pertaining to a particular tax function. Output Reports consist of data extracted from the database for an input year. Other outputs include an error report which can be generated if the survey is incomplete or has missing/invalid information.
Normal Use of Methods Survey Software

This guide is organized according to the order the menu options appear on the screens. You will normally "Add" survey information when first using the software. Data can be added for all or part of the survey. If the entire survey can be entered at once, you need only validate and save the data.

Whenever all or part of a survey has already been entered and you want to continue to add or update previously entered information, the survey must first be retrieved (using Query) from the database. Once the proper year has been retrieved (queried), you must select Update to either complete the data entry or change previously entered information.

Each time you exit or move to another screen, you will be asked to save the information.

Once the data is entered for a particular survey year, database display reports can be generated for a single section, multiple sections, or all sections.
Accessing Methods Survey

To access the **Methods Survey** option, press `F2` or click the left mouse button to display the UIS Main Menu.

Choose (R)evenue Quality Control from the UIS Main Menu.

Choose (M)ethods Surveys from the TPS Main Menu to display the four tax functions. Any one of the four tax functions can be selected for execution.

**Methods Survey Menu**

If you choose the **Status Determination** tax function from the **Methods Survey** menu, you'll see the Status Determination main window, shown below. Similar main windows are displayed if one of the other tax functions is selected, namely, **Report Delinquency**, **Collections**, and **Field Audit**.
Status Determination Main Window

The main window displays the menubar with the following items: **File, Database, Edit, Screen, Validate, Reports, and Help.** The following options are under each menubar item:

- **File**
  - Open
  - Save As
  - Print (System and Local) Go_To
  - Exit

- **Database**
  - Add
  - Query
  - Update
  - Save
  - Delete

- **Edit**
  - Clear_Text

- **Screen**
  - Next_Screen
  - Previous_Screen

- **Validate**
  - Check_for_Errors

- **Reports**
  - Generate

- **Help**
  - Context-Sensitive Help
  - Overview
  - Keyboard
  - Product Information
THE OPERATIONS OF THIS MODULE WILL BE EXPLAINED IN THREE DISTINCT SECTIONS: DATA ENTRY, REPORTS GENERATION, AND HELP.

ENTERING DATA

The data entry section will discuss in detail the functions of four of the six menu options provided on the menu bar of the main window. These options are:

- Database Screen
- Edit Validate

ADDING DATA

If you choose Add from the Database option, you'll see a screen, shown below, to enter the year of the survey you want to add.

SURVEY YEAR WINDOW

Three pushbuttons appear at the bottom of the window: OK, Cancel, and Help.
Validating Survey Date

Validation edits on the parameter "Year" are that the year cannot be:

- Blank (NULL)
- greater than the current year (The year maintained by the computer is the current year.)
- less than 1996

To have the program check for the validity of the query parameters, choose OK. If any of the above criteria are not met, an appropriate error message appears and the focus returns to the "Year" field.

If you enter a valid year, the control automatically goes to the OK pushbutton. To return to the main window, choose Cancel. To display help messages related to the query window, choose Help.

If the selected year is a valid current year, the program checks to ensure that you, the user, have access to the survey record requested.

When attempting to Add a new survey, if a survey year entered on the query screen already exists in the database, the following error message appears.
Error Window

If you enter a valid year for the survey, the first survey screen (section A) is displayed for input. The menu item Clear_text under the Edit option is available for editing text fields; the menu items Next, Previous, and Go To under the Screen option are available for traversing through the survey.

If no record is found for the year requested, the following error message appears:

Error Window

If the record is found, the first survey screen is displayed. The following is an example of the first survey screen for the Status Determination tax function.
The method survey forms are long documents; so, for data entry, multiple screens are used. The screens are organized following the sections used in the Handbook for each function.
Status Determination has five screens.
1. Section A
2. Section B
3. Section C
4. Section D
5. Section E

Report Delinquency has five screens.
1. Part I, section A
2. Part I, section B
3. Part I, section C & D
4. Part I, section E & F
5. Part II, sections A & B

Collections has six screens.
1. Part I, section A & B.
2. Part II, section A
3. Part II, section B (1 - 7)
4. Part II, section B (8 - 10)
5. Part II, section B (11 - 18)
6. Part II, sections C through G

Field Audit has nine screens.
1. Demographics
2. Part I
3. Part II, section A
4. Part II, section B
5. Part II, section C
6. Part III
7. Part IV, section A
8. Part IV, section B
9. Part IV, section C
The menu items under the **Screen** option are:

**Next** To display the next logical screen of the survey.

**Previous** To display the previous logical screen of the survey.

**Go To** To choose the screen to be displayed. When you choose this option, you're prompted to choose the screen you want to be displayed. Shown below is an example of the Status Determination "Go To" window.

### Go To Window

![Go To Window](image)

In the above example, the screen option for the screen currently displayed is section A for Status Determination; however, you can choose any other screen to be displayed. If you click on the radio button for the screen section you want and choose **OK**, this screen closes and the screen you requested appears.
Types of Survey Questions

Below are five examples of variations of different survey questions showing:

- data input scenarios you'll encounter across the different tax functions
- a description of how each scenario will function.

Example 1

The question in Example 1 requires you to choose Yes or No. Selecting either one automatically deselects the other. The question does not have any dependencies or related questions.

Example 2

In Example 2, you have a combination of Yes or No buttons and a percentage of employers if the Yes button is chosen. If you choose Yes, you need to fill in the "% of Employers." If you choose No, the focus automatically moves to the next question (b).
Let's suppose you choose Yes and enter the % of employers. You then decide to change your answer to No. A warning message pops up indicating that:

"Changing this answer deletes answers entered for any following related questions. Are you sure you want this answer changed?"

Options on the warning dialog are Yes and No. Choosing Yes deselects the Yes button and resets the "% of employers" field to blanks on the survey screen. Choosing No retains the values you previously entered.

Example 3

2. Does the SEPA analyze the effectiveness of employer identification sources it utilizes?  
   Yes  No

If yes, describe the analysis and findings for the last period analyzed.

In Example 3 above, you have a combination of Yes and No buttons and a Comments area. If you choose Yes, the Comments area needs to be completed. If you choose No, the focus automatically moves to the next question on the survey.
Let's suppose you choose Yes and then enter text in the Comments area. You then decide to change your answer to No. A warning message pops up indicating that:

"Changing this answer deletes answers entered for any following related questions. Are you sure you want this answer changed?"

Options on the warning dialog are Yes and No. If you choose Yes, the text in the Comments field is deleted. If you choose No, the values you previously entered are retained.

The Comments area in the screen displayed above is a multi-line text field allowing you to enter 16 lines of text, 65 characters per line. Although only three lines of this multi-line text field are displayed on the screen, you can scroll along the side of the Comments area to view all 16 lines.

The Comments areas throughout the survey have a built-in word-wrap feature which transfers incomplete words at the end of a line automatically to the next line. To delete selected text in a Comments area, block the text with the mouse, then press [DEL]. To delete all the text in a Comments area, put the cursor in the Comments area, then select the Edit - Clear_Text option in the menu bar.
Also, if you choose the **Zoom** pushbutton on the right side of the text field, all 16 lines of text entered are shown. You cannot, however, modify text in the **Zoom** window. If no text is in the Comments area, selecting the **Zoom** button does not trigger any response.

**Zoom Window**

![Zoom Window Image]

This checklist serves as a tool to review existing methods within the States' function such as the identification and registration of employers, the investigation of special issues such as classifying workers as employees or independent contractors, and methods of developing the employer listing. The survey also contains a section on Electronic Data Interface (EDI) to determine the level of activity in this area. A section on Tax Appeals is included to ascertain the rationale of the process in the SDEA. All this data is being gathered to provide technical assistance to SDEAs. The information stored in this State was checked by the NEC monitor and was found to be accurately maintained. The State procedure requiring registration and incentives are given to employers registering on time.
Example 4

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>3. Does the SESA have an Appeals section/division that hears tax issues?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If yes:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Is it separate from the Benefit appeals section?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Is there a Tax, lower appeal authority?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. Is there a Tax, higher appeal authority?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

In Example 4 above, you have a combination of Yes or No buttons and a set of three sub-questions — (a), (b), (c) — related to the Yes response. If you choose Yes, the three sub-questions need to be answered. If you choose No, the program skips the sub-questions and the focus automatically moves to the next sequential question on the survey form.

Let's suppose you choose Yes and enter answers to sub-questions (a), (b), and (c). You then decide to change your answer to No. A warning message pop up indicating that:

"Changing this answer deletes answers entered for any following related questions. Are you sure you want this answer changed?"

Options on the warning dialog are Yes and No. Choosing Yes deselects the Yes button of the main question and deletes answers to the related sub-questions and selects the No button of the main question on the survey screen. Choosing No retains the answers you previously entered.
Example 5

Consider question (1) in Example 5 above. You have a combination of Yes or No buttons and a set of questions (2) - (10) (only four are displayed). If you choose Yes, the following questions of the section (questions 2-10) need to be completed. If you choose No, the program skips the questions and moves to the next question, if there is one. Data entry fields for questions 2 through 10 on this screen are protected meaning they cannot be answered.

Let's suppose you choose the Yes button and enter the answers to questions (2) - (10). You then decide to change your answer to No. A warning message pops up indicating that:

"Changing this answer deletes answers entered for any following related questions. Are you sure you want this answer changed?"
Options on the warning dialog are Yes and No. Selecting Yes deselects the Yes button of the main question and deletes answers to the related questions and selects the No button of the main question on the survey screen. Selecting No retains the answers you previously entered.

You need to complete all data entry fields in the survey unless choosing a particular answer for a question allows you to skip the data entry fields that follow it.

Example: Choosing Yes to a set of radio buttons may necessitate you to enter information in the related comment field. Choosing No, however, allows you to skip the comment field.

Querying Data

Choose the Query mode to find/retrieve a survey previously added to the database. The data fields shown on the screen are non-modifiable or display-only. You can traverse through the entire survey by using the menu items under the menu option Screen.

Although you can only view a record in the display-only (Query) mode, when in this mode you can choose options from the Database menu that enable you to perform the following actions, depending upon the next action you want to do:

Add  Adds a new survey for a year not yet entered.
Query  Retrieves a survey for any other year.
Update  Revises the survey currently retrieved.
Delete  Deletes the survey retrieved.

Updating Data  After finding the survey year you want using the Query option, you
can then choose **Update** to make changes. If you choose **Update**, the cursor moves to the first field in the screen displayed. Context-Sensitive help is available in this mode only. If you choose the **Help** option on the menubar and then choose **Context-Sensitive Help**, you'll see help messages relating to the field in focus. The options for screen traversal under the menu option **Screen** are also available in this mode.

The validation checks for updating the record are given below:

**Warning 1**

If you modify a data entry field and the outcome of the modification affects related fields, the following warning message appears:

"Changing this answer deletes answers entered for any following related questions. Are you sure you want this answer changed?"

- **Yes** - Go ahead and reset all related fields.
- **No** - Resets fields with previous values.

Examples of these types of fields are provided earlier in this guide under the section "Types of Survey Questions."

**Warning 2**

If you modify a data entry field, then choose an option under the menu option **Screen** or any other menu option that is active (other than **Save**), you'll see the warning message shown below.

**Warning Window**
Choices in the warning window perform the following:

**Yes (w/edits)**  Saves the record after validating all input information.

**Yes (w/o edits)**  Saves the record without validating input information.

**No**  Does not save the record and proceeds with operation selected. Any data fields that have been changed are reset to their previous values.

**Cancel**  Returns you to the original screen modified.

**Help**  Displays help messages for this screen.
Saving Data

When you're in Update mode, you can choose any active menu option under File, Database, or Reports. If you choose any of these options, you'll see a warning message stating that the updated record has not been saved. You now have three options:

- save the record.
- do not save the record, but continue with the menu item process chosen.
- return to the Update mode.

To save the updated record to the database, choose Save from the Database option. A submenu displays two options:

- **Save with Edits**, which updates the record to the database after validations are accomplished.
- **Save without Edits**, which saves the updated record to the database without executing any validations.

If you choose the **Save with Edits** option, during validations if any incorrect input is encountered, error messages are displayed and the cursor is on the field in error. If there are no errors encountered during validations, the record is written to the database. A message appears on the status line indicating that the record has been successfully updated.

Deleting Data

If you choose **Delete** from the Database option, a warning message prompts you, "Are you sure you wish to delete?". The options available are:

- **Yes** - Deletes the survey record
- **No** - Returns control to the main window

If you choose the **Check_for_Errors** menu item from the Validate
Final Validation option, validation checks for all screens are performed. If any errors are encountered, an error message is shown.

Error Report — Option Selection Window

At this point, an error file has already been generated indicating the associated errors for the current year being processed. You can then either:

- preview the error file,
- print the error file,
- save the error file,
- return to the update/add session, or
- request help.

A validation stamp displaying "** INCOMPLETE **" is shown on the survey, which indicates that fields must be corrected.

