Data Validation State Web Software
Version 2.0

Benefits Application Tutorial

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

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About This Tutorial

This document provides a tutorial for the Benefits application of the Data Validation (DV) State Web Software Version 2.0.

Technical Support

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

Software Training

The Minnesota Training Center offers training on the Data Validation State Web Software. Check current offerings at http://www.tc.state.mn.us/calendar.html. You can register for courses online, by email (wanda.burth@state.mn.us ) or by calling the training center at 651-297-3393.

Typographic Conventions

This document uses the following typographic conventions.

<table>
<thead>
<tr>
<th>Visual Cue</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Sequenced steps to follow when completing a task</td>
</tr>
<tr>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Black bold type</td>
<td>Button</td>
</tr>
<tr>
<td>Blue type</td>
<td>Box title</td>
</tr>
<tr>
<td>Purple underlined type</td>
<td>Links on the software that you can click on</td>
</tr>
<tr>
<td>Blue underline type</td>
<td>Web or email address</td>
</tr>
<tr>
<td>Italics</td>
<td>Documents, screen names and menu options</td>
</tr>
<tr>
<td></td>
<td>Indicates where to click on the software screen</td>
</tr>
<tr>
<td>Note image</td>
<td>Note with additional information</td>
</tr>
<tr>
<td>Tip</td>
<td></td>
</tr>
</tbody>
</table>
Software Requirements

To use the Data Validation State Web Software you will need a computer with Internet Explorer Version 6.0 or later.

You will also need a user name and a password that you can obtain from your system administrator.

In order to perform data validation you need to load extract files into the software. Specifications on how to build these extract files are available in Appendix I, UI Benefits Record Layouts of the ETA Handbook 361- A Benefits. All extract files to be loaded into the software must be copied to the “/opt/dv/data/” directory in your state SUN server. Extract file names must have a .txt extension and contain no spaces.

Fixes and New Features Included in Version 2.0

The following fixes and enhancements were incorporated in the Benefits application of the Data Validation State Web Software Version 2.0:

<table>
<thead>
<tr>
<th>Feature Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fixed Problems of Prior Release</td>
<td>• Modified Benefits Population 2 subpopulation criteria to parse cases in which Field 9 = N and Field 8 &gt;25 into subpopulation 2.2.</td>
</tr>
<tr>
<td></td>
<td>• Modified Benefits Population 5 Report Validation screen to eliminate all ETA 9053 cells since that report was eliminated.</td>
</tr>
<tr>
<td></td>
<td>• Modified Benefits Population 8 Report Validation screen to add a row for Appeals Filed by Other in Group 8.05 and add its count to group total.</td>
</tr>
<tr>
<td></td>
<td>• Modified Benefits Population 14 subpopulation criteria to accept records of age = 730 days when Active Collection Status (Field 7) = Y.</td>
</tr>
<tr>
<td></td>
<td>• Changed Sample 920 selection function in Benefits Population 9 to select cases from subpopulations 9.13-9.20 and 9.22 -9.33 only.</td>
</tr>
<tr>
<td>Feature Type</td>
<td>Description</td>
</tr>
<tr>
<td>--------------</td>
<td>-------------</td>
</tr>
</tbody>
</table>
| Enhancements | · Changed *Benefits Selection Criteria* screen to display Period Start and End Date fields only when Import Data function is chosen.  
· Changed the transmit function to only allow submissions to the National Office as a set that includes RV and samples.  
· Modified Sample Validation screen for all samples to display OBS field as text.  
· Modified Sample Validation screen to warn the user that any data that has not been saved would be lost and ask whether user still wants to close the screen.  
· Modified minimum sample screen to display subpopulations sorted.  
· Modified Report Validation screen for Benefits Populations 10 and 11 to validate average and median age. |
Introduction

The Data Validation Program

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

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

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

The UI Data Validation program was established in an attempt to identify and address discrepancies in reported numbers. The program requires that states recreate reported numbers independently from their reporting process and compare these numbers with actual numbers reported to DOL. States must address any discrepancies found that exceed the established tolerance error rate. The DV program also requires that states examine a sample of reported cases to verify that the correct information is being counted.

The Data Validation State Web Software facilitates the validation process and generates standardized outputs which document the state data validation results.

The data validation process is divided into two main validation processes: Report Validation (RV) and Data Element Validation (DEV). RV verifies that reported numbers in ETA reports are accurate, i.e., that the process which the state uses to count transactions is correct. DEV refers to the investigation of samples of records to establish that the information in individual records is accurate and conforms to federal reporting requirements, i.e., that the state is counting the right transactions.
Definitions

Certain terms used in the validation process have a specialized meaning within the context of the DV program:

1. *Extract Files.* These files consist of information *extracted* from state production databases. This information is organized into rows and columns that represent state’s UI transactions. They are used as input for the DV software.

2. *Record Layouts.* These documents provide detailed information on how to build the extract files. They can be found in the software (see Viewing the Record Layouts section) or in Appendix I, UI Benefits Record Layouts of the ETA Handbook 361- A Benefits.

3. *Module 3.* State-specific document used to map the data elements in the record layouts and samples to elements in individual state systems.

4. *Populations.* Populations are sets of state transactions specific to a particular activity. For example Population 1 refers to the set of weeks claimed transactions reported on the ETA 5159. An extract file must be constructed for each population.

