
User Guide to TPS Applications

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Chapter 1

Introduction

About This Guide

This guide explains how to navigate the Tax Performance System (TPS) application of the TPS State Web Software.




This guide explains how State Workforce Agency (state) staff enter data into the TPS application and explains how state staff may retrieve data from the TPS application.

Technical Support

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

Typographic Conventions

This guide uses the following typographic conventions.

Visual Cue	Meaning
1	Sequenced steps to follow when completing a task
2	
Black bold type	Button
<u>Purple underlined type</u>	Links on the software that you can click on
<u>Blue underline type</u>	Web or email address
<i>Italics</i>	Documents, screen names and menu options
	Indicates where to click on the software screen
	Note with additional information
	Tip

Software Requirements

To use the TPS State Web Software you will need a computer with Internet Explorer Version 10.0 or later.

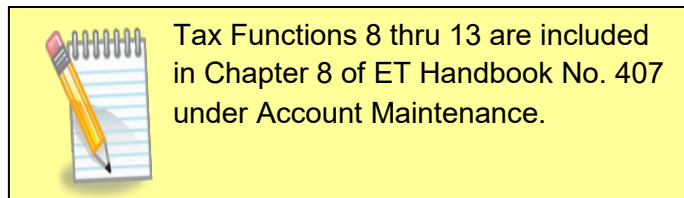
You will also need a user name and password which you should obtain from your system administrator for the Sun system.

Tax Performance System (TPS) Program

The Unemployment Insurance (UI) TPS system (formerly Quality Control) provides the basis for assessing the quality of the State's UI tax operation. At the state agency, this information helps state administrators improve, where warranted, the revenue operation of their UI programs. At the Federal level, the information helps the Employment Training Administration (ETA) in the U. S. Department of Labor (Department) 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 13 tax functions reviewed:

1. New Employer Status Determinations
2. Successor Employer Status Determinations
3. Inactivated/Terminated Status Determinations
4. Cashiering
5. Report Delinquency
6. Collections
7. Employer Audits
8. Report Delinquency
9. Debits-Contributory
10. Debits-Reimbursing
11. Employer Credits/Refunds
12. Employer Charging
13. Employer Tax Rates



The tax functions have information derived from one or more of the following methods used in the TPS procedures:

Computed Measures – Computed measures are indicators of the timeliness and completeness with which UI transactions occur. Computed measures are used in the following four tax functions of TPS: (1) status determinations, (2) report

- delinquency, (3) collections and (4) employer audit. The Department calculates computed measures based on data reported on ETA 581 Contribution Operation Reports that states enter into TPS State Web Software.
- Program Reviews (consisting of Systems Review and Acceptance Samples) – Program reviews evaluate the quality of a specific tax function based on the results of systems reviews (i.e., reviews of procedures and internal controls) and acceptance sampling that states enter into the TPS State Web Software.

Quick Tour of the Contents

After this introduction, this guide is divided into the following chapters:

TPS Program Reviews - This chapter provides instructions for using the Program Review Findings Chart, which summarizes TPS findings for a calendar year.

Systems Reviews – This chapter provides instructions for entering results of a state TPS reviewer’s systems review.

Acceptance Sampling – This chapter provides instructions for entering results of the reviewer’s acceptance sampling.

ETA 581 Contributions Operations Report – This chapter provides instructions for entering data pertaining to the ETA 581 report. Information on edits and error messages are provided.

Computed Measures – This chapter provides instructions for retrieving raw data pertaining to the ETA 581 report that a state had entered for a prior, completed quarter. The chapter also provides instructions for retrieving computed measures that had been calculated based on the state’s data reported on ETA 581 reports.

Navigating the System

The TPS 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 60 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.

- *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.
- *<Control End> and <Control Home>.* <Control End> will take you immediately to the bottom of any screen and <Control Home> to the top.
- 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. The problem can be avoided by using the links on the software screens that were designed to navigate to other screens. For example, the [Home](#) link at the bottom of a screen will take you back to the *Application Menu*.
- *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 MS Word, Excel or some other utility and print from there. Your Sun system administrator should be able to assist you if you encounter problems.
- *Save Function.* Use the **Save** button to save data in the TPS application.
- *Help Links.* The application has [Help](#) links on certain screens. The query field names and data entry field names provide links to the respective help files. Clicking on the label of a field name displays the corresponding field help information.
- *Action Buttons.* Various applications include action buttons. For example, the query screen has the following buttons:
 - Submit Query: Submits the user’s query request.
 - Clear Query: Resets all the query fields.

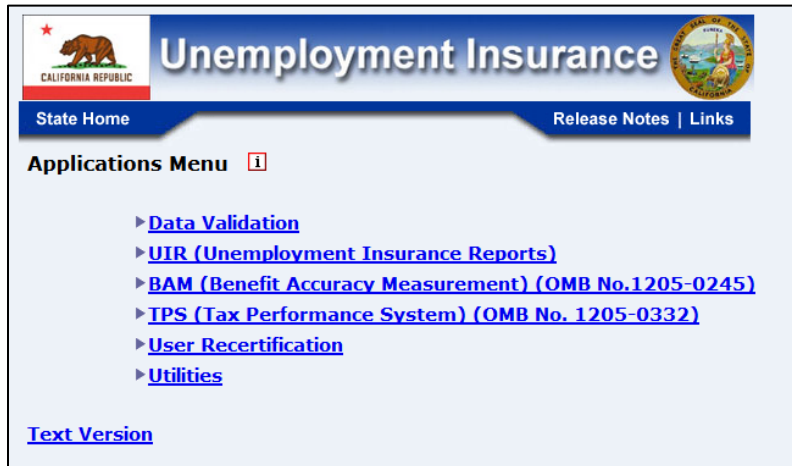


Screen shots in this handbook might look different (fonts and colors) than your screen due to your desktop and browser settings.

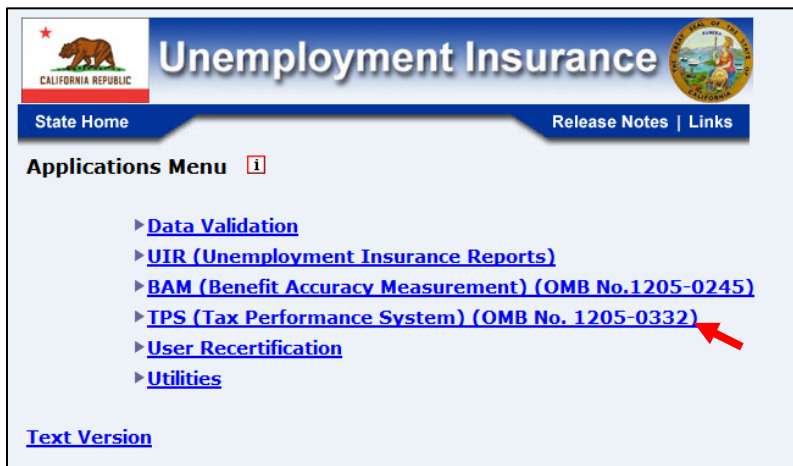
Accessing the System

To access the TPS State Web Software use an Internet Browser and contact your state's System Administrator for the Domain name or IP Address.

1. Upon entering the URL, the following main Applications Menu appears:



2. Select [TPS \(Tax Performance System\) \(OMB No. 1205-0332\)](#) to



3. Selecting TPS from the Applications Menu returns several *TPS* Functional applications: *Computed Measures*, *Sampling*, *Program Review Findings (PRF)* and *581 Contributions Operations (OMB No. 1205-0178)*.

Unemployment Insurance

State Home | Release Notes | Links

Applications Menu ⓘ

- ▶ [Data Validation](#)
- ▶ [UIR \(Unemployment Insurance Reports\)](#)
- ▶ [BAM \(Benefit Accuracy Measurement\) \(OMB No. 1205-0245\)](#)
- ▶ [TPS \(Tax Performance System\) \(OMB No. 1205-0332\)](#)
- ▶ [Computed Measures](#)
- ▶ [Sampling](#)
- ▶ [Program Review Findings \(PRF\)](#)
- ▶ [581 Contributions Operations \(OMB No. 1205-0178\)](#)
- ▶ [User Recertification](#)
- ▶ [Utilities](#)

[Text Version](#)

Information on each functional application is provided in the following chapters of this document:

- Computed Measures – Chapter 6
- Sampling – Chapter 4
- Program Review Findings (PRF) – Chapters 2 and 3
- 581 Contributions Operations – Chapter 5

Chapter 2

TPS Program Reviews

Program Review Findings Screen

The *Program Review Findings* screen serves to compile the results of TPS Program Reviews, which consist of System Reviews and Acceptance/Estimation Samples. It is a one-page report of TPS findings for a calendar year.

The *Program Review Findings* screen tracks the completion of reviews during the course of the current year's review. The screen also summarizes results after the review for a year has been completed. A state TPS reviewer may view a screen for a prior calendar year that has been completed.

ET Handbook No. 407 requires a systems review of each tax function and acceptance sampling of tax rates to occur at some time "within a four cycle." The *Program Review Findings* screen tracks when these reviews were last completed and whether the reviews are due in the current calendar year. If these reviews are not required in the current calendar year, the automated system copies results from the previous year to the current year's *Program Review Findings* screen.



Begin your Program Review for a calendar year by accessing the Program Review Findings screen before entering acceptance sampling. See section, Begin Review for Calendar Year, in this chapter.

A copy of a *Program Review Findings* screen is shown below.

TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS

STATE: State Machine

Review Year: 2014

As Tax Rate Cycle Year: 2014

Tax Function	System Review Verified Controls for :							Sampling		
	<u>Cycle Year</u>	Recorded Instructions	Training	Recording of Events	Exec by Auth Indv.	Execution of Events	Review of Work	Exceptions	Complete	Outside Authority
STATUS DETERMINATION										
New	2013	R	C	C		C	C			
Successor	2014									
Inactive/Termination	2014									
CASHERING										
	2014									
REPORT DELINQUENCY										
	2013	C	C	C		R	C			
COLLECTIONS										
	2011	C	C	C	C	C	C			
FIELD AUDIT										
	2014									
ACCOUNT MAINTENANCE										
Report Processing	2012	C	C	C		C	C			
Debits-Contributory	2012	C	C	C		C	C			
Debits-Reimbursable	2012	C	C	C		C	C			
Employer Credits/Refunds	2012	C	C	C		C	C			
Employer Charging	2012	R	R	C		R	C			
Employer Tax Rates	2014									

SYSTEMS REVIEW:

C = All controls verified as present
 R = Risk, 1 or more controls missing
 O = Other control compensated for missing control (requires RO approval)
 - = No data entered

SAMPLING EXCEPTIONS:

S = Size of universe too small
 I = Invalid universe or not sampled
 E = Exemption, tempo. (Exp Rate only)
 F = Failed due to missing case information
 W = Waived, tempo. (requires RO approval)

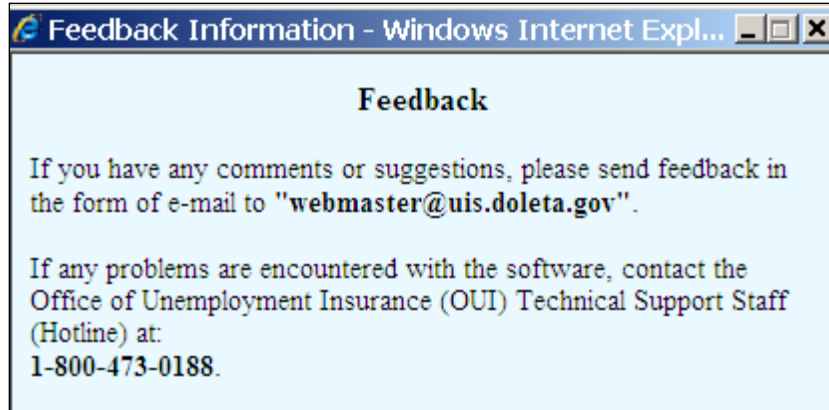
SAMPLING COMPLETE:

P = Passed
 F/# = Failed/# of cases failing (% deposited timely for cashiering)
 F/I = Failure due to invalid universe or not sampled
 F/M = Failure due to missing employer records
 N = Not marked complete
 U = Undeterminable (cashiering)
 * = Out of tax unit's authority

[Home](#)
[Feedback](#)
[Help](#)

Underlined screen names on the *Program Review Findings* screen are links that provide help information on that item. For example, clicking [Cycle Year](#) will provide information for cycle year in a Help screen.