Text Validation. Text must be entered for all questions requiring comments as well as questions asking for "Code Source(s)". If the code source is unknown, enter "Information not available". Failure to do so will cause validation errors.
If no errors are encountered after the menu item Check_for_Errors from the Validate option is selected, a message appears indicating that no errors have been found. The validation stamp displays "** COMPLETE **" on the survey.
Generating Reports

If you choose the Generate Reports menu item from the Reports option, the Report Selection window is shown. Six pushbuttons appear at the bottom of the window:

- Generate
- PreView
- Print
- Save As
- Cancel
- Help

Four pushbuttons — Generate, PreView, Print, Save As — are inactive, but become activated when required during the report generation process. Shown below is the screen display of the Report Selection window.

Report Selection Window

The Report Selection window displays a Database Display report that can be generated by this module.
If you choose the Database Display report, the report's name appears in the Selection window and the Generate pushbutton becomes active. If you choose the Generate pushbutton, a query window appears prompting you for the parameters "Year" and "Sections Required." The validations on year on this query window are similar to those described in the data entry section.

**Report Query Window**

When you enter valid parameters, the query window closes and the processing message, "Report Generation in Progress ... Please Wait," appears. Once Report Generation is complete, the pushbuttons PreView, Print, and Save As become active.
Viewing Reports  When you choose **PreView**, the report is displayed on a view window.

When you choose **Close** on the view window, the window closes and control returns to the Report Selection window.

View Window

Printing Reports  When you choose **Print**, the printer selection window appears.
Options available are **System Printer** and **Local Printer**. Three pushbuttons appear at the bottom of this window: **OK**, **Cancel**, and **Help**. If you choose **Cancel**, control returns to the Reports Selection window. If you choose **Help**, help messages are displayed related to the printer selection window. If you choose **OK**, the printer selection window closes, the report is printed on the printer selected, and control returns back to the Reports selection window.

Shown below is the screen display of the printer selection window.

**Printer Selection Window**

<table>
<thead>
<tr>
<th>Methods Survey</th>
<th>Generating Reports</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

![Printer Selection Window Diagram]

**Printer Selection Window**

![Diagram of Printer Selection Window]

System Printer and Local Printer.
To save a report, choose Save As. The Save As window, shown below, appears.

**Save As Window**

![Save As Window]

**Saving Reports**

At the bottom of this window three pushbuttons appear: OK, Cancel, and Help. If you choose OK, the default report name and path are used and the file is saved in the default directory. If you change the default filename or the path, the input gets validated. Shown below are the default filenames generated by the system for each report selection.

<table>
<thead>
<tr>
<th>Report Selection</th>
<th>Default Filename</th>
</tr>
</thead>
<tbody>
<tr>
<td>Database Display</td>
<td>ms_s_d_Year.login_id</td>
</tr>
<tr>
<td></td>
<td>Ex: ms_s_d_1990.timmsr</td>
</tr>
</tbody>
</table>

If you choose Cancel on the Report Selection window, the Report Selection window closes and you're returned to the main window.
If you choose Help on the Report Selection Window, help messages related to the Report Selection window are displayed.

**File Options**

**Available After Generating Reports**

If you generate reports during a session, after the reports are generated you have the following options available from the File option in the menubar: **Open**, **Save As**, and **Print**.

**Open.** If you choose **Open**, a File Selection window, shown below, displays selected reports generated during the session. However, if no reports were generated during this session, a message, "No Report files present for Retrieval" is displayed.
Three pushbuttons appear at the bottom of the File Selection window: OK, Cancel, and Help. Any file chosen from the list appears on the selection window.

To display the file, select OK. Choose Cancel to return to the main window. Choose Help to view help messages related to the File Selection window.

Save As. To save selected reports generated during the session, choose Save As. However, if no reports are generated during this session, a message "No Report files present for Retrieval" is displayed.

Three pushbuttons appear at the bottom of the Save As window: OK, Cancel, and Help. When you choose OK, the default report name and path are used and the file is saved in the default directory. Choose Cancel to return to the main window. Choose Help to view help messages related to the Save As window.

Print. To print selected reports generated during the session, choose Print. A submenu with the options System and Local appears. If you choose either option, the File Selection window appears. However, if no reports are generated during a session, a message "No Report files present for Retrieval" appears.

Three pushbuttons appear at the bottom of the File Selection window: OK, Cancel, and Help. If you choose a file from the list, the selection appears on the selection window. To print the file on the printer selected, choose OK. Choose Cancel to return to the main window. Choose Help to view help messages related to the File Selection window.
Using Help

The Help Section provides the following five options:

- context-sensitive help
- an overview of the subsystem
- help about keyboard operation procedures
- product release information
- widget usage help

Shown below is the screen display of a typical help window.

Help Window

If you choose the **Context-Sensitive Help** option from the **Help** menu, a help window appears with messages related to the field on
focus. *(Note: The Context-Sensitive Help option is active only if you choose Add or Update from the Database menu.)* To exit the Context-Sensitive Help option and return to the main window, choose Close.

To see an overview of the subsystem, choose Overview. To return to the main window, choose Close.

To see a help window with keyboard operation procedures for this part of the application, choose the Keyboard option from the Help menu. To return to the main window, choose Close.

To see a help window with product release information for this part of the application, choose the Product Information option from the Help menu. To return to the main window, choose Close.

If you choose the Widget Usage Help option from the Help menu, a help window appears with messages related to the widget on focus. *(Note: The Widget Usage Help option is active only if you choose Add or Update from the Database menu.)* To exit the Widget Usage Help option and return to the main window, choose Close.

Database Display
Outputs generated by the Methods Survey subsystem are the database display reports, which are replicas of the data entry screens.

Below is an example of the database display report for a Status Determination Methods Survey (note that this example is an "Incomplete Report"), followed by an example of the error report. Data used in the example are not meant to be actual responses by a State agency, but are shown for format purposes only.
## METHODS SURVEY

**Database Display**

**DATE:** 04/05/1996

---

### TAX PERFORMANCE SYSTEM

**METHODS SURVEY**

**DATABASE DISPLAY**

**STATUS DETERMINATION**  **INCOMPLETE**

**STATE:** ST

**REQUESTED YEAR:** 1995

---

**A. METHODS TO FACILITATE EMPLOYER IDENTIFICATION**

1. **Does the SESA use the following methods to identify new/'hidden' employers subject to coverage? If yes, record the approximate percentage of those employers so identified. If the percentage is unknown but the method is utilized, leave the percentage blank.**

<table>
<thead>
<tr>
<th>Methods</th>
<th>Yes/No</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Voluntary Registration</td>
<td>Y</td>
<td>25.50</td>
</tr>
<tr>
<td>b. Investigation of Blocked Claims</td>
<td>Y</td>
<td></td>
</tr>
<tr>
<td>c. Follow-up of Tips and Leads</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>d. Crossmatch IRS Tape for FUTA Certification</td>
<td>Y</td>
<td>21.60</td>
</tr>
<tr>
<td>(940 Identification Tape)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>e. Crossmatch IRS FEIN Indentification Tape</td>
<td>Y</td>
<td>17.45</td>
</tr>
<tr>
<td>(941 Quarterly Entity Extract Tape)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>f. Crossmatch with non-SESA State Agencies</td>
<td>Y</td>
<td>34.57</td>
</tr>
<tr>
<td>g. Review Bankruptcy Court Proceedings</td>
<td>Y</td>
<td>50.98</td>
</tr>
<tr>
<td>h. Canvass Areas/Neighborhoods</td>
<td>Y</td>
<td>57.67</td>
</tr>
<tr>
<td>i. Exchange Audit Results with IRS</td>
<td>Y</td>
<td>89.89</td>
</tr>
<tr>
<td>j. Review 1099's</td>
<td>Y</td>
<td>26.56</td>
</tr>
<tr>
<td>Other(list and describe below)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>k. (Field #1 – for other methods)</td>
<td></td>
<td>11.50</td>
</tr>
<tr>
<td>l. (Field #2 – for other methods)</td>
<td></td>
<td>12.50</td>
</tr>
<tr>
<td>m. (Field #3 – for other methods)</td>
<td></td>
<td>14.50</td>
</tr>
</tbody>
</table>

2. **Does the SESA analyze the effectiveness of employer identification sources it utilizes?**

   **Y**

   **If yes, describe the analysis and findings for the last period analyzed.**

   The analysis and findings will be used to describe the effectiveness of the identification sources.
B. Methods to Promote Employer Registration

1. What type of UI employer registration system does the SESA utilize?

   Yes/No

   ------

   a. Single Employer Registration form?.............. Y

   b. Unified/Combined Employer Registration (a form utilized by two or more government agencies within a State to register employers)?........... Y

2. Does the SESA identify multi-State employers (i.e., employers who have locations in more than one State)?.......................... Y

3. Answer the following questions to determine whether the SESA has systems in place to facilitate voluntary and accurate employer registration on UI Status forms:

   a. Does a system exist to solicit employer comments to assess the effectiveness of Status forms (e.g., are forms readable, are instructions clear, etc.)? ..................... Y

   If yes, describe

   This is the part which is difficult to test. But one can be sure this does not always happen.
C. Methods to Investigate Special Status Issues

1. As part of the Status function, does the SESA...
have special investigative procedures (other than routine field assignments) to determine whether workers are employees or independent contractors?.... Y

If yes, describe

As a part of the State function, this is an important function to be accomplished as soon as possible.

2. Does the SESA have methods to identify employee leasing operations?................................. N

If yes, describe

3. Has the State legislature passed laws to accommodate the employee leasing industry?............. N

If yes, describe

4. Do the SESA's successorship laws address employee leasing?............................................. N

If yes, describe

DATE: 04/05/1996
application in order to file data electronically?..... Y

4. Are PIN numbers or other security codes assigned to employers who are submitting data electronically?................................. Y

5. Are employer representatives (e.g., accountants, attorneys) allowed to electronically submit data for employers?................................. Y

6. Does your SESA specify the electronic records that EDI employers must retain?................................. Y

If yes, explain in what format and the time period:

SESA follows the format sent by the National Office to the ADP section. It is expected of the SESA to retain at least a year's worth of information for analysis.

7. What type(s) of reporting does your SESA accept?

DATE: 04/05/1996

8. How were EDI standards for submitting employers
data and contribution/wage reports determined for your SESA?

Yes/No

---

a. Jointly by employers and SESA.................... N
b. As developed by ICESA............................ N
c. Other, please explain............................ N

9. Do other government agencies in your State accept the same EDI standards for filing reports?......... INA

10. Is your SESA a member of an EDI user's group?....... Y

DATE: 04/05/1996

TAX PERFORMANCE SYSTEM

METHODS SURVEY
DATABASE DISPLAY
STATUS DETERMINATION  **INCOMPLETE**

STATE: ST
REQUESTED YEAR: 1995

---------------------------------------------------------------------------------

E. APPEALS SECTION

1. Does the SESA's Unemployment Compensation law address appeals of any of the following employers tax issues?

   Yes/No

---

   a. Initial liability......................... Y
   b. Tax rates................................. N
   c. Audit results............................. N
   d. IC/EE determinations.................... N
   e. Adjustments.............................. N
   f. Other, please explain................... N

2. Does the SESA have an Appeals section/division that hears tax issues?...................... N

   Yes/No

---

   If yes:

   a. Is it separate from the Benefit appeals section?..............................
   b. Is there a Tax, lower appeal authority?.................................
   c. Is there a Tax, higher
appeal authority?......................

3. What is the first step in appeals to the State Court System (e.g., District, Court of Appeals, Supreme Court)?

   District Court of Appeals.

DATE: 04/05/1996

TAX PERFORMANCE SYSTEM

METHODS SURVEY
DATABASE DISPLAY
STATUS DETERMINATION **INCOMPLETE**

STATE: ST
REQUESTED YEAR: 1995
------------------------------------------------------------------------

4. What are the qualifications of the Appeals officers?

   Yes/No
   ------
   a. Attorneys.............................. Y
   b. Tax specialists........................ N
   c. Other, please explain............... N

5. If higher level tax appeals are heard, are they heard by the same body that hears higher level UI benefit appeals?.................. N/A

   If no, explain:

6. Does the SESA have controls in place to ensure the timeliness of appeal decisions?......... N

   If yes, describe:
   a. Controls
      ------
b. Accountability

------

c. Effectiveness

7. Approximately how many tax appeals are pending?
   Indicate by answering yes to the closest range.

   Yes
   ---

   a. 0 to 500
   b. 501 to 100
   c. 1001 to 1500
   d. 1501 to 2000
   e. Over 2000

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8. What is the average age of pending tax appeals?.............. 5 years

9. Are employers with outstanding appeals:
   Yes/No
   -----

   a. Required to pay the contributions due on wages under appeal?
      .............. Y

   b. Required to pay the contributions, plus any applicable interest and
      penalty, after the appeal is final?
      Y

10. What is the approximate dollar amount at issue in the tax appeal cases currently pending?
    ......... 3456789.00

Error Report

F - III - 41

R 12/00
DATE: 06/07/1996

TAX PERFORMANCE SYSTEM
METHODS SURVEY
ERROR FILE
STATUS DETERMINATION

STATE: ST
REQUESTED YEAR: 1993

Section A

Sect A - ld : irs_futa_cert - button selection invalid
Sect A - le : irs_fein_id - button selection invalid
Sect A - lk : other_k - data missing

Section B

Sect B - la : sing_emp_reg_form - button selection invalid

Section C

Sect C - 2 : id_emp_leasing - button selection invalid

Section D

No errors have been detected for section D

Section E

No errors have been detected for section E
PROGRAM REVIEW

SAMPLING
DEFINING SAMPLING

Sampling is a portion of a larger population or universe. For TPS, sampling is used to gather data on the outputs of the various Tax functions. Each sample is extracted from a universe of a certain type of transaction occurring within a specific time frame.