5. *Subpopulation.* Each record in a given population is assigned to a specific subpopulation. For example, in Population 1, UI weeks claimed records are assigned to Subpopulation 1.1, and UCFE weeks claimed records to Subpopulation 1.2. Records in subpopulations are used to reconstruct reported counts.

Navigating the System

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

- *Multiple users.* The software supports multiple, concurrent users. However, it was not designed to allow, for example, update of a single table by multiple users at the same time.

- *Time Out.* You will be automatically logged out from the application if you are inactive for more than 59 minutes. To maintain your session hit a keystroke or move your mouse. You should perform “save” operations frequently if there is a danger of work being lost due to inactivity. During the extract loading operation, the time-out parameter is set to four hours, to allow large extract files to be loaded without interruption.
• **Exit from Screens.** The user can exit from a secondary window within the application through use of the “X” in the upper right corner of the window. Be aware that the “X” at the extreme upper corner of the screen will exit the user from the entire application. This will require the user to sign on again and may result in lost data.

• **Use of the Back button.** The Internet browser has a Back button that allows the user to return to a previous screen. Users should be aware that use of this button may result in unexpected results. This problem can be avoided by using the links on the software screens that were designed to navigate to previous screens. For example, the Home link at the bottom of a screen will take you back to the Benefits Selection Criteria screen.

• **<Control End> and <Control Home>.** <Control End> will take you immediately to the bottom of any screen and <Control Home> to the top.

• **Print Function.** To print screens, use the print function on your browser or if available, the print button at the bottom of the screen. Some screen sizes exceed the width of a portrait print. In this case try the landscape option on your printer. You can also try copying the screen to Word, Excel or some other utility and print from there. System administrators should be able to assist you if you encounter problems.

• **Save and Save As Functions.** Use the Save button to save data in the DV application. Data for a given population saved using the Save button are overwritten when a new extract file for that population is loaded. The Save As button allows you to save a screen shot of the current software screen outside the DV software. Screen shots saved outside the application are not affected by loading new extract files. The Save As button can be used to save screen shots of summary reports and DEV worksheets to satisfy audit requirements.

• **Help functions.** The application has Help links on certain screens. Click on this link to display information relevant to the data or functions available on the screen.
Logging On

To log on to the data validation software, follow the next steps.

1. Go to your state Unemployment Insurance Applications Menu screen, select Data Validation, and then select Main Login.

![Unemployment Insurance Applications Menu](image)

2. On the Data Validation login screen, enter your User Name. Example: dv3

![DATA VALIDATION Screen](image)

Screen shots in this tutorial might look different (fonts and colors) than your screen due to your desktop and browser settings.
3 Enter your Password.

User name and password are assigned by your state system administrator.

Passwords are case-sensitive, i.e., the operator must use capital letters if these are part of the password.

4 Select Benefits if is not already selected (Benefits is selected by default)
5 Click on the **Login** button.

![Login Button]

The **State Menu** link at the bottom of the screen returns you to the state menu. The **Feedback** link accesses contact information for technical problems. The **Help** link accesses information on all available functions on the screen.

6 You should see the *Benefits Selection Criteria* screen.

![Benefits Selection Criteria]

The **Login** link at the bottom of the screen will take you back to the login screen. Click on **Population** and **Choose Function** for additional information on these parameters.
Viewing the Record Layouts

In order to use the data validation software, you need to have an extract file which contains the required data for the reporting period you want to validate. The data in the file should be extracted from your state production system in accordance to the specifications described in Appendix I, *UI Benefits Record Layouts, of the Data Validation Handbook*. You will need 15 extract files; one for each benefit population.

The record layouts, i.e. the extract file specifications, are also available in the software. To view them, follow the next steps.

1. On the *Benefits Selection Criteria* screen, click on the *Population* link.
To see the record layout of a population click on the population’s link.

The record layout for the population will be displayed.
Importing an Extract File

To use the data in an extract file to validate reported counts, you first need to import the file into the software. To import an extract file, follow these steps:

1. Select a population from the Population drop-down menu.

When you select a population, on the lower left corner of the screen you will see the last date this population was imported and which user imported it. If you have never imported this population it will display “Never”.

![DATA VALIDATION - BENEFITS](image)

[Image]
If you have already imported the population, you will see the last day it was imported and the user that imported it. You will also see the last date when validation results were transmitted to DOL.

2 Select *Import Data* from the *Choose Function* drop-down menu and click *Go*.

When you select *Import Data* the fields *Period Start Date* and *Period End Date* will be displayed.
You can click on **Period Start Date** and **Period End Date** for additional information on these parameters.

3. Enter the **Period Start Date** and **Period End Date** for the reporting period you want to validate using MM/DD/YYYY format. For example, January 1st, 2008 must be entered as "01/01/2008."

You can also click on the calendar icons on the right to select start and end dates from a calendar.
Use the double arrows on the calendar to scroll through years and the single arrows to scroll through months and then click on the day you want to use as start or end date.

The time period entered or selected should be the same used to construct the extract file you are going to load.

The software allows you to load extract files that do not conform to actual reporting time periods. This option is included for diagnostic purposes only. You should only submit to DOL data validation results that correspond to time periods which match the time period covered by an actual report (e.g., the ETA 5159 Report for January 1 – 31, 2008).