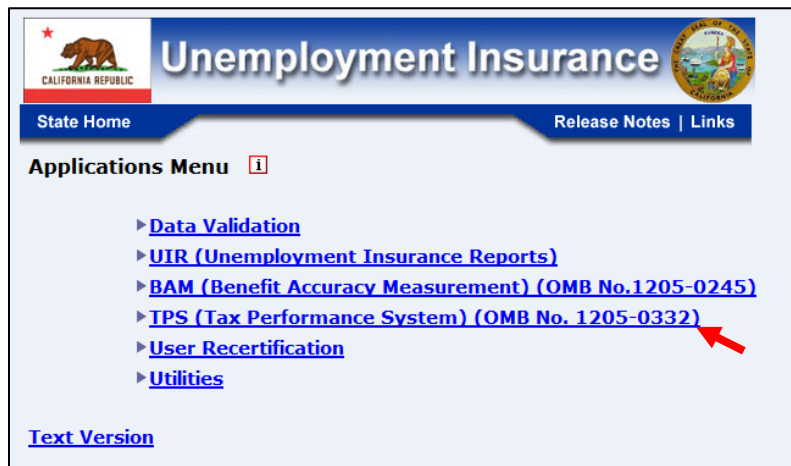
The [Home](#) link at the bottom of the *TPS Program Review Findings* screen returns you to the state *Applications Menu*. The [Feedback](#) link accesses contact information for technical problems. The [Help](#) link accesses information for all items and functions on the screen. For example, clicking the [Feedback](#) link displays:



Accessing the Program Review Findings Screen for a Completed Year

To obtain a *Program Review Findings* screen for a completed calendar year or a partially completed calendar year follow the steps below.

1. Go to your state Unemployment Insurance *Applications Menu* screen, select [TPS \(Tax Performance System\) \(OMB No. 1205-0332\)](#).



2. Selecting TPS from the Applications Menu returns several *TPS* Functional applications: *Computed Measures*, *Sampling*, *Program Review Findings (PRF)* and *581 Contributions Operations (OMB No. 1205-0178)*.


Unemployment Insurance


[State Home](#)
[Release Notes](#) | [Links](#)

Applications Menu 1

- ▶ [Data Validation](#)
- ▶ [UIR \(Unemployment Insurance Reports\)](#)
- ▶ [BAM \(Benefit Accuracy Measurement\) \(OMB No. 1205-0245\)](#)
- ▼ [TPS \(Tax Performance System\) \(OMB No. 1205-0332\)](#)
 - ▶ [Computed Measures](#)
 - ▶ [Sampling](#)
 - ▶ [Program Review Findings \(PRF\)](#)
 - ▶ [581 Contributions Operations \(OMB No. 1205-0178\)](#)
- ▶ [User Recertification](#)
- ▶ [Utilities](#)

[Text Version](#)

3. The Tax Performance System login screen appears.

TAX PERFORMANCE SYSTEM

WEB STATE APPLICATION

Enter your user name	<input type="text"/>
Enter your Password	<input type="password"/>
<input type="button" value="SUBMIT"/> <input type="button" value="CLEAR"/>	

OMB No.: 1205-0332 **OMB Expiration Date:** 01/31/2009 **OMB Burden Minutes:** 91000
OMB Burden Statements: The reporting requirements for TPS Handbook ET 407 are approved by OMB according to the Paperwork Reduction Act of 1995 under OMB Approval No. 1205-0332 to expire January 31, 2009. Reporting for this collection of information is estimated to average 1,739 hours per state, including the time for reviewing instructions, conducting reviews of state tax systems, extracting and analyzing small samples of completed work, gathering and maintaining the data needed, and completing and reviewing the collection of information.


[Home](#) [Feedback](#) [Help](#)

4. Enter your Login ID User Name and Password


TAX PERFORMANCE SYSTEM

WEB STATE APPLICATION

Enter your user name	<input type="text" value="testing"/>
Enter your Password	<input type="password" value="*****"/>
<input type="button" value="SUBMIT"/> <input type="button" value="CLEAR"/>	
<small>OMB No.: 1205-0332 OMB Expiration Date: 01/31/2009 OMB Burden Minutes: 91000</small> <small>OMB Burden Statements: The reporting requirements for TPS Handbook ET 407 are approved by OMB according to the Paperwork Reduction Act of 1995 under OMB Approval No. 1205-0332 to expire January 31, 2009. Reporting for this collection of information is estimated to average 1,739 hours per state, including the time for reviewing instructions, conducting reviews of state tax systems, extracting and analyzing small samples of completed work, gathering and maintaining the data needed, and completing and reviewing the collection of information.</small>	
Home Feedback Help	



Login ID and password are assigned by your state Sun system administrator.



Passwords are case sensitive, i.e., the user must use capital letters or special characters such as (#, *, or %) if these are part of the password.

5. Click on the **Submit** button.

TAX PERFORMANCE SYSTEM

WEB STATE APPLICATION

Enter your user name	<input type="text" value="testing"/>
Enter your Password	<input type="password" value="*****"/>
<input type="button" value="SUBMIT"/> <input type="button" value="CLEAR"/>	
<small>OMB No.: 1205-0332 OMB Expiration Date: 01/31/2009 OMB Burden Minutes: 91000</small> <small>OMB Burden Statements: The reporting requirements for TPS Handbook ET 407 are approved by OMB according to the Paperwork Reduction Act of 1995 under OMB Approval No. 1205-0332 to expire January 31, 2009. Reporting for this collection of information is estimated to average 1,739 hours per state, including the time for reviewing instructions, conducting reviews of state tax systems, extracting and analyzing small samples of completed work, gathering and maintaining the data needed, and completing and reviewing the collection of information.</small>	
Home Feedback Help	

6. The TPS [Program Review Findings](#) menu screen appears.

TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS ⓘ

REVIEW YEAR: 2014 ▾

ACTION Query/Update
 Report

Submit Query Clear Query

[Home](#) [Feedback](#) [Help](#)

7. Select the *Review Year* from the drop down menu, select the *Report* radio button, and click on the **Submit Query** button.

TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS ⓘ

REVIEW YEAR: 2013 ▾

ACTION Query/Update
 Report

Submit Query Clear Query

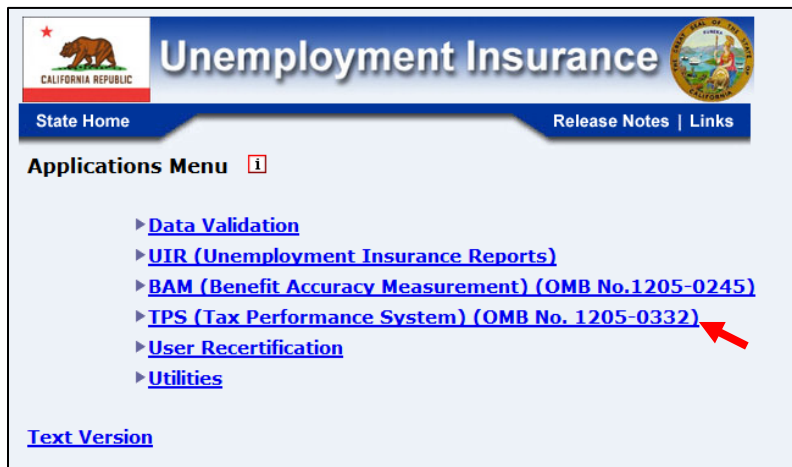
[Home](#) [Feedback](#) [Help](#)



The TPS application displays the calendar year under review as “review year.”

The instructions below are followed when a state TPS Reviewer begins a TPS Program Review for a new calendar year. The state TPS reviewer must have completed the prior year's review and marked the Program Review Findings screen for the prior year as "Completed" before results for the current year's review can be entered. If the prior year's review has not been completed, the system displays an error message as shown in step 9, below.

1. Go to your state Unemployment Insurance *Applications Menu* screen, select [TPS \(Tax Performance System\) \(OMB No. 1205-0332\)](#).



2. Selecting TPS from the Applications Menu returns several *TPS* Functional applications: *Computed Measures, Sampling, Program Review Findings (PRF) and 581 Contributions Operations (OMB No. 1205-0178)*.



3. To begin the TPS Program Reviews for a calendar year select *Program Reviews Findings (PRF)*.



4. The Tax Performance System login screen appears.

The screenshot shows the 'TAX PERFORMANCE SYSTEM' login screen. The title 'TAX PERFORMANCE SYSTEM' is at the top, followed by 'WEB STATE APPLICATION'. The login form has two input fields: 'Enter your user name' and 'Enter your Password'. Below the fields are 'SUBMIT' and 'CLEAR' buttons. At the bottom of the form is a block of text: 'OMB No.: 1205-0332 OMB Expiration Date: 01/31/2009 OMB Burden Minutes: 91000' and a paragraph of text explaining the reporting requirements. At the bottom of the page are links for 'Home', 'Feedback', and 'Help'.


5. Enter your Login ID User Name and Password.

TAX PERFORMANCE SYSTEM


WEB STATE APPLICATION

Enter your user name	<input type="text" value="testing"/>
Enter your Password	<input type="password" value="*****"/>
<input type="button" value="SUBMIT"/> <input type="button" value="CLEAR"/>	
<small>OMB No.: 1205-0332 OMB Expiration Date: 01/31/2009 OMB Burden Minutes: 91000</small> <small>OMB Burden Statements: The reporting requirements for TPS Handbook ET 407 are approved by OMB according to the Paperwork Reduction Act of 1995 under OMB Approval No. 1205-0332 to expire January 31, 2009. Reporting for this collection of information is estimated to average 1,739 hours per state, including the time for reviewing instructions, conducting reviews of state tax systems, extracting and analyzing small samples of completed work, gathering and maintaining the data needed, and completing and reviewing the collection of information.</small>	

[Home](#) [Feedback](#) [Help](#)



Login ID and password are assigned by your state Sun system administrator.



Passwords are case sensitive, i.e., the user must use capital letters or special characters such as (#, *, or %) if these are part of the password.