PURPOSE OF SAMPLING

The purpose of sampling is to make accurate judgments about the entire population, without having to review every transaction. Sampling permits data to be collected and analyzed at greater speed and at less cost than reviewing every transaction.

Sampling will be conducted for the following tax activities:

a. Status Determination

   - New
   - Successor
   - Terminations

b. Cashiering

c. Report Delinquency

d. Collections

e. Field Audit
f. Account Maintenance
   - Contribution Report Processing
   - Debits/Billings
     - Contributory
     - Reimbursing
   - Credits/Refunds
   - Benefit Charging
   - Tax Rates

TYPES OF SAMPLES

Two types of samples are used - Acceptance samples and Estimation samples.

Acceptance Samples are used in all of the above tax activities except Cashiering. One activity, Debits / Billings, has samples for both contributory and reimbursing employers. In the Status Determination activity there are three samples collected to reflect the type of determination involved - New, Successor and Inactivations/Termination.

An Estimation Sample is used in the Cashiering function.
OVERVIEW

The Sampling subsystem is a set of modules which use a suite of sophisticated menu-driven software to input, update, and retrieve data collected for samples reviewed by States in the tax functions of Status Determination, Cashiering, Report Delinquency, Collections, Field Audit and Account Maintenance. In the Account Maintenance function samples are reviewed in Contribution Report Processing, Debits/Billings, Credits/Refunds, Benefit Charging and Tax Rates.

Data entered is identical to responses for the set of sampling questions in the TAX PERFORMANCE SYSTEM Operations Handbook. The software provides data entry screens whose formats are similar to the coding sheets in the Handbook.

Since the Acceptance Sample coding sheets for the tax functions are similar in nature, this guide covers general operations using examples of the types of questions possible and does not show in detail every question used in each tax function.

The software provides the means for retrieving a given year's Sampling data pertaining to a particular tax function. Output Reports consist of data extracted from the database for an input year. Other outputs include an error report which can be generated if the sampling coding sheet is incomplete or has missing/invalid information.
NORMAL USE OF SAMPLING SOFTWARE

This guide is organized according to the order in which the menu options appear on the screens, however the following will be the normal usage steps.

You will normally "Add" sampling information when first using the software. Data can be added for all or part of a sample. If the entire sample can be entered at once, you need only validate and save the data.

When all or part of a sample has already been entered and you want to continue to add or update previously entered information, the sample must first be retrieved (using Query) from the database. Once the proper year has been retrieved (queried), you must select Update to either complete the data entry or change previously entered information. Each time you exit or move to another menu choice, you will be asked to save the information.

Once all data is entered and validated for a particular sample, the sample should be “marked” as complete after which further updates to the sample are prevented. Database display reports can be generated upon completion of data entry.

ACCESSING SAMPLING

To access the Sampling option, press or click the left mouse button to display the UIS Main Menu.

Choose (R)evenue Quality Control from the UIS Main Menu.

Choose (S)ampling from the TPS Main Menu to display the six tax functions. Any one of the six tax functions can be selected for execution.

Selecting (A)ccount Maintenance will display the five types of samples used within the function.
SAMPLING MENU
ENTERING DATA

If the reviewer chooses the "Contribution Report Processing" tax function from the Account Maintenance menu, the Contribution Report Processing main window is displayed.

MAIN WINDOW

The main window has the menu-bar with the following options: File, Database, Comments, Options, Validate, Reports and Help.
The following are options available for each option on the menu-bar.

**File**
- Exit - to terminate the application.

**Database** comprised of
- Add,
- Query,
- Update, and
- Save.

**Comments** comprised of
- General Comments,
- Failure 1,
- Failure 2,
- Failure 3, and
- Other Failures.

**Options** comprised of
- Stamp,
- Replace Case, and
- Discard Sample.

**Validate** comprised of
- Check for Errors

**Reports** comprised of
- Generate

**Help** comprised of
- Context-Sensitive Help,
- Overview,
- Keyboard,
- Product Information, and
- Widget Usage Help.
The format used in this guide is explained in three distinct sections: Data Entry, Report Generation, Using Help, and Outputs.

ADDING DATA

The menubar options “Database”, “Comments”, “Options” and “Validate” on the menubar handle data entry for the application. On selecting the “Database” option on the menubar, a pull-down menu is displayed. The options available are “Add”, “Query”, “Update” and “Save”.

On selecting the “Add” option, the Add Control Information window is displayed.

Given below is an example of the Add Control Information window.

**ADD CONTROL INFORMATION WINDOW**
The Add Control Information window prompts for entry of the Year, Quarter, Sample Type, Universe Size, and Sample Size. All input is validated for accuracy.

**Validation 1:**

The validation criteria for Year field are:

1. The year field cannot be blank.
2. The year must be four digits.
3. The year cannot be greater than system year.
4. The year cannot be less than 1996.

**Validation 2:**

The validation criteria for quarter field are:

1. The quarter field cannot be blank.
2. The quarter should range from 1 to 4.
3. If current year is selected, the quarter cannot be greater than system quarter.

**Validation 3:**

The validation criteria for sample type field are:

1. The Sample Type cannot be blank.
2. Valid Sample Types are:
   - Acceptance Sample 1
   - Acceptance Sample 2
- Expanded Sample

3. The Acceptance Sample 1 for the year selected must be discarded before choosing Acceptance Sample 2 for the same year.

4. The Acceptance Sample 2 for the year selected must be discarded before choosing Expanded Sample 2 for the same year.

**Validation 4:**

The validation criteria for the Universe Size field are:

1. The Universe Size cannot be blank or zero.

2. The Universe Size cannot be less than 10 and cannot be greater than 999999.

The Sample Size is calculated automatically by the software on valid entry of the Universe Size. The “c_as_sample_code” table stores the Sample size for different Universe size range. Given below is the lookup table for the Sample Size.

<table>
<thead>
<tr>
<th>Universe Size</th>
<th>Sample Size</th>
</tr>
</thead>
<tbody>
<tr>
<td>1200 - 999999</td>
<td>60</td>
</tr>
<tr>
<td>700 - 1199</td>
<td>59</td>
</tr>
<tr>
<td>400 - 699</td>
<td>58</td>
</tr>
<tr>
<td>200 - 399</td>
<td>56</td>
</tr>
<tr>
<td>100 - 199</td>
<td>48</td>
</tr>
<tr>
<td>88 - 99</td>
<td>37</td>
</tr>
<tr>
<td>76 - 87</td>
<td>36</td>
</tr>
<tr>
<td>64 - 75</td>
<td>35</td>
</tr>
</tbody>
</table>
NOTE: If the sample size has been reduced due to rejecting cases that should not have been in the universe, the Regional Office must be advised so that this validation step may be bypassed. As explained in Chapter II, in the section on Acceptance Sampling, under such circumstances, the sample size can only drop down to a minimum of 53 cases.

**Validation 5:**

The Sample Size field is protected from input for the Acceptance Sample 1 & 2. However, the user will have the option of changing the Sample Size for an Expanded Sample.

The validation criteria for the Sample Size field are:

1. The Sample Size cannot be blank or zero.
2. The Sample Size cannot be greater than the Universe Size.

The application will display error messages if any input violates the validations. For example, if the Sample Type “Acceptance Sample 2” is selected and the “Acceptance Sample 1” for the same year is not yet discarded; the error message will display to warn the user about the discard status of “Acceptance Sample 1”. Acknowledging the error by clicking “OK” passes focus back to “Acceptance Sample 1”. The following is an example of this error message.
ERROR MESSAGE WINDOW

At the bottom of the Add Control Information window are three pushbuttons options: “OK”, “Cancel”, and “Help”.

On selecting “Help” on this window, help messages related to the input are displayed.

On selecting “Cancel” control returns to the previous window displayed.

On selecting “OK”, all the validations described above are executed. If the user entered a combination of year, sample type which already exists in the database, a error message will be displayed and the user is requested to re-enter the input. However, if the input criteria is found valid the Sample Data Entry window is displayed.
Sample records can now be added on each row. The grid widget, which is similar to a spreadsheet, facilitates easy entry of the input responses based on questions from the Acceptance Sample Questionnaire. The total number of rows on the grid will be equal to the Sample Size entered earlier. Depending on the responses entered for each question, the cursor will automatically shift to the associated/related questions. For Example: In the Contribution Report Processing questionnaire, if the response to question 1 for a case is affirmative, the cursor skips question 2 and shifts to question 3 and then 4.

Cases entered on the grid can be saved at any time by choosing the “Save” option on the “Database” menu. The “Pass/Fail” status is automatically calculated after entry of all
questions for a case. If the status of a case entry results in a “PASS”, the control is automatically transferred to the next available row. If the status of a case entry results in a “FAIL”, the Failure Comments Window will be displayed and the user will be prompted to input comments for case failure. The Failure Comments Window will be displayed for only the first three failures.

Given below is an example of the Failure Comments Window.

**FAILURE COMMENTS WINDOW**

![Failure Comments Window Diagram](image)

After entering failure comments, the user selects one of the following pushbutton options: “Keep”, “Cancel” or “Help”.

On selecting the “Keep” pushbutton, failure comments entered for the case are stored and the control returns back to the Sample Data Entry Window.
On selecting the “Cancel” pushbutton, the control returns to the previous window displayed.

On selecting the “Help” pushbutton, help messages related to the Failure Comments window are displayed.

Failure Comments for the first three cases can also input using the options “Failure 1”, “Failure 2” and “Failure 3” under the “Comments” option on the menubar.

In addition to the three Failure Comments windows, additional failures can be recorded by choosing the “Other Failures” option under the “Comments” option on the menubar. However, this window can only be displayed if there is at least one case failure. Given below is an example of the Other Failures Comments Window.

**OTHER FAILURES COMMENTS WINDOW**
After entering additional failure comments (if necessary), the user selects one of the following pushbutton options available on the window: “Keep”, “Cancel” or “Help”.

On selecting the “Keep” pushbutton, additional failure comments entered for the case/sample are stored and the control returns back to the Sample Data Entry Window.

On selecting the “Cancel” pushbutton, the control returns to the previous window displayed.

On selecting the “Help” pushbutton, help messages related to the Other Comments window are displayed.

General Comments for the sample can be entered by choosing the option “General Comments” under the “Comments” option on the menubar. Any general information regarding the sample can be recorded in this window. Given below is an example of the General Comments Window.

**GENERAL COMMENTS WINDOW**
comments (if necessary), the user selects one of the following pushbutton options available on the window: “Keep”, “Cancel” or “Help”.

On selecting the “Keep” pushbutton, general comments entered for the case/sample are stored and the control returns back to the Sample Data Entry Window.

On selecting the “Cancel” pushbutton, the control returns to the previous window displayed.

On selecting the “Help” pushbutton, help messages related to the General Comments window are displayed.

Other option available in the “Add” mode are in the menu options under the “Options” menu of the menubar.

The “Stamp” option under the “Options” menu facilitates quick entry of sample cases. On selecting the “Stamp” option, the entire row is filled with the affirmative responses for the case and control is transferred to the next row. For Contribution Report Processing, the following question will be “stamped” with the response “Y”:

1. Question 1 - “Y”  
2. Question 3a - “Y”  
3. Question 3b - “Y”  
4. Question 3c - “Y”  
5. Question 3d - “Y”  
6. Question 4 - “Y”

Using the “Stamp” option results in the “PASS” status for the case.

If a particular case in the sample does not have adequate information to conduct the review successfully, the user has the option of replacing the case. **However, only one case replacement is allowed.** To “replace” a case, the “Replace Case” option under the “Options” menu is selected. On selecting this option, a warning message is displayed. Given below is an example of the warning window.
CASE REPLACE WARNING WINDOW

Two pushbutton options are available on this window: “Yes” and “NO”. If the user selects the “Yes” pushbutton, “*” is displayed across the row and a “*R*” code is displayed as the PASS/FAIL status. This case is now “locked” from further updates. In addition, the number of rows on the grid of the Sample Data Entry window increases by one to enter the case replacement. On selecting “NO”, control is transferred to the Sample Data Entry Window.

The “Discard Sample” option under the “Options” option facilitates the discard of the entire sample. On selecting the “Discard Sample” option, a warning is displayed.
**DISCARD SAMPLE WARNING WINDOW**

Two pushbutton options are available on this window: “Yes” and “NO”. **If the user selects the “Yes” pushbutton, the entire sample is discarded and the sample is now “locked” from further updates.** A message is displayed on the status line that the sample has been discarded. On selecting “NO”, control is transferred to the Sample Data Entry Window.