The start and end dates are needed only for the import function. Once a population is loaded, the user may choose any other function without entering these dates.
Enter the full path where the file is located and the name of the extract file into the Import From Extract File box (example: /opt/dv/data/pop4.txt).

The Clear Query button on the bottom of the screen will reset the Import From Extract File box. The Cancel button will take you back to the Benefits Selection Criteria screen.

All extract files must be copied to the /opt/dv/data/ directory, hence the path name will always be /opt/dv/data/filename.txt. This directory was created on the Sun servers exclusively for data validation use.

The software will only accept files in text format. File names cannot contain spaces and must end in ".txt".
5 Click on the Import button to load the extract file into the system.

This will take you to the Import Messages screen for information on the loading procedure.

On this screen you can see which user is loading the population, the start and end times of the load, the number of errors found in the file, and the total number of rows processed (including records in error).

Incoming extract files are subjected to various tests to identify 1) syntax errors, 2) logic errors, and 3) duplicate records.
For large files, a new import message line will appear for each 5,000 records.

Load times vary depending on the number of records in the extract file. The time-out parameter is set to four hours while the software is loading to allow ample time for loading large files. Most populations complete loading within a few minutes. Load times are affected by the size of the file, the population being loaded, and the number of error conditions encountered during the load.

The software allows different populations to be resident in the application at the same time, but not two data sets for the same population.

If the same population is loaded a second time, the new data set will over-write the former. Re-loading the same extract file will produce identical results for report validation, but different samples.

While the file is loading you can go back to the Benefits Selection Criteria screen and access screens for other populations. You cannot, however, load another population or access any of the screens of the population being loaded. A message in red will appear on the screen letting you know that the population is being loaded and the user that is loading it.
In addition, the Population drop-down menu will not display the population being loaded and the Choose Function drop-down menu will not display the Import function.

To return to the Import Messages, select View Import Messages from the Choose A Function drop-down menu on the Benefits Selection Criteria screen. You don’t need to select a Population.

**DATA VALIDATION - BENEFITS**

**Benefits Selection Criteria**

<table>
<thead>
<tr>
<th>Population Validation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Population</strong></td>
</tr>
<tr>
<td><strong>Choose Function</strong></td>
</tr>
<tr>
<td>View Validation Counts</td>
</tr>
<tr>
<td>View Report Validation</td>
</tr>
<tr>
<td>View Source Table</td>
</tr>
<tr>
<td>View Samples</td>
</tr>
<tr>
<td><strong>VIEW IMPORT MESSAGES</strong></td>
</tr>
<tr>
<td>View Errors</td>
</tr>
<tr>
<td>View Population Scores</td>
</tr>
</tbody>
</table>

Messages displayed on the Import Messages screen are available during the loading operation, but are not available after the file has been loaded and the user has left this screen. Information about previous population loads is not available. Users have the option of printing this screen when it is displayed, for future reference.

To accurately validate Population 3 reported numbers, i.e., RV, the extract file for Population 3a must also be loaded on the software for the same reporting period. When the software generates the RV for Population 3, it retrieves validation counts for new and transitional claims from the Population 3 extract file and additional claim counts from the Population 3a extract file. For more information, please refer to Appendix A, UI Benefits Report Validation Specifications of the ETA Handbook 361- A Benefits.
Cancelling a Load

To cancel a load in progress, follow the next steps.

1. To cancel a load in progress, click the **Cancel Import** button on the *Import Messages* screen.

You should get a message saying that the load was cancelled and the time it was cancelled.
When you return to the Benefits Selection Criteria screen, using the Return to Menu link, you will see a message in red indicating that the load was cancelled and the Last Import date will display “Cancelled.”

When you cancel a load, the only screen available for the population for which the load was cancelled is the Errors screen.

If you are loading a large file and the number of errors is excessive, you don’t need to wait until the load finishes, to check the type of errors you are getting. Instead, cancel the load and check the Errors screen. You will be able to see the errors that were processed up to the point where you cancelled the load.
Viewing Errors

When extract files are loaded, the software reads each record to ensure that all fields are valid with reference to specifications provided in the *ETA Handbook 361- A Benefits*.

There are three kinds of error conditions detected during the import and loading process:

**Syntax errors.** This refers to records that are not formatted according to instructions in the population-specific record layouts. Example: alpha characters in the social security number field.

**Parsing errors.** This refers to records that cannot be assigned to a subpopulation because the values in the fields do not match the required criteria for any of the subpopulations.

**Duplicate records.** This refers to records that are found to be duplicates based on the criteria described in *Appendix H, UI Benefits Duplicate Detection Criteria*.

All records with errors are loaded to the *Errors* table. Records in the *Errors* table are not included in any of the validation screens and hence cannot be validated. You should inspect these records and determine whether the extract file was not constructed correctly or there is a problem in the state database from which the data was extracted. If the extract file was not constructed correctly, fix the file and load it again. If the problem is in your state database, for example a field is not being captured; your office needs to take steps to fix it.

The *Errors* screen allows the user to view the records that were found to have errors during the loading operation. To view the *Errors* screen follow the next steps.
1 In the Benefits Selection Criteria screen, select the Population for which you want to see the errors table.