6. Click on the **Submit** button.

TAX PERFORMANCE SYSTEM

WEB STATE APPLICATION

Enter your user name	<input type="text" value="testing"/>
Enter your Password	<input type="password" value="*****"/>
<input type="button" value="SUBMIT"/> <input type="button" value="CLEAR"/>	
<small>OMB No.: 1205-0332 OMB Expiration Date: 01/31/2009 OMB Burden Minutes: 91000</small> <small>OMB Burden Statements: The reporting requirements for TPS Handbook ET 407 are approved by OMB according to the Paperwork Reduction Act of 1995 under OMB Approval No. 1205-0332 to expire January 31, 2009. Reporting for this collection of information is estimated to average 1,739 hours per state, including the time for reviewing instructions, conducting reviews of state tax systems, extracting and analyzing small samples of completed work, gathering and maintaining the data needed, and completing and reviewing the collection of information.</small>	

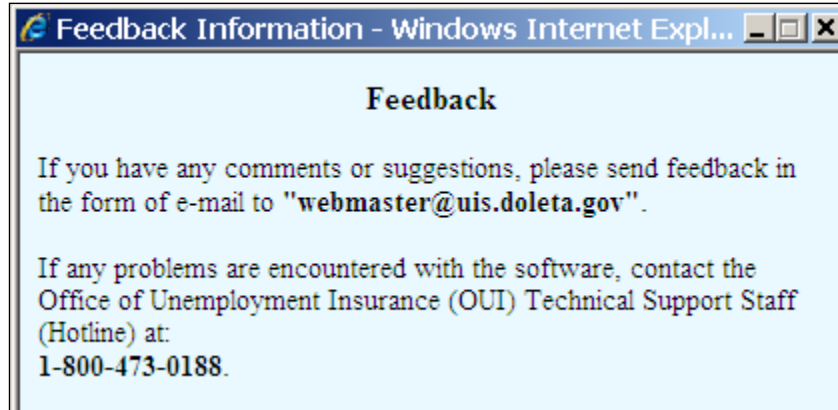
[Home](#) [Feedback](#) [Help](#)

7. The TPS Program Review Findings menu screen appears.

The screenshot shows a web interface for the Tax Performance System. At the top, it says "TAX PERFORMANCE SYSTEM" in bold blue text. Below that is "PROGRAM REVIEW FINDINGS" with a small red information icon. The main content area contains a form with a "REVIEW YEAR" dropdown menu set to "2014". Below the dropdown is an "ACTION" section with two radio buttons: "Query/Update" (which is selected) and "Report". At the bottom of the form are two buttons: "Submit Query" and "Clear Query". Below the form, there are three blue underlined links: "Home", "Feedback", and "Help".

8. The [Home](#) link at the bottom of the TPS Program Review Findings screen returns you to the state menu. The [Feedback](#) link accesses contact information for technical problems. The [Help](#) link accesses information for all items and functions on the screen.

This screenshot is identical to the one above, but with a red oval drawn around the "Home", "Feedback", and "Help" links at the bottom of the page.



9. Select the *Review Year* from the drop down menu, select the *Query/Update* radio button, and click on the **Submit Query** button.

TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS ⓘ

REVIEW YEAR:	2014
ACTION:	<input checked="" type="radio"/> Query/Update <input type="radio"/> Report
<input type="button" value="Submit Query"/> <input type="button" value="Clear Query"/>	

[Home](#) [Feedback](#) [Help](#)

If the state TPS reviewer had not completed the prior year's review and marked the Program Review Findings screen as "Completed," the error message that is circled below would appear after the reviewer clicked on the **Submit Query** button.

TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS I

REVIEW YEAR: 2014 ▼

ACTION: Query/Update
 Report

Program Review for the year 2013 has not yet been signed off as "Complete." Please ensure that it is reviewed and signed off as "Complete" before proceeding with the year 2014 Program Review.

[Home](#)
[Feedback](#)
[Help](#)

10. The TPS Program Review Findings screen for your state appears.

TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS

STATE: State Machine Review Year: 2014 As Tax Rate Cycle Year: 2014

Tax Function	System Review Verified Controls for :							Sampling		
	Cycle Year	Recorded Instructions	Training	Recording of Events	Exec by Auth Indv.	Execution of Events	Review of Work	Exceptions	Complete	Outside Authority
STATUS DETERMINATION										
New	2013	R ▼	C ▼	C ▼		C ▼	C ▼	▼		▼
Successor	2014	▼	▼	▼		▼	▼	▼		▼
Inactive/Termination	2014	▼	▼	▼		▼	▼	▼		▼
CASHIERING	2014	▼	▼	▼	▼	▼	▼	▼		▼
REPORT DELINQUENCY	2013	C ▼	C ▼	C ▼		R ▼	C ▼	▼		▼
COLLECTIONS	2011	C ▼	C ▼	C ▼	C ▼	C ▼	C ▼	▼		▼
FIELD AUDIT	2014	▼	▼	▼		▼	▼	▼		▼
ACCOUNT MAINTENANCE										
Report Processing	2012	C ▼	C ▼	C ▼		C ▼	C ▼	▼		▼
Debits-Contributory	2012	C ▼	C ▼	C ▼		C ▼	C ▼	▼		▼
Debits-Reimbursable	2012	C ▼	C ▼	C ▼		C ▼	C ▼	▼		▼
Employer Credits/Refunds	2012	C ▼	C ▼	C ▼		C ▼	C ▼	▼		▼
Employer Charging	2012	R ▼	R ▼	C ▼		R ▼	C ▼	▼		▼
Employer Tax Rates	2014	▼	▼	▼		▼	▼	▼		▼

SYSTEMS REVIEW:

C = All controls verified as present
R = Risk, 1 or more controls missing
O = Other control compensated for missing control (requires RO approval)
- = No data entered

SAMPLING EXCEPTIONS:

S = Size of universe too small
I = Invalid universe or not sampled
E = Exemption, tempo, (Exp Rate only)
F = Failed due to missing case information
W = Waived, tempo, (requires RO approval)

SAMPLING COMPLETE:

P = Passed
F/# = Failed/# of cases failing (% deposited timely for cashiering)
F/I = Failure due to invalid universe or not sampled
F/M = Failure due to missing employer records
N = Not marked complete
U = Undeterminable (cashiering)
* = Out of tax unit's authority

[Home](#)
[Feedback](#)
[Help](#)

Exceptions

An exceptions column on the Program Review Findings screen allows a state TPS reviewer to indicate why a sample has not been completed or reviewed. The steps summarized in this section are followed when a state TPS reviewer wants to record an exception for a tax function for the current review year that has not been completed.

The drop down menu for each tax function in the exceptions column provides exceptions as summarized below.

S = Size of universe too small (occurs when the universe size is 10 or less)

I = Invalid universe or not sampled (occurs when the universe was identified based on incorrect criteria – see Chapter II of ET Handbook No. 407 for more information)

E = Exemption, temporary (Employer Tax Rates only) (occurs when sampling of Tax rates is not required – see Chapter VIII of ET Handbook No. 407 for more information)

F = Failed due to missing case information (occurs when more than one case is missing a case folder or other documentation is missing – see Chapter II of ET Handbook No. 407 for more information)

W = Waived, temporary (requires RO approval)

To record exceptions on the Program Review Findings screen, access the TPS Program Review Findings screen by following the first nine steps that are described in the section “Accessing the Program Review Findings Screen.” After following the nine steps, the TPS Program Review Findings menu screen appears as shown below.

TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS ⓘ

REVIEW YEAR:	2014 ▼
ACTION	<input checked="" type="radio"/> Query/Update <input type="radio"/> Report
Submit Query	Clear Query

[Home](#) [Feedback](#) [Help](#)

To record an exception, follow the steps below.


- 1.** Click the **Submit Query** button.

TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS ⓘ

REVIEW YEAR:	2014 ▼
ACTION	<input checked="" type="radio"/> Query/Update <input type="radio"/> Report
Submit Query	Clear Query

[Home](#) [Feedback](#) [Help](#)



- 2.** The Program Review Findings screen appears as shown below. Assuming that you want to record “1” for an invalid universe for New Status Determinations, click the drop down for Exceptions.

TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS

Query Save Validate Mark Complete Report

STATE: State Machine Review Year: 2014 AS Tax Rate Cycle Year: 2014

Tax Function	System Review Verified Controls for :							Sampling		
	Cycle Year	Recorded Instructions	Training	Recording of Events	Exec by Auth Indv	Execution of Events	Review of Work	Exceptions	Complete	Outside Authority
STATUS DETERMINATION										
New	2013	C	C	C		C	C			
Successor	2013	R	C	C		C	C			
Inactive/Termination	2014	C	C	C		C	C			
CASHIERING										
CASHIERING	2014	C	C	C	R	C	C			
REPORT DELINQUENCY										
REPORT DELINQUENCY	2014	C	C	C		C	C			
COLLECTIONS										
COLLECTIONS	2011	C	C	C	C	C	C			
FIELD AUDIT										
FIELD AUDIT	2014	C	C	C		R	C			
ACCOUNT MAINTENANCE										
Report Processing	2012	C	C	C		C	C			
Debits-Contributory	2012	C	C	C		C	C			
Debits-Reimbursable	2012	C	C	C		C	C			
Employer Credits/Refunds	2012	C	C	C		C	C			
Employer Charging	2012	R	R	C		R	C			
Employer Tax Rates	2014	C	C	C		C	C	E		

3. Click "I" from the drop down menu.

TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS

Query Save Validate Mark Complete Report

STATE: State Machine Review Year: 2014 AS Tax Rate Cycle Year: 2014

Tax Function	System Review Verified Controls for :							Sampling		
	Cycle Year	Recorded Instructions	Training	Recording of Events	Exec by Auth Indv	Execution of Events	Review of Work	Exceptions	Complete	Outside Authority
STATUS DETERMINATION										
New	2013	C	C	C		C	C			
Successor	2013	R	C	C		C	C			
Inactive/Termination	2014	C	C	C		C	C			
CASHIERING										
CASHIERING	2014	C	C	C	R	C	C			
REPORT DELINQUENCY										
REPORT DELINQUENCY	2014	C	C	C		C	C			
COLLECTIONS										
COLLECTIONS	2011	C	C	C	C	C	C			
FIELD AUDIT										
FIELD AUDIT	2014	C	C	C		R	C			
ACCOUNT MAINTENANCE										
Report Processing	2012	C	C	C		C	C			
Debits-Contributory	2012	C	C	C		C	C			
Debits-Reimbursable	2012	C	C	C		C	C			
Employer Credits/Refunds	2012	C	C	C		C	C			
Employer Charging	2012	R	R	C		R	C			
Employer Tax Rates	2014	C	C	C		C	C	E		


4. Click "I" from the drop down. The letter "I" is recorded in the Exceptions column and "F/I" is recorded in the Complete column.

TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS

STATE: State Machine Review Year: 2014 AS Tax Rate Cycle Year: 2014

Tax Function	System Review Verified Controls for :							Sampling		
	Cycle Year	Recorded Instructions	Training	Recording of Events	Exec by Auth Indv	Execution of Events	Review of Work	Exceptions	Complete	Outside Authority
STATUS DETERMINATION										
New	2013	C	C	C		C	C	I	F/I	
Successor	2013	R	C	C		C	C			
Inactive/Termination	2014	C	C	C		C	C			
CASHERING										
REPORT DELINQUENCY	2014	C	C	C		C	C			
COLLECTIONS	2011	C	C	C	C	C	C			
FIELD AUDIT	2014	C	C	C		R	C			
ACCOUNT MAINTENANCE										
Report Processing	2012	C	C	C		C	C			
Debits-Contributory	2012	C	C	C		C	C			
Debits-Reimbursable	2012	C	C	C		C	C			
Employer Credits/Refunds	2012	C	C	C		C	C			
Employer Charging	2012	R	R	C		R	C			
Employer Tax Rates	2014	C	C	C		C	C	E		

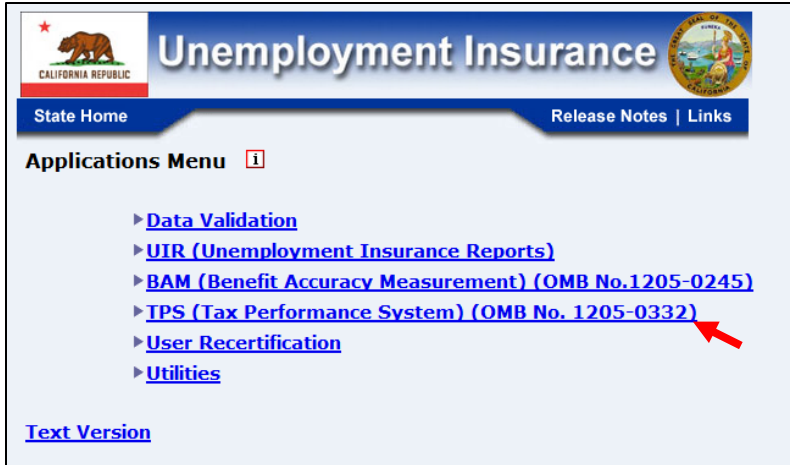


Remember to save data entry to the Program Review Findings Screen by clicking the **Save** button.

Complete a TPS Program Review

After the systems review and acceptance sampling have been completed for a review year, follow the steps below to complete the program review,

1. Go to your state Unemployment Insurance *Applications Menu* screen, select [TPS \(Tax Performance System\) \(OMB No. 1205-0332\)](#).



- 2.** Selecting TPS from the Applications Menu returns several *TPS* Functional applications: *Computed Measures, Sampling, Program Review Findings (PRF) and 581 Contributions Operations (OMB No. 1205-0178)*. Select *Program Review Findings (PRF)*



- 3.** The TPS [Program Review Findings](#) menu screen appears.

TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS ⓘ

REVIEW YEAR:	2014 ▾
ACTION	<input checked="" type="radio"/> Query/Update <input type="radio"/> Report
<input type="button" value="Submit Query"/>	<input type="button" value="Clear Query"/>

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4. Select the *Review Year* from the drop down menu, select the Query/Update radio button, and click on the **Submit Query** button.

TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS ⓘ

REVIEW YEAR:	2014 ▾
ACTION	<input checked="" type="radio"/> Query/Update <input type="radio"/> Report
<input type="button" value="Submit Query"/>	<input type="button" value="Clear Query"/>

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5. The [TPS Program Review Findings](#) screen for your state appears. Since the Program Review for the year has been completed, results for all system reviews and acceptance sampling are shown. Click the Save button.

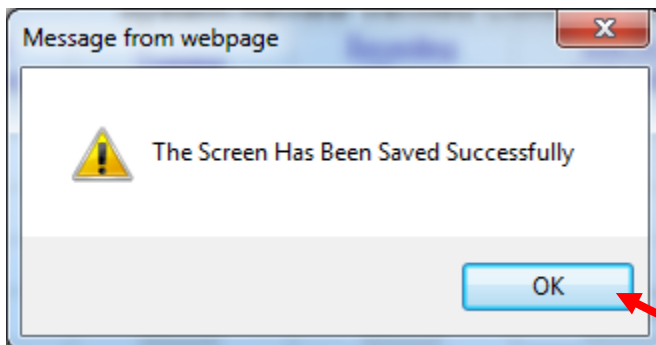
TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS

STATE: State Machine Review Year: 2014 AS Tax Rate Cycle Year: 2013

Tax Function	System Review Verified Controls for :							Sampling		
	Cycle Year	Recorded Instructions	Training	Recording of Events	Exec. by Auth Indv	Execution of Events	Review of Work	Exceptions	Complete	Outside Authority
STATUS DETERMINATION										
New	2013	C	C	C		C	C		P	
Successor	2013	R	C	R		C	C	I	F/I	
Inactive/Termination	2013	C	C	C		C	C		P	
CASHIERING	2012	C	C	C	C	C	C		P	
REPORT DELINQUENCY	2013	C	C	C		R	C		P	
COLLECTIONS	2011	C	C	C	C	C	C		F/3	
FIELD AUDIT	2014								P	
ACCOUNT MAINTENANCE										
Report Processing	2012	C	C	C		C	C		P	
Debits-Contributory	2012	C	C	C		C	C		P	
Debits-Reimbursable	2012	C	C	C		C	C		P	
Employer Credits/Refunds	2012	C	C	C		C	C		P	
Employer Charging	2012	R	R	C		R	C		P	
Employer Tax Rates	2014							E		

6. The following message appears. Click the **OK** button.



7. Click the **Validate** button.

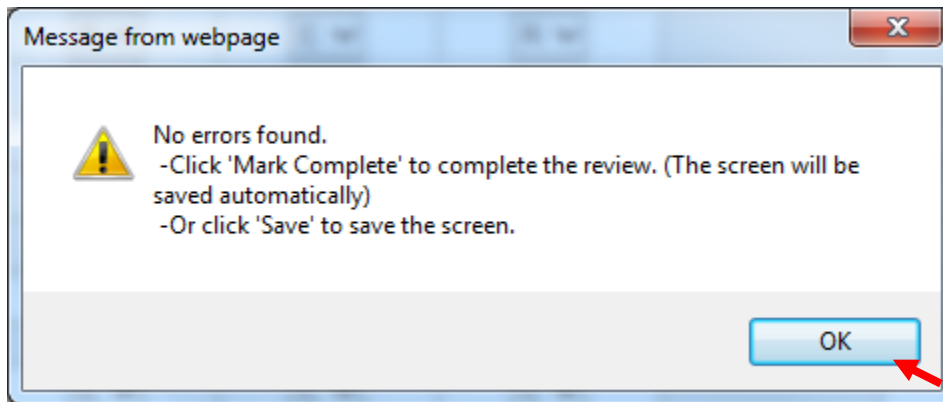
TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS

STATE: State Machine Review Year: 2014 AS Tax Rate Cycle Year: 2013

Tax Function	System Review Verified Controls for :							Sampling		
	Cycle Year	Recorded instructions	Training	Recording of Events	Exec by Auth Indv	Execution of Events	Review of Work	Exceptions	Complete	Outside Authority
STATUS DETERMINATION										
New	2013	C	C	C		C	C		P	
Successor	2013	R	C	R		C	C	I	F/I	
Inactive/Termination	2013	C	C	C		C	C		P	
CASHIERING										
REPORT DELINQUENCY	2012	C	C	C	C	C	C		P	
COLLECTIONS	2011	C	C	C	C	C	C		F/3	
FIELD AUDIT										
FIELD AUDIT	2014	C	C	C		C	C		P	
ACCOUNT MAINTENANCE										
Report Processing	2012	C	C	C		C	C		P	
Debits-Contributory	2012	C	C	C		C	C		P	
Debits-Reimbursable	2012	C	C	C		C	C		P	
Employer Credits/Refunds	2012	C	C	C		C	C		P	
Employer Charging	2012	R	R	C		R	C		P	
Employer Tax Rates	2014	C	C	C		C	C	E		

8. The following message appears. Click the OK button.



9. Click the Mark Complete button.

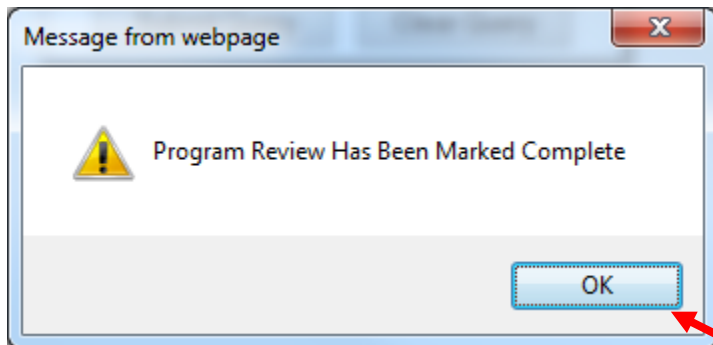
TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS

STATE: State Machine Review Year: 2014 AS Tax Rate Cycle Year: 2013

Tax Function	System Review Verified Controls for :							Sampling		
	Cycle Year	Recorded Instructions	Training	Recording of Events	Exec-by Auth Indv	Execution of Events	Review of Work	Exceptions	Complete	Outside Authority
STATUS DETERMINATION										
New	2013	C	C	C		C	C		P	
Successor	2013	R	C	R		C	C	I	F/I	
Inactive/Termination	2013	C	C	C		C	C		P	
CASHIERING										
CASHIERING	2012	C	C	C	C	C	C		P	
REPORT DELINQUENCY										
REPORT DELINQUENCY	2013	C	C	C		R	C		P	
COLLECTIONS										
COLLECTIONS	2011	C	C	C	C	C	C		F/3	
FIELD AUDIT										
FIELD AUDIT	2014	C	C	C		C	C		P	
ACCOUNT MAINTENANCE										
Report Processing	2012	C	C	C		C	C		P	
Debits-Contributory	2012	C	C	C		C	C		P	
Debits-Reimbursable	2012	C	C	C		C	C		P	
Employer Credits/Refunds	2012	C	C	C		C	C		P	
Employer Charging	2012	R	R	C		R	C		P	
Employer Tax Rates	2014	C	C	C		C	C	E		

10. The following message appears. Click the OK button.



11. To view the completed *Program Review Findings* screen, go to the *Program Review Findings* query screen. Select *Review Year*, select the *Query/Update* radio button and click the **Submit Query** button.

TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS ⓘ

REVIEW YEAR: 2014 ▼

ACTION: Query/Update
 Report

Submit Query Clear Query

Program Review is signed off as "Complete" for the year 2014. You are allowed to generate report only.

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Chapter 3

Systems Reviews

Overview of Systems Reviews

Systems Reviews, which are a subsystem of TPS Program Reviews, assess a state's internal controls or quality assurance systems.

A Systems Review is conducted for each of the 13 tax functions as summarized in the section "Tax Performance System (TPS) Program" of Chapter 1 of this guide.

According to Chapter II of ET Handbook No. 407, a state should have the following types of internal controls:

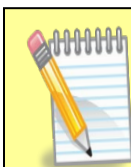
- Recorded Information and Instructions
- Training Systems
- Recording of Transactions and Events
- Execution by Authorized Individuals
- Systems to Assure Execution of Events
- Review of Completed Work

Specific systems review questions have been developed to measure the adequacy of internal controls in each tax function. The questions are provided for each tax function in the various chapters of ET Handbook No. 407. A state TPS reviewer does not record answers to each question on the *Program Review Findings* screen. Instead, a reviewer enters an overall assessment of the internal control on the *Program Review Findings* screen.

Most of the questions are evaluative. Some systems review questions are non-evaluative and for information purposes only. If the state TPS reviewer cannot confirm that a particular control exists and no other compensating control exists for one or more evaluative questions, a weakness is presumed to exist in the state's tax system and the TPS reviewer enters "R" for a risk. The state TPS reviewer maintains a manual record of responses to specific system review questions and only records an overall assessment of the system review in the automated sampling application.

According to ET Handbook No. 407, a complete systems review of each tax function is required once every four years. The Program Review Findings screen displays the

column *Cycle Year* for the systems review of each tax function. Cycle Year denotes the last calendar year in which the state TPS reviewer completed a full systems review of the tax function.