Validations on the entire sample can be accomplished by selecting the “Validate/Check_for_Errors” option on the menubar.

If the “Validate/Check_for_Errors” option is chosen, validation checks are made against the database to ensure the following:

1. The number of cases input match the sample size.
2. Each case entered is complete.
3. Failure Comments are entered for the first three case failures.

If all the above validations are satisfied, a message which displays “No Errors Found” is displayed. On selecting the “OK” button on this message box, another prompt dialog appears. This dialog, shown below, prompts the user to decide if he wants to “mark” the sample as complete.
MARK COMPLETE WINDOW

Three pushbutton options are available on this window: “Yes”, “No”, “Help”.

If the user selects “Yes”, the sample is marked “COMPLETE” and further updates to the sample is prevented.

On selecting “No”, control is transferred to the previous window.

On selecting “Help”, help messages related to the Mark Complete Window are displayed.

If any of the above listed validations check are not satisfied, an error report is generated and Error Warning Window is displayed.
Given below is an example of the Error Warning Window.

**ERROR WARNING WINDOW**

Five pushbutton options are available at the bottom of this warning window: “PreView”, “Print”, “Save As”, “Cancel”, “Help”.

If the user selects “PreView”, the error report is displayed in a view window. An example of the output is displayed in the “Outputs” section.

On selecting “Print”, the printer selection window is displayed. The user has the option of printing a hard copy of the error report on to a System or Local Printer. Refer to the “Reports Section” for an example of the Printer Selection Window.

On selecting “Save As”, the Save As window is displayed. The user has the option of saving the error file to a required directory location. Refer to the “Reports Section” for an example of the Save As Window.
On selecting “Cancel”, control is transferred to the previous window.

On selecting “Help”, help messages related to the Error Warning Window are displayed.

If data has been entered on the Sample Data Entry Window, selecting any of the following options:
- “Options/Discard Sample”,
- “Validate/Check for Errors”,
- “Reports/Generate”,
- “Database/Add”,
- “Database/Query” or
- “File/Exit”
results in the display of a warning window which prompts the user to save the input to the database.

Given below is an example of the Save Warning Window.

**SAVE WARNING WINDOW**

![Example of Save Warning Window]

Four pushbutton options are available on this warning window: “Yes”, “No”, “Cancel”, “Help”. 
If the user selects “Yes”, the input data on the Sample Data Entry Window will be saved and the program will continue with the processing of the option selected.

For example: The user clicks on “Exit” on the menu-bar on Sample Data Entry Window which brings up the warning window prompting if the user wishes to save the changes. The user clicks on “Yes” and the data changes are saved to the database and the program terminates.

On selecting “No”, the data changes will not be saved and the program will continue with the processing for menu option selected.

For example: The user clicks on “Exit” on the menu-bar on the Sample Data Entry Window which brings up the warning window prompting if the user wishes to save the changes. The user clicks on “No” and the data changes are not saved and the program terminates.

On selecting the “Cancel” option, the control is transferred to the previous window.

On selecting the “Help” option, the help messages related to the warning window is displayed.

Sample Information previously entered can be viewed and updated (if not discarded or marked completed) by selecting the “Query” option from the “Database” menu.

After selecting the “Query” option, the query screen will be displayed prompting the user to input the Year and Sample Type.
Given below is an example of the Sample Query Window.

**SAMPLE QUERY WINDOW**

Year and Sample Type are required entry fields and are validated similarly as in the Add function.

The following are the pushbutton options on this window: “OK”, “Cancel”, “Help”.

On selecting “Help”, help messages related to the Sample Query window are displayed.

On selecting “Cancel”, control is transferred to the previous window.
On selecting “OK”, input parameters are validated as described in Validation 1 and Validation 3 in the Add function. Additionally, if the sample record for the Year and Sample Type has been discarded or marked completed, display of the sample is prevented. However, users have the option to generate a report of the desired record by choosing the “Reports/Generate” menu option.

If the input parameters are valid, the Sample Data Entry Window is displayed. Updates are prevented to the case records until the “Update” option is chosen.

Choosing the “Update” option, provides the user with the facility of updating cases previously entered or adding cases to the sample. Additionally, all the menu options which facilitate the input of General Comments, Failure Comments, and Other Failures are available. Users also have the privilege of accessing the options such as “Validate/Check_for_Errors”, “Options/Discard Sample” and “Options/Replace Case”.
FIELD AUDIT

SAMPLE DATA ENTRY WINDOW

The data entry window for field audit is similar to window for other functions except for the “Total Points” field in which the sum of points scored for each “Yes” response to questions from the Acceptance Sample questionnaire are entered for each case.
Depending on the response entered for the Pass/Fail question, the cursor will automatically shift to a different field. For Example: In the Field Audit questionnaire, if the response to the Pass/Fail question is “N”, the “Total Points” field gets the value of 0 and the cursor skips to the “Employer ID#” field of the next available row. On the other hand, if the response to the Pass/Fail question is “Y”, the cursor moves to Question 1 of that row. For each question, after the user enters a valid response to the question, the cursor shifts to the next question. The point value of each “Y” response is added to the “Total Points” field automatically after each response is made. After the responses to all questions on that row are entered, the cursor skips to the “Employer ID#” field of the next available row.

Given below is a table showing the point value for each question.

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer - Y</th>
<th>Answer - N</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>10</td>
<td>0</td>
</tr>
<tr>
<td>2</td>
<td>5</td>
<td>0</td>
</tr>
<tr>
<td>3</td>
<td>5</td>
<td>0</td>
</tr>
<tr>
<td>4</td>
<td>25</td>
<td>0</td>
</tr>
<tr>
<td>5</td>
<td>25</td>
<td>0</td>
</tr>
<tr>
<td>6</td>
<td>5</td>
<td>0</td>
</tr>
<tr>
<td>7</td>
<td>10</td>
<td>0</td>
</tr>
<tr>
<td>8</td>
<td>5</td>
<td>0</td>
</tr>
<tr>
<td>9</td>
<td>10</td>
<td>0</td>
</tr>
</tbody>
</table>

Cases entered on the grid can be saved at any time by choosing the “Save” option on the “Database” menu. If the status of a case entry results in a “PASS”, the control is automatically transferred to the next available row. If there is a “N” entry in one or more than one question of a complete case and the total points for that case is less than 80 after
all questions for that case are answered, the entry results in a “FAIL” and the Failure Comments Window will be displayed for the first three cases meeting those conditions. The user will be prompted to input comments for that case failure.

GENERAL COMMENTS WINDOW

STAMP OPTION

On the general comments window, the “Stamp” option under the “Options” menu facilitates quick entry of sample cases. On selecting the “Stamp” option, the entire row is filled with the affirmative responses for the case and control is transferred to the next row. For the Field Audit, the following questions will be “stamped” with the following responses:

(1) Question Pass/Fail - “Y”  (7) Question 6 - “Y”
(2) Question 1 - “Y”          (8) Question 7 - “Y”
(3) Question 2 - “Y”          (9) Question 8 - “Y”
(4) Question 3 - “Y”          (10) Question 9 - “Y”
(5) Question 4 - “Y”          (11) Total Points - “100”
(6) Question 5 - “Y”

Using the “Stamp” option results in the “PASS” status for the case.
STATUS DETERMINATION

The data entry screen for the Status Determination Sample allows the input of only one sample record at a time (by employer type: new, successor, or inactivation/termination) in contrast to screens for other functions which accommodate the entry of ten cases. Since records are entered one at a time, the options “Next Record” and “Previous Record” are choices under the “Database” menu. The screen for status cases have both Accuracy and Posting sections, which necessitate additional options under the “Comments” and “Options” menus. (See additional options marked **.)

Given below is the main window for entering status determination samples.

**MAIN WINDOW**

![Main Window](image)
The main window has the menu-bar with the following options: File, Database, Comments, Options, Validate, Reports and Help. The following are the options available under each option on the menu-bar.

**File**
Exit - to terminate the application.

**Database** comprised of
Add,
Query,
Update,
Save,
**Next Record, and**
**Previous Record.**

**Comments** comprised of
General Comments,

**Accuracy Failures** comprised of
Failure 1
Failure 2
Failure 3

**Posting Failures** comprised of
Failure 1
Failure 2
Failure 3

Other Failures.
Options comprised of

Stamp comprised of
**Accuracy
**Posting
Replace Case, and
Discard Sample.

Validate comprised of

Check for Errors

Reports comprised of

Generate

Help comprised of

Context-Sensitive Help,
Overview,
Keyboard,
Product Information, and
Widget Usage Help.
On selecting the “Database” option on the menu-bar of the main window, a pull-down menu is displayed. The options available are “Add”, “Query”, “Update” and “Save”.

On selecting the “Add” option, the Add Control Information window is displayed. Given below is a sample display of the Add Control Information window.

**ADD CONTROL INFORMATION WINDOW**
The Add Control Information window prompts for entry of the Year, Quarter, Sample Type, Universe Size, and Sample Size. All input is validated for accuracy.

**Validation 1:**
The validation criteria for Year field are:

1. The year field cannot be blank.
2. The year cannot be greater than system year.
3. The year cannot be less than 1996.
4. The year must be 4 digits.

**Validation 2:**
The validation criteria for quarter field are:

1. The quarter field cannot be blank.
2. The quarter should range from 1 to 4.
3. If current year is selected, the quarter cannot be greater than system quarter.

**Validation 3:**

The validation criteria for sample type field are:

1. The Sample Type cannot be blank.
2. Valid Sample Types are:
   - Acceptance Sample 1
   - Acceptance Sample 2
   - Expanded Sample
3. The Acceptance Sample 1 for the year selected must be discarded before choosing Acceptance Sample 2 for the same year.
4. The Acceptance Sample 2 for the year selected must be discarded before choosing Expanded Sample 2 for the same year.

**Validation 4:**
The validation criteria for the Universe Size field are:

1. The Universe Size cannot be blank or zero.
2. The Universe Size cannot be less than 10 and cannot be greater than 999999.

The Sample Size is calculated automatically by the software on valid entry of the Universe Size.

NOTE: If the sample size has been reduced due to rejecting cases that should not have been in the universe, the Regional Office must be advised so that this validation step may be bypassed. As explained in Chapter II, in the section on Acceptance Sampling, under such circumstances, the sample size can only drop down to a minimum of 53 cases.

Validation 5:
The Sample Size field is protected from input for the Acceptance Sample 1 & 2. However, the user will have the option of changing the Sample Size for an Expanded Sample.

The validation criteria for the Sample Size field are:

1. The Sample Size cannot be blank or zero.
2. The Sample Size cannot be greater than the Universe Size.

The application will display error messages if any input violates the validations. For example, if the Sample Type “Acceptance Sample 2” is selected and the “Acceptance Sample 1” for the same year is not yet discarded; the error message will display to warn the user about the discard status of “Acceptance Sample 1”. Acknowledging the error by clicking “OK” passes focus back to “Acceptance Sample 1”. Given below is a sample display of this error message.

Validation 6:
Employer Type cannot be blank. Valid values of Employer Type include “New”, “Successor” and “Inactivation/Termination”.
ERROR MESSAGE WINDOW

At the bottom of the Add Control Information window are three push-button options: “OK”, “Cancel”, and “Help”.

On selecting “Help” on this window, help messages related to the input are displayed.

On selecting “Cancel” control returns to the previous window displayed.

On selecting “OK”, all the validations described above are executed. If the user entered a combination of year, sample type which already exists in the database, a error message will be displayed and the user is requested to re-enter the input. However, if the input criteria is found valid the Sample Data Entry window is displayed. Given below is a sample display of the data entry window.
Sample records for Accuracy and Posting are added one at a time in the data entry window, unlike screens for other functions which allow input of records for ten cases. After entering a sample record, clicking on "Database" / "Next Record" or pressing <Ctrl-N>, a new data-entry window appears for the entry of the next sample record. (To review a sample record which has already been entered, click on "Database"/ "Previous Record".) The input responses are based on questions from the Acceptance Sample questionnaire. The total number of times this window is displayed for entry will be equal to the Sample Size entered earlier. Depending on the responses entered for each question, the cursor will automatically shift to the associated/related questions. For Example: In the Status Determination - Accuracy questionnaire, if the response to
question 1 for a case is affirmative, the cursor skips question 2 and then shifts to
question 3, 4 and so on.

Cases entered can be saved at any time by choosing the “Save” option on the
“Database” menu. The “Pass/Fail” status is automatically calculated after entry of all
questions for the Accuracy or the Posting questionnaire for the case. If the status of a
Accuracy case entry results in a “PASS”, the control is automatically transferred to the
Posting case entry row. If the status of a case entry results in a “FAIL”, the Failure
Comments Window will be displayed and the user will be prompted to input comments
for case failure. The Failure Comments Window will be displayed for only the first
three failures (three each for Accuracy and Posting).