![Image of Benefits Selection Criteria]

2 Select View Errors from the Choose Function drop-down menu and click Go.

![Image of Benefits Selection Criteria with View Errors selected]
The *Errors* screen displays records with errors along with an error message for each record.

<table>
<thead>
<tr>
<th>Ob#</th>
<th>Week Claimed</th>
<th>SSN</th>
<th>Type Of Program</th>
<th>Program Type</th>
<th>Interstate/Intrastate</th>
<th>Date Claimed</th>
<th>Earnings</th>
<th>Weekly Benefit Allowance</th>
<th>User Defined</th>
<th>Error Message</th>
</tr>
</thead>
<tbody>
<tr>
<td>21</td>
<td>10/29/2000</td>
<td>880-08-2021</td>
<td>Workshare-1</td>
<td>UI-0</td>
<td>Intrastate-00</td>
<td>11/01/2000</td>
<td>0</td>
<td>255</td>
<td>1</td>
<td>Record does not fulfill any sub-population criteria</td>
</tr>
</tbody>
</table>

**Duplicate Detection Report**
Total Errors: 1

**Home Feedback Help**

The Errors screen displays 100 records at a time. To see the next 100 records, click on the *Next* link at the bottom of the screen. This link is visible only when there are more than 100 records. If the loaded file contains more than 1,000 errors only the first 1,000 can be viewed, and the software will display a red message to inform you of this.

**Duplicate Detection Report**
Total Errors: 7038

*No. of Errors Exceed 1000. Only the first 1000 errors will be displayed.*

**Home Feedback Help**
When a file with no errors is loaded, the Errors screen displays “No Rows Found” in red.

### Viewing Duplicate Records

Duplicate errors are displayed in the *Errors* screen along with all other errors, but can be viewed separately by accessing the *Duplicate Detection Report* screen. To access this screen follow the steps below.

1. Click on the *Duplicate Detection Report* link at the bottom of the *Errors* screen.
The *Duplicate Detection Report* screen displays duplicates only.

The *Duplicate Detection Report* screen displays duplicates only.

<table>
<thead>
<tr>
<th>Obs</th>
<th>SSN</th>
<th>Check Number</th>
<th>Type</th>
<th>Program</th>
<th>Maximum Benefit</th>
<th>Weekly Benefit</th>
<th>Actual Weeks</th>
<th>Mail Date</th>
<th>Balance</th>
<th>User Defined</th>
<th>Error Message</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>123456789</td>
<td>111ABC222</td>
<td>REGULAR</td>
<td>UI</td>
<td>530.00</td>
<td>205.00</td>
<td>26</td>
<td>Y-ES</td>
<td>01/01/2006</td>
<td>Duplicates</td>
<td>Duplicate Row - SSI, Check 10 and Mail date</td>
</tr>
<tr>
<td>4</td>
<td>123456789</td>
<td>111ABC222</td>
<td>REGULAR</td>
<td>UI</td>
<td>2987.00</td>
<td>149.00</td>
<td>18</td>
<td>N-O</td>
<td>01/01/2006</td>
<td>Duplicates</td>
<td>Duplicate Row - SSI, Check 10 and Mail date</td>
</tr>
</tbody>
</table>

Like in the *Errors* screen, the screen displays only 100 records at a time. To see the next 100 records, click on the *Next* link at the bottom of the screen. This link is visible only when there are more than 100 records. If the loaded file contains more than 1,000 duplicates only the first 1,000 can be viewed, and the software will display a red message to inform you of this.

To go back to the *Errors* screen click on the *All Errors* link at the bottom of the screen.

<table>
<thead>
<tr>
<th>Obs</th>
<th>SSN</th>
<th>Check Number</th>
<th>Type</th>
<th>Program</th>
<th>Maximum Benefit</th>
<th>Weekly Benefit</th>
<th>Actual Weeks</th>
<th>Mail Date</th>
<th>Balance</th>
<th>User Defined</th>
<th>Error Message</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>123456789</td>
<td>111ABC222</td>
<td>REGULAR</td>
<td>UI</td>
<td>530.00</td>
<td>205.00</td>
<td>26</td>
<td>Y-ES</td>
<td>01/01/2006</td>
<td>Duplicates</td>
<td>Duplicate Row - SSI, Check 10 and Mail date</td>
</tr>
<tr>
<td>4</td>
<td>123456789</td>
<td>111ABC222</td>
<td>REGULAR</td>
<td>UI</td>
<td>2987.00</td>
<td>149.00</td>
<td>18</td>
<td>N-O</td>
<td>01/01/2006</td>
<td>Duplicates</td>
<td>Duplicate Row - SSI, Check 10 and Mail date</td>
</tr>
</tbody>
</table>

When a file with no duplicates is loaded, the Duplicate Detection Report screen displays "No Rows Found" in red.

26
### DUPLICATE DETECTION REPORT

**Benefits Population 6**

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

<table>
<thead>
<tr>
<th>Obs</th>
<th>SSN</th>
<th>Docket Number</th>
<th>Appeal Level</th>
<th>Type of Appeal</th>
<th>Number Claimants</th>
<th>Filed Date</th>
<th>User Defined</th>
<th>Error Message</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td><strong>No Rows Found.</strong></td>
</tr>
</tbody>
</table>

**All Errors**
- **Total Duplicates:** 0

[Home Feedback Help]
Viewing the Source Table

The *Source Table* displays all the records that were successfully loaded to the application. To access the *Source Table* follow the steps below.