A complete systems review occurs when the state TPS reviewer reviews all procedures and internal controls for the tax function. All systems review questions for the tax function are answered.

Results from the previous year's Program Review Findings screen are copied to the current year's Program Review Findings if a state TPS reviewer is not required to conduct a complete systems review for a tax function in the current year.

If a state TPS reviewer is required to conduct a complete systems review for a tax function in the current year, the cycle year matches the current review year on the Program Review Findings screen. In this event, results from the prior year are not copied from the previous year to the current review year. In other words, the Program Review Findings screen will not display any systems review results in the columns for that tax function.

Using the Program Review Findings Screen for Systems Reviews

Steps for recording results of systems reviews on the Program Review Findings screen are provided below. (Note: The review year for the examples shown in the instructions below is 2014.)

- 1.** A hyperlinked (i.e., underlined) Cycle Year indicates that a full systems review is not required for the review year. When a cycle year is hyperlinked, a state TPS reviewer may change a result for any procedure/internal control of a tax function without conducting a full systems review of the tax function. To conduct a full systems review for a tax function that is not required (i.e., the cycle year precedes the review year and is hyperlinked) click the cycle year. For example, to conduct a full systems review for new status determinations, click the [2013](#) cycle year and follow the instructions described in step 2, below.

TAX PERFORMANCE SYSTEM

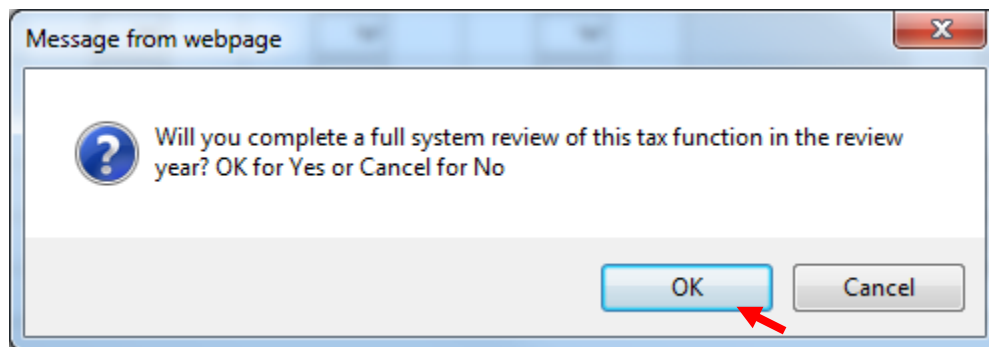
PROGRAM REVIEW FINDINGS

STATE: State Machine Review Year: 2014 As Tax Rate Cycle Year: 2014

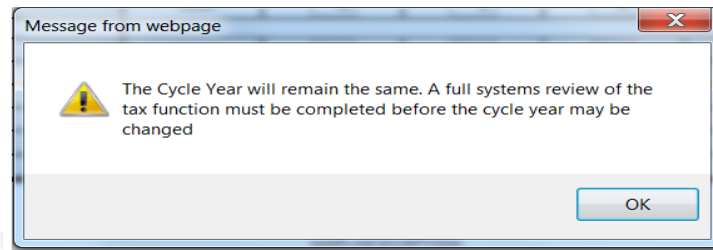
Tax Function	System Review Verified Controls for :							Sampling		
	Cycle Year	Recorded Instructions	Training	Recording of Events	Exec by Auth Indv	Execution of Events	Review of Work	Exceptions	Complete	Outside Authority
STATUS DETERMINATION										
New	2013	R	C	C		C	C			
Successor	2014									
Inactive/Termination	2014									
CASHIERING										
	2014									
REPORT DELINQUENCY										
	2013	C	C	C		R	C			
COLLECTIONS										
	2011	C	C	C	C	C	C			
FIELD AUDIT										
	2014									
ACCOUNT MAINTENANCE										
Report Processing	2012	C	C	C		C	C			
Debits-Contributory	2012	C	C	C		C	C			
Debits-Reimbursable	2012	C	C	C		C	C			
Employer Credits/Refunds	2012	C	C	C		C	C			
Employer Charging	2012	R	R	C		R	C			
Employer Tax Rates	2014									

2. Instructions for changing the *Cycle Year* in order to conduct a full systems review follow:

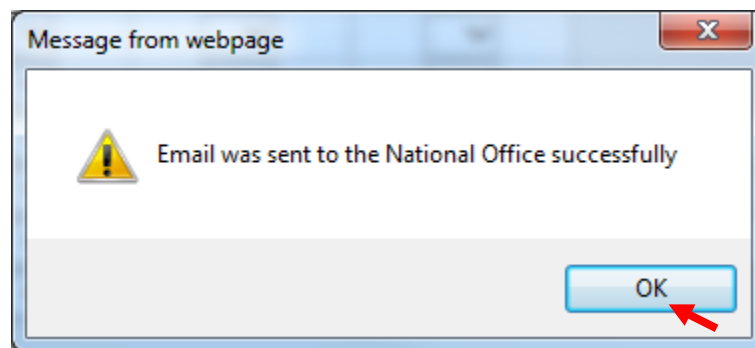
- a. After clicking the cycle year 2013 for new status determinations, the screen, as shown below appears. If you will conduct a full systems review of the new status determination function click **OK**. Otherwise, click **Cancel** so that the cycle year will remain the same.



Clicking **Cancel** results in the following screen:



- b. Assuming that you clicked **OK** to indicated that you will perform a full systems review of the tax function, Click **OK** in response to the following screen. Clicking **OK** notifies the Department’s National Office that you will conduct a full systems review of the new status determination tax function.



- c. The Program Review Findings screen appears as shown below. Note that the cycle year for new status determinations was changed from 2013 to 2014 and systems review results were deleted. Thus, columns for procedures/internal controls for new status determinations are blank. The cycle year 2014 for new status determinations is not hyperlinked.

TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS

STATE: State Machine

Review Year: 2014

As Tax Rate Cycle Year: 2014

Tax Function	System Review Verified Controls for :							Sampling		
	Cycle Year	Recorded instructions	Training	Recording of Events	Exec. by Auth Indv.	Execution of Events	Review of Work	Exceptions	Complete	Outside Authority
STATUS DETERMINATION										
New	2014	▼	▼	▼		▼	▼	▼		▼
Successor	2014	▼	▼	▼		▼	▼	▼		▼
Inactive/Termination	2014	▼	▼	▼		▼	▼	▼		▼
CASHIERING										
	2014	▼	▼	▼	▼	▼	▼	▼		▼
REPORT DELINQUENCY										
	2013	C ▼	C ▼	C ▼		R ▼	C ▼	▼		▼
COLLECTIONS										
	2011	C ▼	C ▼	C ▼	C ▼	C ▼	C ▼	▼		▼
FIELD AUDIT										
	2014	▼	▼	▼		▼	▼	▼		▼
ACCOUNT MAINTENANCE										
Report Processing	2012	C ▼	C ▼	C ▼		C ▼	C ▼	I ▼	F/I	▼
Debits-Contributory	2012	C ▼	C ▼	C ▼		C ▼	C ▼	▼		▼
Debits-Reimbursable	2012	C ▼	C ▼	C ▼		C ▼	C ▼	▼		▼
Employer Credits/Refunds	2012	C ▼	C ▼	C ▼		C ▼	C ▼	▼		▼
Employer Charging	2012	R ▼	R ▼	C ▼		R ▼	C ▼	▼		▼
Employer Tax Rates	2014	▼	▼	▼		▼	▼	▼		▼

SYSTEMS REVIEW:

C = All controls verified as present
 R = Risk, 1 or more controls missing
 O = Other control compensated for missing control (requires RO approval)
 - = No data entered

SAMPLING EXCEPTIONS:

S = Size of universe too small
 I = Invalid universe or not sampled
 E = Exemption, tempo. (Exp Rate only)
 F = Failed due to missing case information
 W = Waived, tempo. (requires RO approval)

SAMPLING COMPLETE:

P = Passed
 F/# = Failed/# of cases failing (% deposited timely for cashiering)
 F/I = Failure due to invalid universe or not sampled
 F/M = Failure due to missing employer records
 N = Not marked complete
 U = Undeterminable (cashiering)
 * = Out of tax unit's authority

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3. Instructions for entering results of systems reviews follow:

Click on the drop down menu for an internal control. The same drop down menu is displayed regardless of whether the result is blank or a result is shown. The drop down menu displays three options: C, R, or O. The legend at the bottom of the Program Review Findings screen defines the three options. Click the option that records the result of your review.

TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS

STATE: State Machine

Review Year: 2014

AS Tax Rate Cycle Year: 2013

Tax Function	System Review Verified Controls for :							Sampling		
	Cycle Year	Recorded Instructions	Training	Recording of Events	Exec by Auth Indv	Execution of Events	Review of Work	Exceptions	Complete	Outside Authority
STATUS DETERMINATION										
New	2013	C	C	C		C	C			
Successor	2013	R	C	C		C	C			
Inactive/Termination	2013	R	C	C		C	C			
CASHERING										
REPORT DELINQUENCY	2013	C	C	C		R	C			
COLLECTIONS										
FIELD AUDIT	2014									
ACCOUNT MAINTENANCE										
Report Processing	2012	C	C	C		C	C			
Debits-Contributory	2012	C	C	C		C	C			
Debits-Reimbursable	2012	C	C	C		C	C			
Employer Credits/Refunds	2012	C	C	C		C	C			
Employer Charging	2012	R	R	C		R	C			
Employer Tax Rates	2014								E	

SYSTEMS REVIEW:

C = All controls verified as present
 R = Risk, 1 or more controls missing
 O = Other control compensated for missing control (requires RO approval)
 * = No data entered

SAMPLING EXCEPTIONS:

S = Size of universe too small
 I = Invalid universe or not sampled
 E = Exemption, tempo. (Exp Rate only)
 F = Failed due to missing case information
 W = Waived, tempo. (requires RO approval)

SAMPLING COMPLETE:

P = Passed
 F/# = Failed/# of cases failing (% deposited timely for cashiering)
 F/I = Failure due to invalid universe or not sampled
 F/M = Failure due to missing employer records
 N = Not marked complete
 U = Undeterminable (cashiering)
 * = Out of tax unit's authority

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In the *Program Review Findings* screen shown above, the drop down menu for *Recorded Instructions* in the *New Status Determination* function had been clicked. The code "C" had been recorded.

After selecting code "R" for Recorded Instructions in the *New Status Determination* function, the *Program Review Findings* screen displays as follows:

TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS

STATE: State Machine

Review Year: 2014

AS Tax Rate Cycle Year: 2013

Tax Function	System Review Verified Controls for :							Sampling		
	Cycle Year	Recorded Instructions	Training	Recording of Events	Exec by Auth Indx	Execution of Events	Review of Work	Exceptions	Complete	Outside Authority
STATUS DETERMINATION										
New	2013	R	C	C		C	C			
Successor	2013	R	C	C		C	C			
Inactive/Termination	2013	R	C	C		C	C			
CASHIERING										
	2012	C	C	C	C	C	C			
REPORT DELINQUENCY										
	2013	C	C	C		R	C			
COLLECTIONS										
	2011	C	C	C	C	C	C			
FIELD AUDIT										
	2014									
ACCOUNT MAINTENANCE										
Report Processing	2012	C	C	C		C	C			
Debits-Contributory	2012	C	C	C		C	C			
Debits-Reimbursable	2012	C	C	C		C	C			
Employer Credits/Refunds	2012	C	C	C		C	C			
Employer Charging	2012	R	R	C		R	C			
Employer Tax Rates	2014							E		

SYSTEMS REVIEW:

C = All controls verified as present
 R = Risk, 1 or more controls missing
 O = Other control compensated for missing control (requires RO approval)
 - = No data entered

SAMPLING EXCEPTIONS:

S = Size of universe too small
 I = Invalid universe or not sampled
 E = Exemption, tempo. (Exp Rate only)
 F = Failed due to missing case information
 W = Waived, tempo. (requires RO approval)

SAMPLING COMPLETE:

P = Passed
 F/# = Failed/# of cases failing (% deposited timely for cashiering)
 F/I = Failure due to invalid universe or not sampled
 F/M = Failure due to missing employer records
 N = Not marked complete
 U = Undeterminable (cashiering)
 * = Out of tax unit's authority

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4. To save your systems review results, click the Save button.

TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS

STATE: State Machine

Review Year: 2014

AS Tax Rate Cycle Year: 2013

Tax Function	System Review Verified Controls for :							Sampling		
	Cycle Year	Recorded Instructions	Training	Recording of Events	Exec by Auth Indx	Execution of Events	Review of Work	Exceptions	Complete	Outside Authority
STATUS DETERMINATION										
New	2013	R	C	C		C	C			
Successor	2013	R	C	C		C	C			
Inactive/Termination	2013	R	C	C		C	C			
CASHERING										
REPORT DELINQUENCY	2013	C	C	C		R	C			
COLLECTIONS	2011	C	C	C	C	C	C			
FIELD AUDIT	2014									
ACCOUNT MAINTENANCE										
Report Processing	2012	C	C	C		C	C			
Debits-Contributory	2012	C	C	C		C	C			
Debits-Reimbursable	2012	C	C	C		C	C			
Employer Credits/Refunds	2012	C	C	C		C	C			
Employer Charging	2012	R	R	C		R	C			
Employer Tax Rates	2014							E		

SYSTEMS REVIEW:

C = All controls verified as present
 R = Risk, 1 or more controls missing
 O = Other control compensated for missing control (requires RO approval)
 - = No data entered

SAMPLING EXCEPTIONS:

S = Size of universe too small
 I = Invalid universe or not sampled
 E = Exemption, tempo. (Exp Rate only)
 F = Failed due to missing case information
 W = Waived, tempo. (requires RO approval)

SAMPLING COMPLETE:

P = Passed
 F/# = Failed/# of cases failing (% deposited timely for cashiering)
 FI = Failure due to invalid universe or not sampled
 F/M = Failure due to missing employer records
 N = Not marked complete
 U = Undeterminable (cashiering)
 * = Out of tax unit's authority

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Chapter 4

Overview of 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 transactions occurring within a specific time frame.

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 is conducted for each of the 13 tax functions as summarized in the section “Tax Performance System (TPS) Program” of Chapter 1 of this guide.

Two types of samples are used - Acceptance samples and Estimation samples.

Acceptance Samples are used in all of the tax activities except Cashiering. An Estimation Sample is used in the Cashiering function.

After a sample is selected a TPS reviewer answers questions to determine if each sample case meets minimum levels of accuracy or completeness. Refer to the appropriate chapters of ET Handbook No. 407 for specific acceptance sample questions in each tax function. Most of the questions are evaluative. Some acceptance sample questions are non-evaluative and for information purposes only. A “No” answer to any evaluative question for an acceptance sample case will mean that the case will not be considered acceptable in accordance with instructions for Drawing Conclusions that are provided for each tax function in ET Handbook No. 407.

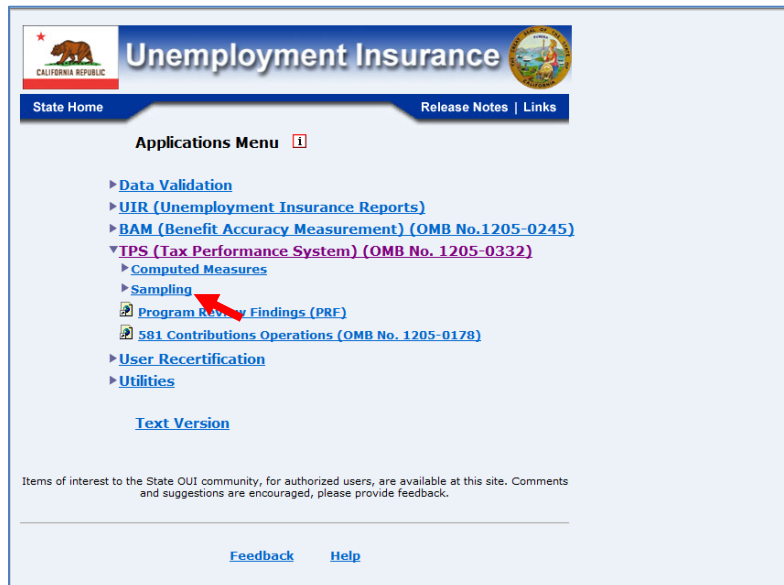
A TPS reviewer enters answers to acceptance sample questions on the *Program Review Findings* screen. Based on the answers for each sample case, the *Sampling* application updates a “pass” or “fail” result on the *Program Review Findings* screen automatically.

The following sections of this chapter discuss the *Sampling* application in the TPS State Web Software.

Access the Sampling Application

The *Sampling* application allows a state TPS reviewer to add acceptance sampling cases and results for each case, or to obtain a report on sampling results that had been updated previously. To access *Sampling*, follow these steps:

1. Select [Sampling](#) from the Applications Menu.




2. To access sampling for a tax function, select the tax function under [Sampling](#) from the Applications Menu.



The image shows a screenshot of the California Unemployment Insurance website's navigation menu. At the top left is the California Republic logo. The main header is "Unemployment Insurance". Below the header are links for "State Home", "Release Notes", and "Links". The "Applications Menu" is expanded, showing a list of options: Data Validation, UIR (Unemployment Insurance Reports), BAM (Benefit Accuracy Measurement) (OMB No. 1205-0245), TPS (Tax Performance System) (OMB No. 1205-0332), Computed Measures, Sampling (with a sub-menu), Program Review Findings (PRF), 581 Contributions Operations (OMB No. 1205-0178), User Recertification, and Utilities. A "Text Version" link is at the bottom.

3. The Tax Performance System login screen appears.



The image shows the login screen for the Tax Performance System. The title is "TAX PERFORMANCE SYSTEM" and the subtitle is "WEB STATE APPLICATION". The form contains two input fields: "Enter your user name" and "Enter your Password". Below the fields are "SUBMIT" and "CLEAR" buttons. At the bottom, there is a block of text providing OMB information and a statement of burden.

TAX PERFORMANCE SYSTEM

WEB STATE APPLICATION

Enter your user name	<input type="text"/>
Enter your Password	<input type="password"/>
<input type="button" value="SUBMIT"/> <input type="button" value="CLEAR"/>	

OMB No.: 1205-0332 OMB Expiration Date: 01/31/2009 OMB Burden Minutes: 91000
OMB Burden Statements: The reporting requirements for TPS Handbook ET 407 are approved by OMB according to the Paperwork Reduction Act of 1995 under OMB Approval No. 1205-0332, to expire January 31, 2009. Reporting for this collection of information is estimated to average 1,739 hours per state, including the time for reviewing instructions, conducting reviews of state tax systems, extracting and analyzing small samples of completed work, gathering and maintaining the data needed, and completing and reviewing the collection of information.

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4. Enter your Login ID User Name and Password.

TAX PERFORMANCE SYSTEM


WEB STATE APPLICATION

Enter your user name	<input type="text" value="testing"/>
Enter your Password	<input type="password" value="*****"/>
<input type="button" value="SUBMIT"/> <input type="button" value="CLEAR"/>	
<small>OMB No.: 1205-0332 OMB Expiration Date: 01/31/2009 OMB Burden Minutes: 91000</small> <small>OMB Burden Statements: The reporting requirements for TPS Handbook ET 407 are approved by OMB according to the Paperwork Reduction Act of 1995 under OMB Approval No. 1205-0332 to expire January 31, 2009. Reporting for this collection of information is estimated to average 1,739 hours per state, including the time for reviewing instructions, conducting reviews of state tax systems, extracting and analyzing small samples of completed work, gathering and maintaining the data needed, and completing and reviewing the collection of information.</small>	

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Login ID and password are assigned by your state Sun system administrator.



Passwords are case sensitive, i.e., the user must use capital letters or special characters such as (#, *, or %) if these are part of the password.

5. Click on the **Submit** button.

TAX PERFORMANCE SYSTEM

WEB STATE APPLICATION

Enter your user name	<input type="text" value="testing"/>
Enter your Password	<input type="password" value="*****"/>
<input type="button" value="SUBMIT"/> <input type="button" value="CLEAR"/>	
<small>OMB No.: 1205-0332 OMB Expiration Date: 01/31/2009 OMB Burden Minutes: 91000</small> <small>OMB Burden Statements: The reporting requirements for TPS Handbook ET 407 are approved by OMB according to the Paperwork Reduction Act of 1995 under OMB Approval No. 1205-0332 to expire January 31, 2009. Reporting for this collection of information is estimated to average 1,739 hours per state, including the time for reviewing instructions, conducting reviews of state tax systems, extracting and analyzing small samples of completed work, gathering and maintaining the data needed, and completing and reviewing the collection of information.</small>	

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If logged in already you can skip steps 3 thru 5 and go directly to the Acceptance Sample screen of the tax function that you selected.

6. If you desire an acceptance sample screen from the Account Maintenance group, click the [Account Maintenance](#) link.



7. After clicking the [Account Maintenance](#) link, the *Applications Menu* displays the tax functions that are included in the *Account Maintenance* group as shown below.

By clicking a tax function under [Sampling](#) on the Applications Menu, one of the following screens to begin acceptance sampling for that tax function will appear.

- Status Determination

TAX PERFORMANCE SYSTEM

STATUS DETERMINATION

ACTION:	REVIEW YEAR:	2014	SAMPLE TYPE:
<input checked="" type="radio"/> Query/Update	UNIVERSE SIZE:		<input checked="" type="radio"/> Acceptance 1
<input type="radio"/> Add	SAMPLE SIZE:		<input type="radio"/> Acceptance 2
<input type="radio"/> Report			<input type="radio"/> Expanded
EMPLOYER TYPE:			
<input checked="" type="radio"/> New <input type="radio"/> Successor <input type="radio"/> Inactivated/Terminated			
<input type="button" value="Submit Query"/>		<input type="button" value="Clear Query"/>	

Sample does not exist for Year: 2014. Choose Add to process the record.

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- Cashiering

TAX PERFORMANCE SYSTEM

CASHIERING ⓘ

<p><u>ACTION:</u></p> <p><input checked="" type="radio"/> Query/Update</p> <p><input type="radio"/> Add</p> <p><input type="radio"/> Report</p>	<p><u>REVIEW YEAR:</u> 2014 ▼</p>
<p><input type="button" value="Submit Query"/> <input type="button" value="Clear Query"/></p>	

Sample does not exist for Year: 2014. Choose Add to process the record.