STAMP OPTION

The “Stamp - Accuracy” and “Stamp - Posting” options under the “Options” menu of
the main window facilitates quick entry of sample cases. On selecting the “Stamp -
Accuracy” or “Stamp - Posting” option, the entire row is filled with the affirmative
responses for the case and control is transferred to the Posting row. For Status
Determination, all the questions will be “stamped” with the response “Y”:

Using the “Stamp” option results in the “PASS” status for the case.
CASHIERING - ESTIMATION SAMPLE

For the Cashiering Estimation Sample, the inputs are the summary of the contribution payments received, and the percentage for timeliness and amounts deposited as calculated by the TPS reviewer based on the instructions given in the Core TAX PERFORMANCE SYSTEM Operations Handbook. The formats of data entry screens are similar to those of the Cashiering Summary Sheet in the Handbook. The same set of screens may also be used for modifying existing information.

Given below is the Cashiering main window.

**MAIN WINDOW**

```
**SAMPLING - CASHIERING**

File  Database  Signoff  Reports   Help

Sampling
Cashiering

*** Select the Database menu to Add/Query ***
```

The main window has the menubar with the following options: File, Database, Signoff, Reports and Help. The following are the options under each menubar option:

- **File** comprised of Exit.
**Database** comprised of Add, Query, Update, and Save.

**Signoff** comprised of Signoff.

**Reports** comprised of Generate.

**Help** comprised of Context-Sensitive Help, Overview, Keyboard, Product Information and Widget Usage Help.

On selecting the **Database** option on the menubar, a pull-down menu is displayed. The options available are **Add**, **Query**, **Update**, and **Save**. If the **Add** menu item from **Database** option of the menubar is chosen, the Add-query window to enter the parameter year is displayed. Three pushbuttons are displayed at the bottom of the window: **OK**, **Cancel** and **Help**. Given below is the screen display of the Add-query window.

**ADD-QUERY WINDOW**
on the Add-query window parameter "Year" are:

1. Year cannot be NULL
2. Year cannot be greater than current year where the current year is system year.
3. Year cannot be less than 1996.

If any of the above validations fail, an appropriate error message is displayed and the focus returns to the "Year" field.

On entering a valid year, the control automatically passes to the "OK" pushbutton. Choosing the "Cancel" pushbutton takes control back to the main window. "Help" pushbutton can be chosen for help messages related to the Add-query window.

On selecting the "OK" pushbutton on the Add-query window, the program checks for the validity of the Add parameters.

If a sample year entered on the Add-query window already exists in the database the following message appears.

MESSAGE WINDOW

- Record exists for the year: 1993, choose Query to review the record
If a valid year for the Sample is entered, the Sample screen is displayed for input as shown below:

**MAIN WINDOW - ADD MODE**

Options available under the "Database" menu option are as follows:

1) "Add" a new record.

2) "Query" for a record for a different year.

3) "Update" to update the record retrieved
If the "Update" menu item from the "Database" option is chosen, the cursor moves to the first field in the screen displayed. Context-Sensitive help is available in this mode only. On clicking on the "Help" option on the menubar and selecting "Context-Sensitive Help", help messages relating to the field in focus are displayed.

If a data entry field is modified and the user chooses to select an option under any menu options which are active (other than "Save") a warning message is displayed.

**WARNING MESSAGE WINDOW**

![Warning Message Window](image)

Yes - Save the record after validating all input information.

No - Does not save the record and proceed with operation selected. Any data fields modified will be reset to the previous values.

Cancel - Returns to the screen modified
The validation checks for the Sample record are similar to the checks in the "Update" mode. By default, the Quarter field is preset to a value of 2 whether the user is in “Update” or “Add” mode.

Validation edits for Adding\Updating the record on the main screen are as follows:

**Validation 1:**

- Year
  - cannot be NULL
  - Year cannot be greater than current year
    where the current year is system year.
  - Year cannot be less than 1996.

**Validation 2:**

- Quarter
  - cannot be NULL
  - default value of 2, refer to TPS Handbook, ESTIMATION SAMPLING INSTRUCTIONS for Cashiering.

**Validation 3:**

- Projected number of payments or trays (the UNIVERSE of payments or trays for the 5-day period from which the sample was pulled, not the desired sample size of 500 items)
  - cannot be NULL
  - cannot be zero
  - Range of values: 0 - 2,147,483,647

**Validation 4:**

- Actual number of payments or trays
  - cannot be NULL
  - Range of values: 0 - 2,147,483,647
Validation 5:

Random Starting number
- Range of values: 0 - 32,767

Validation 6:

Check Sample Interval
- Range of values: 0 - 32,767

Validation 7:

Electronic Fund Transfer
- cannot be NULL
  Range of values: 00.00 - 99.99

Validation 8:

Sample Selection Start Date
- cannot be NULL
  - format: MM/DD/YYYY

  - if Quarter = 2, then Sample Selection Start Date
    must be >= 06/30/XXXX*, and <= 09/01/XXXX.

  - if Quarter = 3, then Sample Selection Start Date
    must be >= 09/30/XXXX, and <= 12/01/XXXX.

  - if Quarter = 4, then Sample Selection Start Date
    must be >= 12/31/XXXX, and <= 03/01/XXXX + 1**.

  - if Quarter = 1 then Sample Selection Start Date
    must be >= 03/31/XXXX, and <= 06/01/XXXX.
**Validation 9:**

Sample Selection End Date  
- cannot be NULL  
- format: MM/DD/YYYY

- if Quarter = 2, then Sample Selection End Date  
  must be >= 06/30/XXXX*, and <= 09/01/XXXX.

- if Quarter = 3, then Sample Selection End Date  
  must be >= 09/30/XXXX, and <= 12/01/XXXX.

- if Quarter = 4, then Sample Selection End Date  
  must be >= 12/31/XXXX, and <= 03/01/XXXX + 1**.

- if Quarter = 1 then Sample Selection End Date  
  must be >= 03/31/XXXX, and <= 06/01/XXXX.

* - XXXX, is the Sample Year.  
** - XXXX + 1, is the Sample Year + 1  
(eg., if Sample Year is 2000, the previous Sample Year, plus 1 is equal to 2001) giving the maximum Sample Selection Start Date for Quarter = 4.

- Sample Selection End Date >= Sample Selection Start Date.

**Validation 10:**
<table>
<thead>
<tr>
<th>Sampling Data Entry</th>
</tr>
</thead>
</table>

Dollar Amount (Day 1) for Deposit  
- cannot be NULL  
- Range of values: 0.00 - 9,999,999,999.99

**Validation 11:**

Dollar Amount (Day 2) for Deposit  
- cannot be NULL  
- Range of values: 0.00 - 9,999,999,999.99

**Validation 12:**

Dollar Amount (Day 3) for Deposit  
- cannot be NULL  
- Range of values: 0.00 - 9,999,999,999.99

**Validation 13:**

Dollar Amount (Day 4) for Deposit  
- cannot be NULL  
- Range of values: 0.00 - 9,999,999,999.99

**Validation 14:**

Items for Deposit (Day 1)  
- cannot be NULL  
- Range of values: 0 - 2,147,483,647

**Validation 15:**

Items for Deposit (Day 2)  
- cannot be NULL  
- Range of values: 0 - 2,147,483,647
Validation 16:

- Items for Deposit (Day 3)
- cannot be NULL
- Range of values: 0 - 2,147,483,647

Validation 17:

- Items for Deposit (Day 4)
- cannot be NULL
- Range of values: 0 - 2,147,483,647

If any of the above validations fail, an appropriate error message is displayed. For example, Validation edit number-9 would display the error message shown below, if the user types in an End Date that is not consistent with the Quarter entered.

**ERROR MESSAGE WINDOW**

OK - Closes the error message window, and returns the cursor to the Sample Selection End Date field.

**Other Validations:**

All data entry fields in the Cashiering Sampling screen must be completed, with the exception of the Random Starting number, and Check Sample Interval. Once the user chooses the "Save" option from the "Database" menu item, this will update the record
to the database after validations are accomplished. If the "Save" option is chosen, during validations if any incorrect input is encountered, error messages will be displayed and the focus will be on the field in error. Once the validations are accomplished, the record is then written to the database. A message will be displayed on the status line to indicate that the record was successfully updated. However, during the "Update" process, if changes are made to a particular field of the Sample screen, any active menu items under "File", "Database", or "Reports" options can be chosen. If any of these options are chosen, a warning message that the updated record has not been saved will be issued and the user will now have the options to "Save" the record, continue with the menu item process chosen or return to the "Update" mode.

If the "Signoff" menu item from the "Signoff" option is chosen, a message is displayed as shown below.

**MESSAGE WINDOW - SIGNOFF FOR COMPLETION**

![MESSAGE WINDOW](image)

The "Signoff" option is only available during Add/Query, or Update mode. Regardless of the mode chosen, the user has the option to stamp the Sample record as “COMPLETE”.

F - IV - 48    R 12/00
If the user chooses not to Signoff on the record, other options include, returning the user to the update/add session, or requesting help from the Signoff Window. Furthermore, a validation stamp indicating "** INCOMPLETE **" will be shown on the Database Display report.

If the user chooses to Signoff on a record, and no errors are encountered after selecting the "Signoff" option, the validation stamp, in this case, will now indicate "** COMPLETE **" on the Database Display report. At this point, the user can only access the sample record through the "Report" menu option.

If the user enters a sample year that already exists in the database, but has been Signed-Off, a message is displayed.

**MESSAGE WINDOW**

![Message Window](image)

If the user chooses to change the Quarter field, a message window will be displayed as shown below.
MESSAGE WINDOW - REGIONAL APPROVAL

If the user obtains Regional Office approval to change the Quarter field, then the “YES” pushbutton can be selected, otherwise, the user must select the “NO” pushbutton. The “Help” pushbutton is also available for information pertaining to this window.

If the "Query" menu item from "Database" option of the menubar is chosen, the query window similar to the one when the user choose the “Add” option as shown above is displayed. Edits on the this query window are similar to the edits discussed previously.
If the selected year is a valid current year, the program checks to ensure that the user can access the sample record requested. If no record is found for the year requested, the following message is displayed.

MESSAGE WINDOW
Record does not exist for the Year: 1997, choose Add to process the record
If the record is found, the main screen shown below is displayed.

**MAIN SCREEN - QUERY MODE**

![Main Screen - Query Mode](image-url)
**REPORT GENERATION**

If the "Generate Reports" menu item from the "Reports" option is chosen, the Reports Selection window is displayed. Six pushbuttons are displayed at the bottom of the window: "Generate", "PreView", "Print", "Save As", "Cancel" and "Help". Four pushbuttons "Generate", "PreView", "Print" and "Save As" will be inactive and will be activated when required during the report generation process. Given below is the screen display of the Reports Selection window.

**REPORT SELECTION WINDOW**

![Reports Selection Window](image)

The listbox on the Reports Selection window displays the list of reports that can be generated by this module.

The reports include:
(1) Database Display

If the above report is selected, the selected report name appears in the Selection window. The "Generate" pushbutton will be active at this time.

If the Report Selection is made and the "Generate" pushbutton is selected, the Report Query Window prompting for parameters "Year" and "Sample Type" is displayed. The validations on Year and Sample Type on this Report Query Window are similar to the validations described in the data entry section.

**REPORT QUERY WINDOW**

![Report Query Window Diagram]

**REPORT QUERY WINDOW - STATUS DETERMINATION**
In addition to options for Sample Type, the report query window for Status Determination includes options for Employer Type (new, successor, inactivation/termination) and Report Type (accuracy, posting, both).

On entering valid parameters, the query window closes and the processing message "Report Generation in Progress ... Please Wait" is displayed. Once Report Generation is complete, the pushbuttons "PreView", "Print" and "Save As" are active.

On selecting "PreView", the report is displayed on a view window. Pressing the "CLOSE" button on the view window closes the window and control returns to the Report Selection window. Refer to the Program Specification Document XView utility for JAM applications submitted by TAX PERFORMANCE SYSTEM.
Following is an example of a report generated by this application in a View Window.

**VIEW WINDOW**

On selecting "Print", the printer selection window is displayed. Options available are "System Printer" and "Local Printer". Three pushbuttons are displayed at the bottom of this window: "OK", "Cancel" and "Help". If "Cancel" is chosen, control returns to the Reports Selection window. If "Help" is chosen, help messages are displayed related to the
printer selection window. If "OK" is chosen, the printer selection window closes, report is printed on the printer selected and control returns to the Reports selection window. Given below is the screen display of the printer selection window.

**PRINTER SELECTION WINDOW**

![Printer selection window screenshot]
On selecting "Save As", the Save As window is displayed.

**SAVE AS WINDOW**

Three pushbuttons are displayed at the bottom of this window: "OK", "Cancel" and "Help". If "Cancel" is chosen, control returns to the Reports Selection window. If "Help" is chosen, help messages are displayed related to the printer selection window. If "OK" is chosen, the
default report name and path is used and the file saved in the default directory. If the default filename or path is modified by the user, then the input gets validated. Refer to the Program Specification Document SETUID BQC Move File submitted by Benefits Quality Control for Release 5.0. The default filenames generated by the system for each report selection are given below.