1. From the *Benefits Selection Criteria* screen select a *Population* that has been loaded.

2. Select *View Source Table* from the *Choose Function* drop-down menu and click **Go**.
At the bottom of the Source Table screen, you can see a count of the number of errors found during the loading process and the error rate. You can access the Errors screen from the Source Table screen by clicking on the Show Errors link at the bottom of the screen.

You can sort records by any field by clicking at the field header. Click once to sort in ascending order, and twice for descending.

You can sort records by a field to quickly find records with outlier values. For example, sort on Weekly Benefit Allowance (WBA) to find records with values exceeding the state established WBA.
The *Source Table* screen displays 100 records at a time. To see the next 100 records, click on the **Next** link at the bottom of the screen. This link is visible only when there are more than 100 records. If the table contains more than 1,000 records only the first 1,000 can be viewed.

If no record was successfully loaded, the *Source Table* screen displays a warning message in red.
Viewing Validation Counts

The Validation Counts screen displays all the subpopulations in the population and the number of records from the extract file that were assigned to each subpopulation. To view the Validation Counts screen, follow the next steps.

1. From the Benefits Selection Criteria screen select a Population that has been loaded.

2. Select View Validation Counts from the Choose Function drop-down menu and click on Go.
The screen displays the subpopulations, the report cells for which they are used, the type of values expected for records in them, and the number of records assigned to each.

### VALIDATION COUNTS

**Benefits Population 2**

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

<table>
<thead>
<tr>
<th>Subpop</th>
<th>ETA Report/Line/Column</th>
<th>(Step 2) Type of UI Program</th>
<th>(Step 4) Program Type</th>
<th>(Step 9a) Actual Weeks of Duration</th>
<th>(Step 9b) Maximum Weeks of Duration</th>
<th>Number in Population</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1</td>
<td>51508-383-26,2186-104 (14-159)</td>
<td>Regular UI</td>
<td>UI</td>
<td>&gt;25</td>
<td>Y</td>
<td>4</td>
</tr>
<tr>
<td>2.2</td>
<td>51508-383-26,2186-102 (8-13)</td>
<td>Regular UI</td>
<td>UI</td>
<td>X</td>
<td>N</td>
<td>0</td>
</tr>
<tr>
<td>2.3</td>
<td>51598-383-27</td>
<td>Regular UI</td>
<td>UI</td>
<td>NA</td>
<td>NA</td>
<td>0</td>
</tr>
<tr>
<td>2.4</td>
<td>51598-383-26</td>
<td>Regular UI</td>
<td>UI</td>
<td>NA</td>
<td>NA</td>
<td>0</td>
</tr>
</tbody>
</table>

3. Click on the subpopulation number to view records that were parsed into that subpopulation.

### SUBPOPULATION 2.1

<table>
<thead>
<tr>
<th>OBS</th>
<th>SBN</th>
<th>Check ID</th>
<th>UI Program Type</th>
<th>Program Type</th>
<th>MDA</th>
<th>WDA</th>
<th>Actual Weeks</th>
<th>Max Weeks</th>
<th>Mail Date</th>
<th>Balance</th>
<th>User Defined</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>000-00-0421</td>
<td>00000002</td>
<td>REGULAR UI</td>
<td>UI</td>
<td>533000</td>
<td>20500</td>
<td>26</td>
<td>Y</td>
<td>01/01/2005</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>000-00-0921</td>
<td>00000003</td>
<td>REGULAR UI</td>
<td>UI</td>
<td>533000</td>
<td>20500</td>
<td>26</td>
<td>Y</td>
<td>03/31/2006</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>000-00-0121</td>
<td>00000004</td>
<td>REGULAR UI</td>
<td>UI</td>
<td>533000</td>
<td>20500</td>
<td>26</td>
<td>Y</td>
<td>01/02/2006</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>000-00-0921</td>
<td>00000005</td>
<td>REGULAR UI</td>
<td>UI</td>
<td>533000</td>
<td>20500</td>
<td>26</td>
<td>Y</td>
<td>01/01/2006</td>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>

You can sort records by any field by clicking at the field header. Click once to sort in ascending order, and twice for descending.

You can print the screen by clicking on the **Print** button at the bottom of the screen.
The screen displays 100 records at a time. To see the next 100 records, click on the Next link at the bottom of the screen. This link is displayed only when there are more than 100 records.

4 Click on the “X” in the upper right hand corner of the screen to close the screen and return to the Validation Counts screen.
Viewing the Report Validation Screen

Report validation (RV) consists of establishing the extent to which reported numbers match report counts reproduced through the data validation process. This comparison process is automated and does not require additional input from you once you have successfully loaded an extract file to the system.

The software retrieves reported numbers from the state UI database and compares them to the validation numbers derived from the extract files. Percent errors are displayed for each report cell, but pass/fail scores are displayed for groups. A group passes validation if the percent error is 2% or less, except for groups which contain report cells that are used for Government Performance and Results Act (GPRA) measures, which should have a percent error of 1% or less (e.g., Groups 4.01, 4.02 and 12.04). If all groups pass, the population passes report validation; otherwise, it fails.