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- Report Delinquency

TAX PERFORMANCE SYSTEM

REPORT DELINQUENCY ⓘ

<p><u>ACTION:</u></p> <p><input checked="" type="radio"/> Query/Update</p> <p><input type="radio"/> Add</p> <p><input type="radio"/> Report</p>	<p><u>REVIEW YEAR:</u> 2014 ▼</p>	<p><u>UNIVERSE SIZE:</u></p> <p><input type="text"/></p>	<p><u>SAMPLE TYPE:</u></p> <p><input checked="" type="radio"/> Acceptance 1</p> <p><input type="radio"/> Acceptance 2</p> <p><input type="radio"/> Expanded</p>	
<p><input type="button" value="Submit Query"/> <input type="button" value="Clear Query"/></p>				

Sample does not exist for Year: 2014. Choose Add to process the record.

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- Collections

TAX PERFORMANCE SYSTEM

COLLECTIONS ⓘ

<p><u>ACTION:</u></p> <p><input checked="" type="radio"/> Query/Update</p> <p><input type="radio"/> Add</p> <p><input type="radio"/> Report</p>	<p><u>REVIEW YEAR:</u> 2014 ▼</p>	<p><u>UNIVERSE SIZE:</u></p> <p><input type="text"/></p>	<p><u>SAMPLE TYPE:</u></p> <p><input checked="" type="radio"/> Acceptance 1</p> <p><input type="radio"/> Acceptance 2</p> <p><input type="radio"/> Expanded</p>	
<p><input type="button" value="Submit Query"/> <input type="button" value="Clear Query"/></p>				

Sample does not exist for Year: 2014. Choose Add to process the record.

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- Employer Audits

TAX PERFORMANCE SYSTEM

FIELD AUDIT [?](#)

<u>ACTION:</u>	<u>REVIEW YEAR:</u>	2014	<u>SAMPLE TYPE:</u>
<input checked="" type="radio"/> Query/Update	<u>UNIVERSE SIZE:</u>	[]	<input checked="" type="radio"/> Acceptance 1
<input type="radio"/> Add	<u>SAMPLE SIZE:</u>	[]	<input type="radio"/> Acceptance 2
<input type="radio"/> Report			<input type="radio"/> Expanded
<input type="button" value="Submit Query"/>		<input type="button" value="Clear Query"/>	

Sample does not exist for Year: 2014. Choose Add to process the record.

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- Contribution Report Processing

TAX PERFORMANCE SYSTEM

CONTRIBUTION REPORT PROCESSING [?](#)

<u>ACTION:</u>	<u>REVIEW YEAR:</u>	2014	<u>SAMPLE TYPE:</u>
<input checked="" type="radio"/> Query/Update	<u>UNIVERSE SIZE:</u>	[]	<input checked="" type="radio"/> Acceptance 1
<input type="radio"/> Add	<u>SAMPLE SIZE:</u>	[]	<input type="radio"/> Acceptance 2
<input type="radio"/> Report			<input type="radio"/> Expanded
<input type="button" value="Submit Query"/>		<input type="button" value="Clear Query"/>	

Sample does not exist for Year: 2014. Choose Add to process the record.

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- Debits/Billings

TAX PERFORMANCE SYSTEM

DEBITS/BILLINGS [?](#)

<u>ACTION:</u>	<u>REVIEW YEAR:</u>	2014	<u>SAMPLE TYPE:</u>
<input checked="" type="radio"/> Query/Update	<u>UNIVERSE SIZE:</u>	[]	<input checked="" type="radio"/> Acceptance 1
<input type="radio"/> Add	<u>SAMPLE SIZE:</u>	[]	<input type="radio"/> Acceptance 2
<input type="radio"/> Report			<input type="radio"/> Expanded
<u>EMPLOYER TYPE:</u>			
<input checked="" type="radio"/> Contributory		<input type="radio"/> Reimbursing	
<input type="button" value="Submit Query"/>		<input type="button" value="Clear Query"/>	

Sample does not exist for Year: 2014. Choose Add to process the record.

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- Benefit Charging

TAX PERFORMANCE SYSTEM

BENEFIT CHARGING ⓘ

ACTION:	REVIEW YEAR:	2014 ▼	SAMPLE TYPE:
<input checked="" type="radio"/> Query/Update	UNIVERSE SIZE:		<input checked="" type="radio"/> Acceptance 1
<input type="radio"/> Add	SAMPLE SIZE:		<input type="radio"/> Acceptance 2
<input type="radio"/> Report			<input type="radio"/> Expanded
<input type="button" value="Submit Query"/>		<input type="button" value="Clear Query"/>	

Sample does not exist for Year: 2014. Choose Add to process the record.

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- Tax Rates

TAX PERFORMANCE SYSTEM

TAX RATES ⓘ


ACTION:	REVIEW YEAR:	2014 ▼	SAMPLE TYPE:
<input checked="" type="radio"/> Query/Update	UNIVERSE SIZE:		<input checked="" type="radio"/> Acceptance 1
<input type="radio"/> Add	SAMPLE SIZE:		<input type="radio"/> Acceptance 2
<input type="radio"/> Report			<input type="radio"/> Expanded
<input type="button" value="Submit Query"/>		<input type="button" value="Clear Query"/>	

Sample does not exist for Year: 2014. Choose Add to process the record.

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Obtain a Report of Completed Sampling Data

The *Sampling* application allows a state TPS reviewer to obtain a report of sampling data that had been previously entered and is completed. To obtain a report for acceptance sampling that had been completed, follow the steps below.



The steps below assume that you followed the steps to display an acceptance sample screen for a tax function as described in the section of this chapter, Access the Sampling Application.


1. Select the desired year from the drop down menu of *Review Year*, select *Report* and click **Submit Query**.

TAX PERFORMANCE SYSTEM

STATUS DETERMINATION ⓘ

ACTION: <input type="radio"/> Query/Update <input type="radio"/> Add <input checked="" type="radio"/> Report	REVIEW YEAR: 2013 ▼	SAMPLE TYPE: <input checked="" type="radio"/> Acceptance 1 <input type="radio"/> Acceptance 2 <input type="radio"/> Expanded
	UNIVERSE SIZE: []	
	SAMPLE SIZE: []	
EMPLOYER TYPE: <input checked="" type="radio"/> New <input type="radio"/> Successor <input type="radio"/> Inactivated/Terminated		
<input type="button" value="Submit Query"/>		<input type="button" value="Clear Query"/>

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The sampling screens for Status Determination and Debits/Billings require a state TPS reviewer to click the desired *Employer Type*.

2. A summary screen of sample cases and results is displayed. Note: Due to space restraints in this guide, the summary screen below shows results for the first 13 cases only. Additional pages of the screen display the remaining cases for the sample size. The sample size on the screen indicates that 60 cases were in the sample. Note that the sample was completed.

**TAX PERFORMANCE SYSTEM
SAMPLING DATABASE DISPLAY**

STATUS DETERMINATION

State: State Machine
Review Year: 2013
Universe Size: 26255


Employer Type: New

Sample Type: Acceptance 1
Sample Size: 60

****COMPLETED****

Case #	Employer Id	1	2	2a	2b	3a	3b	3c	3d	4a	4b	4c	4d	4e	4f	P/F Y/N
1	0009621415	Y	N			Y	Y	Y	Y	Y	Y	Y	Y	Y	A	Y
2	0009855270	Y	N			Y	Y	Y	Y	Y	Y	Y	Y	Y	A	Y
3	0009619240	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	A	Y
4	0009625429	Y	N			Y	Y	Y	Y	Y	Y	Y	Y	Y	A	Y
5	0009616900	Y	N			Y	Y	Y	Y	Y	Y	Y	Y	Y	A	Y
6	0009627340	Y	N			Y	Y	Y	Y	Y	Y	Y	Y	Y	A	Y
7	0007989962	Y	N			Y	Y	Y	Y	Y	Y	Y	Y	Y	A	Y
8	0009629076	Y	N			Y	Y	Y	Y	Y	Y	Y	Y	Y	A	Y
9	0009612696	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	A	Y
10	0009630627	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	A	Y
11	0007986220	Y	N			Y	Y	Y	Y	Y	Y	Y	Y	Y	A	Y
12	0009868119	Y	N			Y	Y	Y	Y	Y	Y	Y	Y	Y	A	Y
13	0007985045	Y	N			Y	Y	Y	Y	Y	Y	Y	Y	Y	A	Y

Adding/Saving Sample Cases and Results – Completing Sample



The steps below assume that you followed the steps to display an acceptance sample screen for a tax function as described in the section of this chapter, Access the Sampling Application.

All acceptance sampling screens require a state TPS reviewer to enter responses to the following field names: *Action*, *Review Year*, *Sample Type*, *Universe Size* and *Sample Size*. Acceptance Sample screens for Status Determinations and Debits/Billings also require a state TPS reviewer to enter the *Employer Type*. All of the field names are hyperlinked. Clicking on a field name displays the corresponding field help information.

The Debits/Billings screen below provides an example of an acceptance sample screen.

TAX PERFORMANCE SYSTEM

DEBITS/BILLINGS I

ACTION:	REVIEW YEAR:	<input type="text" value="2014"/>	SAMPLE TYPE:
<input checked="" type="radio"/> Query/Update	UNIVERSE SIZE:	<input type="text"/>	<input checked="" type="radio"/> Acceptance 1
<input type="radio"/> Add	SAMPLE SIZE:	<input type="text"/>	<input type="radio"/> Acceptance 2
<input type="radio"/> Report	EMPLOYER TYPE:		<input type="radio"/> Expanded
		<input checked="" type="radio"/> Contributory	<input type="radio"/> Reimbursing
<input type="button" value="Submit Query"/>		<input type="button" value="Clear Query"/>	

Sample does not exist for Year: 2014. Choose Add to process the record.

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All acceptance sample screens, such as the screen for Debits/Billings shown above, automatically checks “*Query/Update*” for *Action* and identifies the current *Review Year* when the screen is first displayed.

A message in red indicates the current status for the particular sample. A list of possible messages follows:

- Sample does not exist for Year: XXXX. Choose Add to process the record.
- Sample exists for Year: XXXX Universe size XXXX. Choose Query to review record.
- Sample is complete for Year: XXXX. You are allowed to generate report only.
- Sample has been discarded for Year: XXXX and sample Type Acceptance 1 - If you discarded *Sample Type Acceptance 1* and *Sample Type Acceptance 2*, the message is displayed as shown below.

TAX PERFORMANCE SYSTEM


STATUS DETERMINATION

<u>ACTION:</u> <input checked="" type="radio"/> Query/Update <input type="radio"/> Add <input type="radio"/> Report	<u>REVIEW YEAR:</u> 2014	<u>SAMPLE TYPE:</u> <input checked="" type="radio"/> Acceptance 1 <input type="radio"/> Acceptance 2 <input type="radio"/> Expanded
<u>UNIVERSE SIZE:</u> <input type="text"/>	<u>SAMPLE SIZE:</u> <input type="text"/>	
<u>EMPLOYER TYPE:</u> <input checked="" type="radio"/> New <input type="radio"/> Successor <input type="radio"/> Inactivated/Terminated		
<input type="button" value="Submit Query"/> <input type="button" value="Clear Query"/>		

Sample has been discarded for Year:2014 and Sample Type: Acceptance 2.

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To add sampling cases and results follow the steps below.



The following example assumes that you followed the steps as described in the section of this chapter, Access the Sampling Application, in order to display an acceptance sample screen for the Collections function.

1. Select *Add* from the *Action* menu, select the year from the *Review Year* dropdown menu, select the *Sample Type*, and enter the size of your universe in the *Universe Size* box. The *Sample Size* is calculated automatically by the software on a valid

entry of the Universe size. (For information on universe and sample sizes, see the section on Universe Size and Sample Size in this chapter of the guide.) Click **Submit Query**.