<table>
<thead>
<tr>
<th>Report Selection</th>
<th>Default filename</th>
</tr>
</thead>
<tbody>
<tr>
<td>Database Display</td>
<td>as_crp_d_Year_SampleType/login_id</td>
</tr>
<tr>
<td></td>
<td>Ex: as_crp_d_1990_1.timmsr</td>
</tr>
</tbody>
</table>

On selecting "Cancel" on the Reports Selection window, the Report Selection window closes and control returns to the main window.

On selecting "Help" on the Reports Selection Window, help messages related to Report Selection window are displayed.
USING HELP

If the "Context-Sensitive Help" menu item is chosen from the "Help" option on the menubar, a help window with messages related to the field on focus is displayed. On choosing the "CLOSE" pushbutton on the help window, control returns to the main window. This menu item is active only if "Add" or "Update" menu item is chosen under the "Database" option.

If the "Overview" menu item is chosen from the "Help" option on the menubar, a help window with an overview of the subsystem is displayed. On choosing the "CLOSE" pushbutton on the help window returns control to the main window.

If the "Keyboard" menu item is chosen from the "Help" option on the menubar, a help window with keyboard operation procedures for the module is displayed. On choosing the "CLOSE" pushbutton on the help window returns control to the main window.

If the "Product Information" menu item is chosen from the "Help" option on the menubar, a help window with product release information for the module is displayed. On choosing the "CLOSE" pushbutton on the help window returns control to the main window.

If the "Widget Usage Help" menu item is chosen from the "Help" option on the menubar, a help window with messages related to the widget on focus is displayed. On choosing the "CLOSE" pushbutton on the help window returns control to the main window. This menu item is active only if "Add" or "Update" menu item is chosen under the "Database" option.
Given below is the screen display of a typical help window. Refer to the Program Specification Document XHelp utility for JAM applications submitted by TAX PERFORMANCE SYSTEM.

HELP WINDOW

The Sampling subsystem of the Tax Performance System (TPS) formerly known as Core Revenue Quality Control (CQC) system is designed as part of the TPS overseen by the SESM’s. The purpose of Sampling is to confirm the performance of the tax operations of a State whose internal controls have already been assessed by a Systems Review. If risks are identified in the Systems Review, the samples will likely verify that system outputs fail to meet minimum levels of accuracy or completeness. If a system is deemed risk free, samples of outputs should confirm this fact.

Once the Systems Review is complete, a sample of 50 cases from each tax function is drawn to confirm the system outputs meet minimum levels of accuracy or completeness. The failure of three or more cases is reason to conclude that the exception rate for that function is at an unacceptable level. Sampling will be conducted for the following tax functions:

1. Status Determination
   - New Determinations
   - Successor Determinations
OUTPUTS

The outputs generated by the Sampling subsystem are: the database display reports which are replicas of the data entry screens. The Error Report is generated when the “Validate/Check_for_Errors” was chosen. Failed validations required under the “Check_for_Errors” function, trigger of error messages in this Error report output.

Examples of outputs are provided on the following pages.
**DATE:** 03/11/1997

**TAX PERFORMANCE SYSTEM**

**SAMPLING**

**ACCOUNT MAINTENANCE**

**CONTRIBUTION REPORT PROCESSING**

**DATABASE DISPLAY**

**STATE:** ST  
**YEAR:** 1994  
**UNIVERSE SIZE:** 500  
**SAMPLE TYPE:** Acceptance 1  
**QUARTER:** 1  
**SAMPLE SIZE:** 58

<table>
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Questions 2, 3a, 3b, 3c, 3d, and 4 are Evaluative

*R* - indicates Case Replacement.
## Sampling Outputs

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Questions 2, 3a, 3b, 3c, 3d, and 4 are Evaluative

*R* – indicates Case Replacement.
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Questions 2, 3a, 3b, 3c, 3d, and 4 are Evaluative

*R* - indicates Case Replacement.
DATE: 03/11/1997

TAX PERFORMANCE SYSTEM

SAMPLING
ACCOUNT MAINTENANCE
CONTRIBUTION REPORT PROCESSING
DATABASE DISPLAY

STATE: ST
YEAR: 1994          UNIVERSE SIZE: 500          SAMPLE TYPE: Acceptance 1
QUARTER: 1          SAMPLE SIZE:  58

Comments for failed cases:

Case # : 1    Employer # : 1994-1
====================================================================
Case 1 has failed. Emp Id # 1994-1.

Case # : 18   Employer # :
====================================================================
Case # 18 has failed. Employer was delinquent in reporting.
Investigation is in progress.
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DATE: 03/11/1997

**TAX PERFORMANCE SYSTEM**

**SAMPLING**

ACCOUNT MAINTENANCE

CONTRIBUTION REPORT PROCESSING

DATABASE DISPLAY

---

**STATE:** ST  
**YEAR:** 1994  
**UNIVERSE SIZE:** 500  
**SAMPLE SIZE:** 58

---

**General Comments:**

Universe Size = 500; Sample Size was selected automatically by the system. National Office has setup a Sample Size range table which has the input Universe Size and Sample Size values.
DATE: 03/11/1997

TAX PERFORMANCE SYSTEM

SAMPLING
ACCOUNT MAINTENANCE
CONTRIBUTION REPORT PROCESSING
DATABASE DISPLAY

STATE: ST
YEAR: 1994  UNIVERSE SIZE: 500  SAMPLE TYPE: Acceptance 1
QUARTER: 1  SAMPLE SIZE: 58

--------------------------------------------------------------------

Additional Failed Comments:

Two cases have failed the sample. However, the state has passed the sample. One case was replaced due to lack of employer information. Case # 59 is the replacement case.
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**DATE: 03/11/1997**

**TAX PERFORMANCE SYSTEM**

**SAMPLING**

**ACCOUNT MAINTENANCE**

**CONTRIBUTION REPORT PROCESSING**

**ERROR FILE**

**STATE:** ST  
**YEAR:** 1995  
**UNIVERSE SIZE:** 500  
**SAMPLE TYPE:** Acceptance 1  
**QUARTER:** 1  
**SAMPLE SIZE:** 58

Number of cases recorded does not match entered sample size.

Case 15: is an incomplete case
Case 23: is an incomplete case

Comments for case failure not recorded properly. Comments must be entered for the first three(3) failed cases.
Database Display - Field Audit

DATE: 08/06/1997

TAX PERFORMANCE SYSTEM

STATE: ST
YEAR: 1994  UNIVERSE SIZE: 500  SAMPLE TYPE: Acceptance 1
QUARTER: 1  SAMPLE SIZE: 58

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### SAMPLING

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Questions P/F, 1, 2, 3, 4, 5, 6, 7, 8 and 9 are evaluative.

*R* - indicates Case Replacement.

---

1
Database Display - Status Determination (Note separate reports for Accuracy and Posting)

DATE: 06/12/1997

TAX PERFORMANCE SYSTEM

SAMPLING

STATE: ST
YEAR: 1993 UNIVERSE SIZE: 15 SAMPLE TYPE: Acceptance 1
QUARTER: 1 SAMPLE SIZE: 15 EMPLOYER TYPE: New

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<th>P/F</th>
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*** ACCURACY ***

1  Y Y Y Y Y Y Y Y Y Y Y Y Y
2  Y Y Y Y Y Y Y Y Y Y Y Y Y
3  Y Y Y Y Y Y Y Y Y Y Y Y Y
4  Y Y Y Y Y Y Y Y Y Y Y Y Y
5  Y Y Y Y Y Y Y Y Y Y Y Y Y
6  Y Y Y Y Y Y Y Y Y Y Y Y Y
7  Y Y Y Y Y Y Y Y Y Y Y Y Y
8  Y Y Y Y Y Y Y Y Y Y Y Y Y
9  Y Y Y Y Y Y Y Y Y Y Y Y Y
10 Y Y Y Y Y Y Y Y Y Y Y Y Y
11 Y Y Y Y Y Y Y Y Y Y Y Y Y
12 Y Y Y Y Y Y Y Y Y Y Y Y Y
13 Y Y Y Y Y Y Y Y Y Y Y Y Y
14 Y Y Y Y Y Y Y Y Y Y Y Y Y
15 Y Y Y Y Y Y Y Y Y Y Y Y Y

Questions 2a, 3, 5, 6, 7, 10, and 11 are evaluative
*R* - indicates Case Replacement.
DATE: 06/12/1997

TAX PERFORMANCE SYSTEM

SAMPLING

STATUS DETERMINATION

DATABASE DISPLAY

STATE: ST
YEAR: 1993 UNIVERSE SIZE: 15 SAMPLE TYPE: Acceptance 1
QUARTER: 1 SAMPLE SIZE: 15 EMPLOYER TYPE: New

---------------------------------------------------------------------------

*** ACCURACY *** Comments for failed cases :

Case # : 2 Employer # : 1234
Case # 2 has failed due to lack of information of the employer.

Case # : 3 Employer # : 3456
Case # 3 has also failed due to lack of information of the employer.
## Sampling Outputs

**DATE:** 06/12/1997

**TAX PERFORMANCE SYSTEM**

**SAMPLING**

**STATUS DETERMINATION**

**DATABASE DISPLAY**

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Question 13 is evaluative

*R* - indicates Case Replacement.
Database Display - Cashiering

DATE: 05/01/1997

TAX PERFORMANCE SYSTEM

SAMPLING

**INCOMPLETE**

CASHIERING

DATABASE DISPLAY

STATE: ST
REQUESTED YEAR: 1996

Part - I - PREPARATION

Projected number of payments or trays: 2,000
Actual number of payments or trays: 3,210
Difference: 1,210
% of deviation: 60.50
Check sample interval: 30
Random starting number: 234
Quarter Reviewed: 2
EFT %: 06.00
Sample Selection Start Date: 07/20/1996
Sample Selection End Date: 07/24/1996

Parts - II & III - SUMMARY FOR DOLLARS, ITEMS COUNT & PERCENTAGES

<table>
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<tr>
<th>1</th>
<th>Total Dollar Amount</th>
<th>$901,191.00</th>
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<tr>
<td>2</td>
<td>Total Items</td>
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<tr>
<td>3</td>
<td>Percentage By Category ($)</td>
<td>100%</td>
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<tr>
<td>4</td>
<td>Overall Percentage (Items)</td>
<td>100%</td>
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</tbody>
</table>
**INCOMPLETE**

CASHIERING
DATABASE DISPLAY

STATE: ST
REQUESTED YEAR: 1996

---

### ITEM-1: BREAKDOWN OF DOLLAR AMOUNTS

<table>
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<tr>
<th>Number of Banking days for Deposit and Amount of Payment</th>
<th>1-F. Day 1 Amount ($)</th>
<th>1-G. Day 2 Amount ($)</th>
<th>1-H. Day 3 Amount ($)</th>
<th>1-I. Day 4+ Amount ($)</th>
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</thead>
<tbody>
<tr>
<td>Day 1</td>
<td>150,439.00</td>
<td>150,000.00</td>
<td>345,876.00</td>
<td>254,876.00</td>
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### ITEM-2: BREAKDOWN OF ITEM COUNTS

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<th>Number of Items for Deposit</th>
<th>2-F. Day 1 Item</th>
<th>2-G. Day 2 Item</th>
<th>2-H. Day 3 Item</th>
<th>2-I. Day 4+ Item</th>
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### ITEM-3: BREAKDOWN OF PERCENTAGE BY CATEGORY ($)

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<th>Percentage by Category ($)</th>
<th>3-F. Day 1 %</th>
<th>3-G. Day 2 %</th>
<th>3-H. Day 3 %</th>
<th>3-I. Day 4+ %</th>
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</thead>
<tbody>
<tr>
<td>Day 1</td>
<td>16.69</td>
<td>16.64</td>
<td>38.38</td>
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### ITEM-4: BREAKDOWN OF OVERALL PERCENTAGE (ITEMS)

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<th>Overall Percentage (Items)</th>
<th>4-F. Day 1 %</th>
<th>4-G. Day 2 %</th>
<th>4-H. Day 3 %</th>
<th>4-I. Day 4+ %</th>
</tr>
</thead>
<tbody>
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<td>Day 1</td>
<td>25.00</td>
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DATE: 05/01/1997

---

F - IV - 77

DATE: 05/01/1997

---

R 12/00
### Part IV - SUMMARY RECAP

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<td>150,439.00</td>
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<td>6) 2 Day</td>
<td>150,000.00</td>
<td>16.64</td>
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<tr>
<td>7) 3 Day</td>
<td>345,876.00</td>
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<td>8) SUBTOTAL</td>
<td>646,315.00</td>
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<td>9) 4+Days</td>
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<td>10) TOTALS</td>
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<td>100.00</td>
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</table>

*Percentage Deposited Timely: 73.41 %*

*Percentage value needed to pass (from the following chart): 69.50*

Calculation includes EFT, if applicable

Meets Value To Pass: Y
**DATE: 05/01/1997**

**TAX PERFORMANCE SYSTEM**

**SAMPLING **INCOMPLETE**

**CASHIERING**

**DATABASE DISPLAY**

**STATE: ST**

**REQUESTED YEAR: 1996**

====================================================================

**VALUE-TO-PASS SAMPLING TABLE**

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<td>641 - 875</td>
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Database Display - Collections

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</tbody>
</table>

Questions 1, 2, 3, 4, 5, 6, 7a, 8, 10 and 11 are evaluative. *R* - indicates Case Replacement.