The Report Validation screen displays the results of report validation. To display the screen follow the steps below.

1. From the Benefits Selection Criteria screen select a Population that has been loaded.
2 Select View Report Validation from the Choose Function drop-down menu and click on Go.

DATA VALIDATION - BENEFITS

Benefits Selection Criteria

The Report Validation screen displays each report cell in the population, its description, validation count (derived from extract file), reported count (retrieved from the UI database), count difference, and percent difference. It also displays cumulative counts for groups of report cells along with a pass/fail score for that group. Some report cells may not be included in any group, like for example 218B-104-20 Average Weeks, in Population 2. These cells are not taken into account for pass/fail scores.
At the right bottom corner of the screen you can see the Report Validation Status of the population.

To save a screen shot of the Report Validation screen outside the software, follow the next steps.

1. Select Save As from the drop-down menu File on the top left corner of your browser.

2. Select the location where you want to save the screen shot and write in the File Name box the name you want to give the file.
Viewing Samples

Data element validation (DEV) consists of the investigation of samples drawn from extract files to verify that the information in the records is accurate. Four kinds of samples are drawn: random, missing subpopulations, outliers, and minimum, but only random samples are scored and are to be submitted to DOL. The other samples are included for diagnostic purposes, but failure of a non-random sample does not require corrective action. States should investigate them and keep a record of their results for auditing purposes.

The four types of samples are:

- **Random.** These samples are drawn from specific subpopulations within extract files. These were designed as two-tier samples so that the second tier of the sample does not have to be investigated if the results of the investigation of the first tier are conclusive. The samples are either 30/100 or 60/200, where the first number indicates the size of the first tier and the second number the size of the whole sample. So, for example, in a 30/100 sample, 30 cases are investigated in the first tier and 70 on the second, for a total of 100 records. These samples pass with an error rate of 5% or less.

- **Missing subpopulations.** These samples are dependant on the random samples. Each sample consists of one case from each subpopulation that is in the universe of the related random sample but was not selected in the random sample.

- **Minimum.** These samples consist of two cases from each subpopulation included in the sample frame.

- **Outliers.** These samples consist of 10 records with extreme values: the five largest and five smallest values for the variable of interest in the data set.
To view the samples of a population follow the next steps.

1. From the Benefits Selection Criteria screen select a Population that has been loaded.

2. Select View Samples from the Choose Function drop-down menu and click on Go.
The **Sample ID** number on the **Samples** screen identifies the specific sample. **Sample Type** describes it as one of the four types of samples described above (random, minimum, outlier or missing subpopulations). **Sample Description** is a narrative explanation of the subpopulations included in the sample frame for each sample.

### Samples Table

<table>
<thead>
<tr>
<th>Sample ID</th>
<th>Sample Type</th>
<th>Sample Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>400</td>
<td>Random</td>
<td>First Payments</td>
</tr>
<tr>
<td>405</td>
<td>Missing</td>
<td>First Payments</td>
</tr>
<tr>
<td>410</td>
<td>Outliers</td>
<td>First Payments</td>
</tr>
<tr>
<td>415</td>
<td>Outliers</td>
<td>Continued Weeks Total Payments</td>
</tr>
<tr>
<td>420</td>
<td>Random</td>
<td>Continued Weeks Partial Payments</td>
</tr>
<tr>
<td>425</td>
<td>Outliers</td>
<td>Adjusted Payments</td>
</tr>
<tr>
<td>430</td>
<td>Minimum</td>
<td>Self Employment Payments</td>
</tr>
<tr>
<td>435</td>
<td>Random</td>
<td>CWC First Payments</td>
</tr>
<tr>
<td>440</td>
<td>Minimum</td>
<td>CWC Continued Payments</td>
</tr>
<tr>
<td>445</td>
<td>Minimum</td>
<td>CWC Adjusted Payments</td>
</tr>
<tr>
<td>450</td>
<td>Minimum</td>
<td>CWC Prior Weeks Compensated</td>
</tr>
</tbody>
</table>

3. Click on the Sample ID of the sample you want to view.
The Sample Validation screen displays the records selected in the sample that are to be investigated. The number and description of the sample are displayed at the top of the screen.

This screen is used to enter the results of the investigation. The step numbers on the headers of the columns refer to the steps in Module 3 of the data validation handbook.
Printing Sample Worksheets

Before you start investigating each record in a sample it is recommended that you print the worksheets for all records. You can annotate validation results in these worksheets and later enter all results in the Sample Validation screen. To print the worksheets follow the next steps.

1. Click the **Print Worksheets** button. This button is displayed at the top and bottom of the Sample Validation screen. Click on either button.
2 Start Row and End Row boxes will be displayed at the bottom of the screen. Enter the range of rows that you want to print and click Go. For example, enter “1” in Start Row and “4” in End Row and click Go, to print sample worksheets for rows 1 to 4.

To print the worksheet of only one record, enter the row number of the record in the Start Row and End Row boxes. For example, to print the record in the second row, enter “2” in both the Start Row and End Row boxes.
The worksheets display the records with all fields and corresponding values in portrait orientation.

3 Scroll to the end of the screen and click on Print Preview.
If instead of printing you want to add more records to print, click on **Get More Rows**. **Start Row** and **End Row** boxes will be displayed at the bottom of the screen. Enter the range of rows that you want to add and click **Go**.

Then click on **Print Preview**.

4 Click **Print** on the left top corner of the screen.
5 Select a printer and click **Print**.

You can keep worksheets for samples you submit to the DOL as evidence of the work done, in case you are subject to an Office of Inspector General (OIG) audit.
Entering Validation Results for Non-random Samples (Minimum, Missing Subpopulations and Outliers)

After you investigate each record, you need to enter the results of the validation into the software. To enter results for non-random samples, go to the Sample Validation screen of the sample you are investigating and follow the next steps.

1. For each data element, go to the box next to it, click on the drop-down menu and select pass or fail according to your findings.

If all elements in a record have passed you don’t have to enter results individually for each data element. You can instead click on the Pass Row box at the beginning of the row and all boxes for that row will be filled with “Pass”.

![Sample Validation Screen Example](image-url)
For a record that has only a few elements failed and the rest of the elements passed, you can select “Fail” for the elements that failed and then check the Pass Row box at the beginning of the row to change the remaining blank boxes to “Pass”.

If all of the records within the sample have passed all data elements you can select the Check All box on the top left corner of the table to change all blank boxes to “Pass”.

You can enter “Fail” for the elements that have failed for the whole sample and then click the Check All box to change the remaining blank boxes to “Pass”.

2 Click Save to save all entered results. When you click Save the software will display a summary of your results at the bottom of the screen, including the number of cases reviewed and the number of cases in error.
The **Save** button will save your results in the software. You can use this button to save partial results if you need to log out from the software. When you return to this screen, all results you have entered so far will be displayed.

3. When you finish validating all records, click on the **Save Final Validation Results** button at the top or bottom of the screen, to save your data in your state’s database.

You can later access these data by querying your database, but the data will be erased from the software when the population is reloaded.

The **Save As** button displayed at the top and bottom of the screen can be used to save a screen shot of your results outside the software. To do this, follow the next steps.
4 Click on **Save As**.

5 Select the location where you want to save the screen shot and write in the **File name** box the name you want to give the file. Click on **Save**.
Entering Validation Results for Random Samples

When validating random samples you first have to validate records on the first tier of the sample. If the results are conclusive, you don’t need to validate the second tier (rest of the sample). If results are inconclusive you need to go to the second tier and enter results for the rest of the sample. To enter results for random samples follow the next steps.

**First Tier**

1 When you first open the *Sample Validation* screen for a random sample you will see the records in the first tier of the sample, i.e., the first 30 records for a 30/100 sample or the first 60 records for a 60/200 sample. Enter validation results for all records on the screen by following the same steps described in the previous section for non-random samples.

If the sample’s universe size is less than 30 for 30/100 samples or 60 for 60/200 samples, i.e., if the extract file has less than 30 or 60 records respectively from which to select that sample, you will see all records selected for the sample on the screen and you will not have to complete a second tier.
2 Click **Save**. If the results are conclusive, the screen will display a summary of your results at the bottom of the page, along with a pass or fail score. You have finished the validation and don’t need to complete the second tier. If the sample universe is smaller than the 30- or 60-case tier one sample, the results will be conclusive regardless of the number of errors.

If the results are inconclusive, clicking on **Save** will bring up the following pop-up window informing you that you need to go to the second tier. Click **OK**.

If you need to exit the software before entering all your results, click **Save** before you do so, so that you don’t lose any of your results. Also, if you are going to be inactive for more than 59 minutes (the time-out limit), save your work before you do so, to avoid losing your results.
Second Tier

3 To go to the second tier, click on one of the **Switch to Tier 2** buttons available at the top and bottom of the screen.

The first tier’s records are going to be disabled but still visible on the screen and the records for the second tier are going to be displayed.
If you want to edit results for any records on the first tier, you can click on any of the **Back to Tier 1** buttons available at the top and bottom of the screen.

However, if you had entered any results for records on the second tier, you will lose them. The software will give you a warning before going back to tier 1. Click **OK** if you want to go to tier 1 or **Cancel** to return to Tier 2. Be aware that returning to tier 1 from tier 2 might take a long time.

4. Enter results for all records on the second tier the same way you entered results on the first tier. Clicking on the **Check All** box at the top left corner of the table will change all blank boxes in the second tier to “Pass”.
5 When you finish entering results click Save. A summary of your results will be displayed at the bottom of the page along with a pass or fail score.

6 If you want to save a screen shot click Save As and follow the steps described in the previous section.

Viewing the Data Element Validation Report

The Data Element Validation Report screen provides summary information about completed sample investigations for a given population. This report is for informational purposes only. It provides, for example, the number of cases in error and the derived percent of errors established through the sample investigation process. The report can be printed and/or saved outside the application, but there is no Transmit button for export to DOL. To access this screen follow the next steps.

1 Click on the link Data Element Validation Report screen located at the bottom of the Samples screen.
The screen will show results that you have entered for all samples. You can print this screen by clicking on **Print** and save it outside the software by clicking on **Save As**.