DATE: 08/04/1997
Comments for failed cases:

Case #: 2  Employer #: 2

This is failure comments for case no 2.

Case #: 3  Employer #: 3

This is case No 3. There is a need to check the answers.
DATE: 08/04/1997

TAX PERFORMANCE SYSTEM
   SAMPLING
   COLLECTIONS
   DATABASE DISPLAY

STATE: ST
YEAR: 1991  UNIVERSE SIZE: 40  SAMPLE TYPE: Acceptance 1
QUARTER: 1  SAMPLE SIZE: 28

General Comments:

This is a general comments for Collections.
<table>
<thead>
<tr>
<th>SAMPLING</th>
<th>OUTPUTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>DATE: 08/04/1997</td>
<td></td>
</tr>
</tbody>
</table>

TAX PERFORMANCE SYSTEM
SAMPLING
COLLECTIONS
DATABASE DISPLAY

STATE: ST
YEAR: 1991  UNIVERSE SIZE: 40  SAMPLE TYPE: Acceptance 1
QUARTER: 1  SAMPLE SIZE: 28

Additional Failed Comments:

This is additional comments for case 5.
Error Report - Collections

DATE: 08/04/1997

TAX PERFORMANCE SYSTEM
SAMPLING
COLLECTIONS
ERROR FILE

STATE: ST
YEAR: 1991 UNIVERSE SIZE: 40 SAMPLE TYPE: Acceptance Sample 1
QUARTER: 1 SAMPLE SIZE: 28
============================================================================
Number of cases recorded does not match entered sample size.

Comments for case failures not recorded properly. Comments must be entered for the first three(3) failed cases.

Case 9 : is an incomplete case
Case 10 : is an incomplete case
Case 11 : is an incomplete case
OTHER MANAGEMENT TOOLS
General Information

This menu selection is to provide a menu option for the inclusion of other functions or information in TPS beyond the entry of information gathered from using the four major TPS methodologies. As additional enhancements are needed or requested this menu choice will be used to implement future add-ons.

Accessing the Other Management Tools Menu Option

To access the Other Management Tools option, press [2] or click the left mouse button to display the UIS Main Menu.

Choose (R)evuen Quality Control from the UIS Main Menu.

Then choose (O)ther Management Tools from the TPS Main Menu.

Shown below are the menus to select Other Management Tools.

Other Management Tools Menu
GENERAL INFORMATION

This menu selection is to provide information on various reports needed or requested within the TPS program.

ACCESSING THE MISCELLANEOUS REPORTS OPTION

To access the Miscellaneous Reports option, press F2 or click the left mouse button to display the UIS Main Menu.

Choose (R)evenue Quality Control from the UIS Main Menu.

Then choose (O)ther Management Tools from the TPS Main Menu.

Choose (M)iscellaneous Report from the Management Tools Menu.

Shown below are the menus to select Miscellaneous Reports.

MISCELLANEOUS REPORTS MENU
ETA 581 REPORT PROGRAM
This menu selection is to provide information on all data pertaining to the ETA 581 Report. This ETA 581 Report program allows State staff to print the report or view it on the screen. The query interface enables you, the user, to input a range of year and quarter(s) which is used by the software program to query UIRR's ETA 581 database table and to produce the ETA 581 Report for the year-quarter(s) requested.

The Computed Measures module provides information on ETA 581 data used in the measure's calculation. This menu option provides information on ALL data reported on the ETA 581.

To access the ETA 581 Report program, press ⏎️ or click the left mouse button to display the UIS Main Menu.

Choose (R)evenue Quality Control from the UIS Main Menu.

Then choose (O)ther Management Tools from the TPS Main Menu.

Choose (M)iscellaneous Report from the Management Tools Menu.

Then choose ETA581 Report from the Miscellaneous Reports Menu.
Shown below are the menus to select the **ETA 581 Report**

**Miscellaneous Reports Menu**

- **Revenue Quality Control**
- **Benefits Quality Control**
- **UI Required Reports**
- **Doc Management & Database Tools**

**ROC Main Menu**

- **Computed Measures**
- **Method Surveys**
- **System Review**
- **Acceptance Curves**

**Other Management Tools**

**Management Tools Menu**

- **Miscellaneous Reports**

**Miscellaneous Reports Menu**

- **ETA 581 Report**
To gain access to the ETA581 program, you must be an authorized TPS reviewer with an account in the TPS security table (c_security). When you choose the ETA581 Report option, the program first checks your access privileges to execute the application. If you do not have permission to execute the ETA581 Report program, an error dialog appears with the message, "You have no access to this application". You are then prompted with an OK push button to acknowledge your inaccessibility to the program.

Shown below is an example of the error dialog with the message.

**Error Message Window**

![Error Message Window](image)
If you are a valid TPS reviewer, the ETA581 Report Main Window, shown below, appears.

The following is an itemized description of the ETA581 Report Main Window.

A - File menu  
E - the OK button. This button initiates the processing of the AR581 Report

B - Help menu  
F - Ending Report Year

C - text field  
G - Ending Report Quarter

D - Beginning Report Quarter

(Beginning Report Year)
The input information described in the above will be validated as follows:

1. The beginning/ending report year cannot be greater than the current year.
2. The beginning/ending report quarter should be a value between 1 thru 4.
3. The beginning report year cannot be greater than the ending report year.
4. The total number of quarters between the beginning report year/quarter and ending report year/quarter cannot exceed eight quarters.
5. No Alphabetic characters may be entered.
6. No fields may be left blank.

*Note:* The underscore is the mnemonic for the key (example, OK, Help).
Help Windows

The Help menu displays four options:

- Context-Sensitive Help
- Keyboard
- Overview
- Product Information

The following figure displays the Help menu and its options in the top right corner of the ETA 581 Report Main Window.

![Help Menu Diagram]
You may choose Help on the menu bar of the ETA 581 Report Main Window, then choose the Context-Sensitive Help option to view the help message for the input fields on the main window for the ETA 581 Report.

Shown below is the Context-Sensitive Help window for the Begin Report Year.

**Context-Sensitive Help Window**

```
Name: Begin Report Year
Short Name: begin_year
Definition: Report Year.
Field Size: 4
Type: Char
Editor: Should be in the format YYY
  Eg: 1995
Entry Method: Not an Input field.
Access: States only
```
Other help functions include:

- an overview
- keyboard help specially designed for users who prefer to use the keyboard instead of the mouse
- Product Information, which gives information about the version and release date of the application.

Appropriate help messages on any screen can also be activated by pressing $\text{F1}$. 

*Generating Reports*

On the **ETA 581 Report Main Window**, you must enter valid information for the:

- Begin Report Year
- Begin Report Quarter
- End Report Year
- End Report Quarter

Any invalid input causes the system to issue an error message and request you to input the data again. After you key in the valid data, press **OK** to process the report. The program selects records from the ar581 table according to the year/quarter range requested, then generates the ETA 581 Report(s).
After the report is generated, the Report Management Window, shown below, is displayed.

**ETA 581 Report Management Window**

The Report Management Window has the following options:

- PreView
- Print
- Save As
- Cancel
- Help
Choose the Pre(V)iew option on the Report Management Window to display the report generated in a view window. You can use the scrollbar on the right side to scroll through the entire report or click on Close to close the view.

ETA 581 Preview Window
Click on the Print option on the Report Management Window to display the Printer Selection Window, shown below. You can print the report to either the Local Printer or the System Printer.

**Printer Selection Window**

Choose the System Printer option, then click on OK to print the report file on the system printer that is connected to the system.

Choose the Local Printer option, then click on OK to print the report on the local printer that is connected to the user's workstation.

Choose the Cancel option to make the Printer Selection Window disappear. The printer selection is canceled.
Choose the Help option on the Printer Selection Window to display help messages related to the Printer Selection Window. Click on Close to exit the help window.

Choose the Save As option on the Report Management Window to display the Save As Window, shown below. You can either save the report with the default file name or rename the file.

ETA 581 Report Save As Window
The default pathname appears in the input text window. You have three options:

P Click on OK and accept the default pathname. The program executes its prime function. Various results are possible once OK is pressed.

P Click on Cancel to cancel the Save As function. The program exits.

P Click on Help to display a scrollable help window (help dialog) which describes the Save As function and button usage.

If you click on Cancel on the Report Management Window, the window disappears and the focus returns back to the ETA 581 Report Main Window.
If you click on the File option on the menu bar at the top of the ETA 581 Report Main Window, the drop-down menu shows the only option, Exit, as shown below.

Exit Option

Click on Exit option to exit the ETA 581 program.
The printed output of ETA 581 Report contains the year, quarter, run date, and data from the ETA 581 table of the UIDB database. Shown below is a sample of the ETA 581 Report.

<table>
<thead>
<tr>
<th>Year: 1994</th>
<th>Quarter: 4</th>
<th>State: ST</th>
</tr>
</thead>
<tbody>
<tr>
<td>Line</td>
<td>780629</td>
<td>5263</td>
</tr>
</tbody>
</table>

ETA 581 Report Printed Output
## MISCELLANEOUS REPORTS

### ETA 581 REPORT

**Date:** 09/14/1995

---

### ETA 581 - CONTRIBUTION OPERATIONS

<table>
<thead>
<tr>
<th>Year: 1994</th>
<th>Quarter :4</th>
<th>State: ST</th>
</tr>
</thead>
</table>

#### 21. Total Contributions

<table>
<thead>
<tr>
<th>Employers</th>
<th>Receivables</th>
<th>Beg.Period</th>
<th>Receivables</th>
<th>dated</th>
<th>Uncollec.</th>
<th>EndPeriod</th>
<th>End Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>401</td>
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<td>26388259</td>
<td>627585</td>
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<td>219725753</td>
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</table>

#### 22. Determined Contributions

<table>
<thead>
<tr>
<th>Employers</th>
<th>Receivables</th>
<th>Beg.Period</th>
<th>Receivables</th>
<th>dated</th>
<th>Uncollec.</th>
<th>EndPeriod</th>
<th>End Period</th>
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</thead>
</table>

#### 23. Liquidated Contributions

<table>
<thead>
<tr>
<th>Employers</th>
<th>Receivables</th>
<th>Beg.Period</th>
<th>Receivables</th>
<th>dated</th>
<th>Uncollec.</th>
<th>EndPeriod</th>
<th>End Period</th>
</tr>
</thead>
</table>

#### 24. Declared Contributions

<table>
<thead>
<tr>
<th>Employers</th>
<th>Receivables</th>
<th>Beg.Period</th>
<th>Receivables</th>
<th>dated</th>
<th>Uncollec.</th>
<th>EndPeriod</th>
<th>End Period</th>
</tr>
</thead>
</table>

#### 25. Removed Contributions

<table>
<thead>
<tr>
<th>Employers</th>
<th>Receivables</th>
<th>Beg.Period</th>
<th>Receivables</th>
<th>dated</th>
<th>Uncollec.</th>
<th>EndPeriod</th>
<th>End Period</th>
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</thead>
</table>

#### 26. Total Contributions

<table>
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<th>Employers</th>
<th>Receivables</th>
<th>Beg.Period</th>
<th>Receivables</th>
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<th>Uncollec.</th>
<th>EndPeriod</th>
<th>End Period</th>
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</thead>
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### Miscellaneous Reports

#### 27. No. Employers Owing Receivables

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</tbody>
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### Reimbursements

<table>
<thead>
<tr>
<th>Year: 1994</th>
<th>Quarter :4</th>
<th>State: ST</th>
</tr>
</thead>
</table>

#### 33. Total Reimbursements

<table>
<thead>
<tr>
<th>Employers</th>
<th>Receivables</th>
<th>Beg.Period</th>
<th>Receivables</th>
<th>dated</th>
<th>Uncollec.</th>
<th>EndPeriod</th>
<th>End Period</th>
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</thead>
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#### 34. Determined Reimbursements

<table>
<thead>
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<th>Employers</th>
<th>Receivables</th>
<th>Beg.Period</th>
<th>Receivables</th>
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<th>Uncollec.</th>
<th>EndPeriod</th>
<th>End Period</th>
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</thead>
</table>

#### 35. Liquidated Reimbursements

<table>
<thead>
<tr>
<th>Employers</th>
<th>Receivables</th>
<th>Beg.Period</th>
<th>Receivables</th>
<th>dated</th>
<th>Uncollec.</th>
<th>EndPeriod</th>
<th>End Period</th>
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</thead>
</table>

#### 36. Declared Reimbursements

<table>
<thead>
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<th>Employers</th>
<th>Receivables</th>
<th>Beg.Period</th>
<th>Receivables</th>
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<th>Uncollec.</th>
<th>EndPeriod</th>
<th>End Period</th>
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</thead>
</table>

#### 37. Removed Reimbursements

<table>
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<th>Employers</th>
<th>Receivables</th>
<th>Beg.Period</th>
<th>Receivables</th>
<th>dated</th>
<th>Uncollec.</th>
<th>EndPeriod</th>
<th>End Period</th>
</tr>
</thead>
</table>

#### 38. Total Reimbursements

<table>
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<th>Employers</th>
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### Age of Contributions

<table>
<thead>
<tr>
<th>Year: 1994</th>
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#### 28. 6 mon. or less

<table>
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#### 29. 9 Months

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<table>
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<tr>
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#### 31. 15 Months

<table>
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#### 32. Over 15 Months

<table>
<thead>
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### Age of Reimbursements

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<td>1114356</td>
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#### 44. Total Wage Audit

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#### 46. Pre-Audit

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#### 58. Total Post-Audit

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### F - V - a - 16

**R 12/00**
## MISCELLANEOUS REPORTS

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**ETA 581 REPORT**
GLOSSARY
application  each program that a user uses as a tool in the window system.

cursor     a small object on the screen, usually a box, underline, or I-bar that indicates where the next character will go when a user starts typing. On a normal terminal, there is usually only one cursor. When using a window system, however, there can be multiple cursors in multiple windows.

display    the screen of a workstation.

environment control  A software control for running an application. There are three primary X11 environment control files located in a user's home directory: .xsession — This file controls a user's login session by starting up various applications the user wants when the user logs in. .Xdefaults — This file is loaded into the X11 resource database when a user first logs in. It is used to store the various mode settings, or resources, which a user wants for various applications. .mwmrc — This is the Motif configuration file. It controls the various options used by Motif (mwm), the contents of the menus, and so on.

focus       a state of the system that indicates which window and/or window component receives the keyboard events. A component has the focus if the keyboard events are sent to that component.

icon        a small, usually pictorial, representation of an application when it is not in use. To iconify an application means to make that application's window(s) go away, and its icon appear. This is also referred to as closing a window (or application). To deiconify an application means to make the application's window(s) reappear, and its icon go away. This is also referred to as opening a window (or application).

mnemonic    a single character (frequently the initial character) of a menu selection. When a menu is displayed and the user presses the mnemonic key, the menu selection is chosen.

Motif       a set of guidelines that specifies how a window system user interface for graphical computers should look and feel. The user interacts with the application by typing at the keyboard, and by clicking, selecting, and dragging various graphic elements of the application with the mouse. Once the application is running, the user controls the application by choosing graphical elements rather than typing commands. Motif uses highlighting and shadowing to make buttons and other components look
three-dimensional; for example, when a button is clicked, it actually appears to be pressed in and released.

Motif was designed by the Open Software Foundation (OSF), a non-profit consortium of companies such as Hewlett-Packard, Digital, and IBM. It was decided that the OSF/Motif toolkit should be based on the X Window System, a network-based windowing system that has been implemented for UNIX, VMS, DOS, etc. The Motif interface was modeled after IBM's Common User Access (CUA) specification, which defines the interface for OS/2 and Microsoft Windows. Motif 1.2 is based on Release 5 of the X11 subroutine library (Xlib) and the X Toolkit Intrinsics (Xt) specifications (X11R5). The X Toolkit Intrinsics (Xt) is the standard mechanism on which many of the toolkits written for the X Windows System are based. Xt provides a library of user-interface objects called widgets and gadgets, which provide a convenient interface for creating and manipulating X windows, colormaps, events and other cosmetic attributes of the display.

The window manager must support the following window frame components: client area, title area, maximize button, minimize button, resize borders, and window menu. See the end of the glossary for an illustration of a Motif window with these frame components.

client area  the portion of the window in which the user performs application level tasks. Various widgets are added on this window to create an application window.

title area, also called the title bar, supplies a place to identify the window.

maximize button provides mouse users with a shortcut to the Maximize entry in the window menu. Activating the maximize button must increase the size of the window to the maximum allowable size. As a shortcut for mouse users, the Restore entry in the window menu must restore the window to its size and location before being maximized.

minimize button provides mouse users with a shortcut to the Minimize entry in the window menu. Activating the minimize button must iconify the window. As a shortcut for mouse users, the Restore entry in the window menu must restore the window to its size and location before being minimized.

resize borders are the outermost components of the window frame. They are made up of two components: the corner handles and the edge handles. If a window includes resize borders, there
must be one corner handle in each corner of the window at its extremes, and one handle between each pair of corner handles. Dragging any of these handles in the required direction would resize the window.

_window menu_, sometimes also called the _system menu or control menu_, is used to display the list of window actions. All actions possible for a window should be displayed in the window menu because keyboard-only users interact with the window manager through this menu.

**mouse (mice)** a pointing device with buttons on it. By moving the mouse around and pressing the buttons, a user prompts applications to execute various internal options. Mice usually have two or three buttons. On a two-button mouse, pressing both the left and right buttons at the same time usually performs the same function as pressing the middle button on a three-button mouse.

Mouse buttons have four states - _button up, button press, button down and button release_. The button press/release sequence is commonly referred to as a _mouse click_, and some functions are activated by multiple mouse clicks in a short period of time. Buttons are also affected by modifier keys, so _SHIFT-<Left mouse button>_ is _not_ the same as _<Left mouse button>_. If mouse buttons suddenly do not respond or behave differently, check to see if the _CAPS LOCK_ is activated.

**root window** the window used by the window system to put all the other application windows into. It is used to represent the desktop, and hence usually takes up the entire display. Usually the root window is a solid background color, such as gray or black, and the application windows are another color, such as white or light gray. This allows the root window to function as a background for the other windows.

**terminal emulator** a program that acts as if it were a terminal by sending characters to, and receiving characters from, the computer. When the program receives special characters that would prompt a real terminal to perform procedures such as clear the screen or move the cursor, the terminal emulator translates these special characters into the commands to do these functions on the display.

The X11 terminal emulator is called _xterm_. It emulates a DEC VT-102 terminal and can also act as a Tektronix 4014 graphics display.
window  a bounded, typically rectangular area in which an application performs all its input and output. A single application may use any number of windows, although most use only one or two.

window decorations  Under Motif, see title area, maximize button, minimize button, resize border, and window menu button.

window system  a collection of programs that permits the user to use and display many different applications on a single workstation screen. By dividing the screen into several small, possibly overlapping sections, called windows, the user can have multiple login sessions on different hosts, graphics display programs, figure drawing programs, mail reading programs, text previewers, and other applications operating simultaneously.

Most window systems use an abstraction called the desktop metaphor. That is, the workstation screen is treated as if it were the top of a desk, and each program window as if it were a piece of paper. On a real desk, a person can lay pieces of paper out next to each other, stack them on top of one another, move them around, fold them up, etc. Similarly, a window system allows a user to place windows on the screen next to each other or on top of one another. A user can also move windows around, "fold" them up, throw them away, etc.
Shown below is a typical Motif window.

**Typical Motif Window**

- Window Menu
- Title bar
- Minimize
- Maximize
- Client Area
- Resize handle
DATABASE TABLE
LAYOUTS
COMPUTED MEASURES

All database tables required by the Computed Measures subsystem exist in your State's UIDB database. The following table layouts are arranged by tax function.

Status Determination

Table Name: c_cm_status

Field        Type
rptdate       date       *** key field ***
num_det_new   integer
new_det_90days integer
new_det_180days integer
num_suc_det   smallint
suc_det_90days smallint
suc_det_180days smallint

Report Delinquency

Table Name: c_cm_rep_delq

Field        Type
rptdate       date       *** key field ***
tot_emp_cont  integer
tot_act_emp_cont integer
del_90days_cont integer
del_180days_cont integer
tot_emp_reim  integer
tot_act_emp_reim integer
del_90days_reim integer
del_180days_reim integer
## DATABASE TABLE LAYOUTS

### Collections

**Table Name:** c_cm_collection

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<td>amt_dep_cont9_2</td>
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<td>decimal (12,2)</td>
</tr>
<tr>
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<td>recv_uncolect_cont</td>
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METHODS SURVEY
(To Be Developed)
PROGRAM REVIEW
(to be developed)
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Motif  a set of guidelines that specifies how a window system user interface for graphical computers should look and feel. The user interacts with the application by typing at the keyboard, and by clicking, selecting, and dragging various graphic elements of the application with the mouse. Once the application is running, the user controls the application by choosing graphical elements rather than typing commands. Motif uses highlighting and shadowing to make buttons and other components look
three-dimensional; for example, when a button is clicked, it actually appears to be pressed in and released.

Motif was designed by the Open Software Foundation (OSF), a non-profit consortium of companies such as Hewlett-Packard, Digital, and IBM. It was decided that the OSF/Motif toolkit should be based on the X Window System, a network-based windowing system that has been implemented for UNIX, VMS, DOS, etc. The Motif interface was modeled after IBM's Common User Access (CUA) specification, which defines the interface for OS/2 and Microsoft Windows. Motif 1.2 is based on Release 5 of the X11 subroutine library (Xlib) and the X Toolkit Intrinsic (Xt) specifications (X11R5). The X Toolkit Intrinsic (Xt) is the standard mechanism on which many of the toolkits written for the X Windows System are based. Xt provides a library of user-interface objects called widgets and gadgets, which provide a convenient interface for creating and manipulating X windows, colormaps, events and other cosmetic attributes of the display.

The window manager must support the following window frame components: client area, title area, maximize button, minimize button, resize borders, and window menu. See the end of the glossary for an illustration of a Motif window with these frame components.

client area the portion of the window in which the user performs application level tasks. Various widgets are added on this window to create an application window.

title area, also called the title bar, supplies a place to identify the window.

maximize button provides mouse users with a shortcut to the Maximize entry in the window menu. Activating the maximize button must increase the size of the window to the maximum allowable size. As a shortcut for mouse users, the Restore entry in the window menu must restore the window to its size and location before being maximized.

minimize button provides mouse users with a shortcut to the Minimize entry in the window menu. Activating the minimize button must iconify the window. As a shortcut for mouse users, the Restore entry in the window menu must restore the window to its size and location before being minimized.

resize borders are the outermost components of the window frame. They are made up of two components: the corner handles and the edge handles. If a window includes resize borders, there
must be one corner handle in each corner of the window at its extremes, and one handle between each pair of corner handles. Dragging any of these handles in the required direction would resize the window.

_window menu_, sometimes also called the _system menu or control menu_, is used to display the list of window actions. All actions possible for a window should be displayed in the window menu because keyboard-only users interact with the window manager through this menu.

**mouse (mice)** a pointing device with buttons on it. By moving the mouse around and pressing the buttons, a user prompts applications to execute various internal options. Mice usually have two or three buttons. On a two-button mouse, pressing both the left and right buttons at the same time usually performs the same function as pressing the middle button on a three-button mouse.

Mouse buttons have four states - _button up, button press, button down and button release_. The button press/release sequence is commonly referred to as a _mouse click_, and some functions are activated by multiple mouse clicks in a short period of time. Buttons are also affected by modifier keys, so _SHIFT-<Left mouse button> is not_ the same as _<Left mouse button>_. If mouse buttons suddenly do not respond or behave differently, check to see if the CAPS LOCK is activated.

**root window** the window used by the window system to put all the other application windows into. It is used to represent the desktop, and hence usually takes up the entire display. Usually the root window is a solid background color, such as gray or black, and the application windows are another color, such as white or light gray. This allows the root window to function as a background for the other windows.

**terminal emulator** a program that acts as if it were a terminal by sending characters to, and receiving characters from, the computer. When the program receives special characters that would prompt a real terminal to perform procedures such as clear the screen or move the cursor, the terminal emulator translates these special characters into the commands to do these functions on the display.

The X11 terminal emulator is called _xterm_. It emulates a DEC VT-102 terminal and can also act as a Tektronix 4014 graphics display.
window  a bounded, typically rectangular area in which an application performs all its input and output. A single application may use any number of windows, although most use only one or two.

window decorations  Under Motif, see title area, maximize button, minimize button, resize border, and window menu button.

window system  a collection of programs that permits the user to use and display many different applications on a single workstation screen. By dividing the screen into several small, possibly overlapping sections, called windows, the user can have multiple login sessions on different hosts, graphics display programs, figure drawing programs, mail reading programs, text previewers, and other applications operating simultaneously.

Most window systems use an abstraction called the desktop metaphor. That is, the workstation screen is treated as if it were the top of a desk, and each program window as if it were a piece of paper. On a real desk, a person can lay pieces of paper out next to each other, stack them on top of one another, move them around, fold them up, etc. Similarly, a window system allows a user to place windows on the screen next to each other or on top of one another. A user can also move windows around, "fold" them up, throw them away, etc.
Shown below is a typical Motif window.

Typical Motif Window

- Window Menu
- Title bar
- Minimize
- Maximize
- Client Area
- Resize handle
DATABASE TABLE LAYOUTS
COMPUTED MEASURES

All database tables required by the Computed Measures subsystem exist in your State's UIDB database. The following table layouts are arranged by tax function.

Status Determination

Table Name: c_cm_status

<table>
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<tr>
<th>Field</th>
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<td>new_det_90days</td>
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<tr>
<td>new_det_180days</td>
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Report Delinquency

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**Field Audit**

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***key field***