<table>
<thead>
<tr>
<th>Sample ID</th>
<th>100</th>
<th>110</th>
<th>120</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sample Name</td>
<td>Interstate Weeks Claimed</td>
<td>Interstate Liable Weeks Claimed</td>
<td>Interstate Weeks Claimed from Agent</td>
</tr>
<tr>
<td>Sample Type</td>
<td>Random</td>
<td>Random</td>
<td>Minimum</td>
</tr>
<tr>
<td>Size</td>
<td>50/200</td>
<td>30/100</td>
<td>6</td>
</tr>
<tr>
<td>Universe (subpops)</td>
<td>1.1 - 1.3</td>
<td>1.4 - 1.6</td>
<td>1.7 - 1.9</td>
</tr>
<tr>
<td>Cases Reviewed</td>
<td>50</td>
<td>30</td>
<td>0</td>
</tr>
<tr>
<td>Cases in Error</td>
<td>0</td>
<td>30</td>
<td>0</td>
</tr>
<tr>
<td>% Error</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
</tr>
<tr>
<td>Pass/Fail</td>
<td>Pass</td>
<td>Fail</td>
<td>Fail</td>
</tr>
</tbody>
</table>

### Invalid Weeks Claimed

<table>
<thead>
<tr>
<th>Report</th>
<th>Population 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>182 (Step 1a) Match</td>
<td>Cases in Error: 0</td>
</tr>
<tr>
<td>5 (Step 11) Rule 1 Data Week Claimed</td>
<td>Cases in Error: 0</td>
</tr>
<tr>
<td>7 (Step 11) Rule 2 Mon. Elig or Pending</td>
<td>Cases in Error: 0</td>
</tr>
<tr>
<td>889 (Step 11) Rule 3 Excess Earnings</td>
<td>Cases in Error: 0</td>
</tr>
</tbody>
</table>

### Reporting Errors

<table>
<thead>
<tr>
<th>Step</th>
<th>Program</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>Type U Program</td>
</tr>
<tr>
<td>4</td>
<td>Program Type</td>
</tr>
<tr>
<td>5</td>
<td>Intra/Enter</td>
</tr>
</tbody>
</table>
Submitting Results to DOL

Adding Comments

You can add comments to your RV and sample results before transmitting them to DOL by using the Comments button at the bottom of the RV and sample screens. To add comments, follow the steps below.

1. Click on the Comments button. For RV, the Comments button is located at the bottom of the screen.

   For samples, the Comments button at the top and bottom of the screen. Click on either one.
2 Write your comments in the comment box and click **Save**. You have a limit of 512 characters.

![](Images/Comments.png)

3 Close the comments window by clicking on the **X** located on the top right corner of the window.

![](Images/Comments.png)

The **Clear** button at the bottom of the **Comments** screen will erase the comment box. The **Reset** button will erase any additional comments written after the comments were last saved.

Transmitting Results

After you complete RV and DEV, you can transmit the results to DOL with or without comments. Only completed and conclusive sample investigations can be transmitted. Results are transmitted jointly for RV and DEV samples.

You may choose not to submit the results of a validation exercise, but keep in mind that any results resident in the software for a given population will be lost when a new extract file for that population is imported and overwrites prior data.
When you transmit results to DOL, only summary information and comments are transmitted. Detailed information from individual records is not transmitted to DOL. This means that sensitive information, such as SSNs, stays at the state level.

You can forward RV and DEV results to DOL using the Transmit button at the bottom of the Population Scores screen. Submissions are transferred to DOL overnight, so they will be received the next day. To submit results along with comments saved, if any, follow the next steps.

1. From the Benefits Selection Criteria screen select the Population for which you want to submit results.
2 Select View Population Scores from the Choose Function drop-down menu and click on Go.

The Population Scores screen can also be accessed from the Report Validation screen or any of the sample screens by clicking on the View Population Scores button.
The Population Scores screen displays scores for the RV and all the random samples, and an overall score for the population. It also displays the date when results for the population were last transmitted to the National Office.

3 Click on the Transmit button located at the bottom of the screen.

You can only transmit results if you have validated all samples. If you haven’t, you will get the following message.
Click **OK** and complete all samples. After you complete all samples return to the *Population Scores* screen. Click on the **Transmit** button to submit your results.

### POPULATION SCORES
**Benefits Population 4**

**Period:** 06/01/2006 - 06/30/2006

<table>
<thead>
<tr>
<th>Data Validation Item</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Report Validation</td>
<td>Fail</td>
</tr>
<tr>
<td>Sample 400</td>
<td>Pass</td>
</tr>
<tr>
<td>Sample 420</td>
<td>Pass</td>
</tr>
<tr>
<td>Sample 435</td>
<td>Pass</td>
</tr>
</tbody>
</table>

**Overall Population Score:** Fail

Last Transmitted: 10/30/2006

[Transmit]

**Home Feedback Help**

---

4 Click **OK** on the pop up window if you want to transmit the results. Click **Cancel** if you don’t.

---

You will get a message confirming that your results were submitted. Click **OK**.
In the Population Scores and Benefits Selection Criteria screens, the Last Transmitted date should reflect the date when you last transmitted results for the population. If you have never submitted results the field would display “Never”.

![Image of Population Scores and Benefits Selection Criteria screens]

In the Population Scores and Benefits Selection Criteria screens, the Last Transmitted date should reflect the date when you last transmitted results for the population. If you have never submitted results the field would display “Never”.

![Image of Population Scores and Benefits Selection Criteria screens]