TAX PERFORMANCE SYSTEM

COLLECTIONS

ACTION:

Query/Update

Add

Report

REVIEW YEAR: 2014

UNIVERSE SIZE: 1200

SAMPLE SIZE: 60

SAMPLE TYPE:

Acceptance 1

Acceptance 2

Expanded

Sample does not exist for Year: 2014. Choose Add to process the record.

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2. The screen for entering sampling cases and results for the Collections function appears. (Note: Due to space constraints in this guide, only the top and bottom parts of the screen are displayed)

TAX PERFORMANCE SYSTEM

COLLECTIONS

Review Year: 2014 **Sample Type:** Acceptance 1

Universe Size: 1200 **Sample Size:** 60

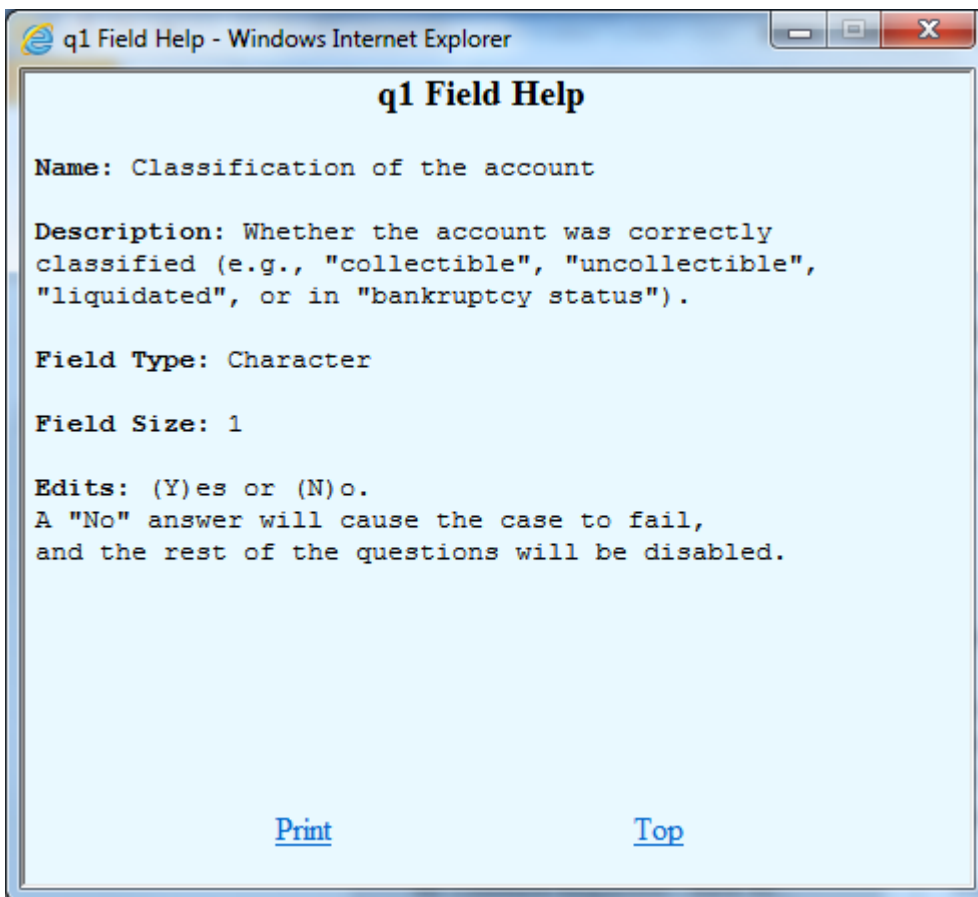
Comments:

Check All	Case #	Employer ID #	q1	q2	q3	q4	q4a	q4b	q4c	q4d	q5	q5a	q6	q6a	q7	q8	q9	q10	P/E
<input type="checkbox"/>	1		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	2		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	3		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	4		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	5		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	6		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	7		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	8		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	9		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	10		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	11		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	12		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	

<input type="checkbox"/>	51		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	52		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	53		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	54		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	55		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	56		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	57		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	58		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	59		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	60		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼

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3. The [Home](#) link at the bottom of the Acceptance Sampling screen returns you to the state menu. The [Feedback](#) link accesses contact information for technical problems. The [Help](#) link accesses information for all items and functions on the screen. An example of a Help screen follows:



4. Enter state employer account numbers for all cases in your sample in *Employer ID #*. (Note: A partial screen for Collections is shown below.)

TAX PERFORMANCE SYSTEM

COLLECTIONS

Review Year: 2014 Sample Type: Acceptance 1
 Universe Size: 1200 Sample Size: 60

Comments:

Check All	Case #	Employer ID #	q1	q2	q3	q4	q4a	q4b	q4c	q4d	q5	q5a	q6	q6a	q7	q8	q9	q10	P/F
<input type="checkbox"/>	1	123456	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	2	234567	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	3	345678	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	4	456789	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	5	567890	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	6	678912	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	7	789123	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	8	891234	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	9	912345	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	10	127894	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	11	486456	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	12	789456	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼

5. If the space for a response of an acceptance sample question is displayed in the color gray, it indicates that the question is answered only if a preceding question is answered "Y." If the preceding question is answered "Y," the space for the response to the subsequent question will change from gray to no color. A response is required when the space for a response to an acceptance sample question has no color. A response is not required when the space for a response to an acceptance sample question is shaded the color gray.

Note that the screen shown in step 4, above, shows that responses for questions q4a, q4b, q4c, q4d, q5a and q6a for case #1 are shaded gray. The screen below shows that question q4 is answered "Y;" therefore, questions q4a, q4b, q4c q4d for case #1, were changed to no shading. These questions must be answered. The screen below shows that question q5 is answered "N;" thus, the response for question q5a is shaded gray and a response is not needed. The screen below shows that question q6 is answered "A;" thus, a response for question q6a is not needed.

TAX PERFORMANCE SYSTEM


COLLECTIONS

Review Year: 2014 Sample Type: Acceptance 1
 Universe Size: 1200 Sample Size: 60


Comments: General Comments Edit Comments

Save Validate Stamp Clear Discard Sample Reduce Sample Size Query

Check All	Case #	Employer ID #	q1	q2	q3	q4	q4a	q4b	q4c	q4d	q5	q5a	q6	q6a	q7	q8	q9	q10	P/F
<input type="checkbox"/>	1	123456	Y	Y	Y	Y	Y	Y	Y	Y	N	A	Y	Y	Y	Y	Y	Y	N
<input type="checkbox"/>	2	234567																	
<input type="checkbox"/>	3	345678																	
<input type="checkbox"/>	4	456789																	
<input type="checkbox"/>	5	567890																	
<input type="checkbox"/>	6	678912																	
<input type="checkbox"/>	7	789123																	
<input type="checkbox"/>	8	891234																	
<input type="checkbox"/>	9	912345																	
<input type="checkbox"/>	10	127894																	
<input type="checkbox"/>	11	486456																	
<input type="checkbox"/>	12	789456																	

 Most questions are answered Yes (“Y”) or No (“N”); however some questions in the sampling application provide for “I” (Information Not Available) or “A” (Not Applicable) answers.

6. Enter answers to acceptance sample questions individually or use the **Stamp** button to record “Y” responses for selected cases or for all cases.

 The Stamp button automatically enters “Y” in response to questions. Use the Stamp button for all rows if you expect “yes” answers to most questions.

a. To enter “Y” responses for a selected case, click the box for the desired case in the *Check All* column and click the **Stamp** button.

TAX PERFORMANCE SYSTEM

COLLECTIONS

Review Year: 2014	Sample Type: Acceptance 1
Universe Size: 1200	Sample Size: 60
Comments: <input type="text" value="General Comments"/> <input type="button" value="Edit Comments"/>	

Check All	Case #	Employer ID #	q1	q2	q3	q4	q4a	q4b	q4c	q4d	q5	q5a	q6	q6a	q7	q8	q9	q10	P/F
<input type="checkbox"/>	1	123456	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	2	234567	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	3	345678	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	4	456789	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	5	567890	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	6	678912	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	7	789123	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	8	891234	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	9	912345	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	10	127894	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	11	486456	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	12	789456	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼

After clicking the box in the *Check All* column for *Case #1* and the **Stamp** button, the sampling application records “Y” responses for all questions for *Case #1* as shown below.

TAX PERFORMANCE SYSTEM

COLLECTIONS

Review Year: 2014	Sample Type: Acceptance 1
Universe Size: 1200	Sample Size: 60
Comments: <input type="text" value="General Comments"/> <input type="button" value="Edit Comments"/>	

Check All	Case #	Employer ID #	q1	q2	q3	q4	q4a	q4b	q4c	q4d	q5	q5a	q6	q6a	q7	q8	q9	q10	P/F
<input checked="" type="checkbox"/>	1	123456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	2	234567	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	3	345678	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	4	456789	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	5	567890	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	6	678912	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	7	789123	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	8	891234	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	9	912345	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	10	127894	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	11	486456	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	12	789456	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼



A “Y” answer is also automatically recorded in the “P/F” (i.e., Pass/Fail) column. This case will pass unless the state TPS reviewer changes answers to “N” in response to one or more evaluative questions.

- b. To enter “Y” responses for all cases, click the *Check All* box and click the **Stamp** button.

TAX PERFORMANCE SYSTEM

COLLECTIONS

Review Year: 2014 Sample Type: Acceptance 1
 Universe Size: 1200 Sample Size: 60

Comments:

Check All	Case #	Employer ID #	q1	q2	q3	q4	q4a	q4b	q4c	q4d	q5	q5a	q6	q6a	q7	q8	q9	q10	P/F
<input type="checkbox"/>	1	23456	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	2	234567	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	3	345678	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	4	456789	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	5	567890	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	6	678912	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	7	789123	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	8	891234	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	9	912345	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	10	127894	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	11	486456	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼
<input type="checkbox"/>	12	789456	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼

After clicking the *Check All* box and the **Stamp** button, the sampling application records “Y” responses for all questions for all cases as shown below.

TAX PERFORMANCE SYSTEM

COLLECTIONS

Review Year: 2014 Sample Type: Acceptance 1
 Universe Size: 1200 Sample Size: 60

Comments:

Check All	Case #	Employer ID #	q1	q2	q3	q4	q4a	q4b	q4c	q4d	q5	q5a	q6	q6a	q7	q8	q9	q10	P/F
<input type="checkbox"/>	1	23456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	2	234567	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	3	345678	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	4	456789	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	5	567890	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	6	678912	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	7	789123	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	8	891234	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	9	912345	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	10	127894	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	11	486456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	12	789456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

- c. Answers to questions may be changed prior to validating and closing the sample. There are several ways to change answers to questions as follows.

To change one answer, click the drop down menu for the answer and select the new answer. The drop down menu for question *q2* for *Case #2* was clicked for the screen below.

TAX PERFORMANCE SYSTEM

COLLECTIONS

Review Year: 2014 Sample Type: Acceptance 1
 Universe Size: 1200 Sample Size: 60

Comments:

Save Validate Stamp Clear Discard Sample Reduce Sample Size Query

Check All	Case #	Employer ID #	q1	q2	q3	q4	q4a	q4b	q4c	q4d	q5	q5a	q6	q6a	q7	q8	q9	q10	P/F
<input type="checkbox"/>	1	123456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	2	234567	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	3	345678	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	4	456789	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	5	567890	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	6	678912	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	7	789123	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	8	891234	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	9	912345	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	10	127894	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	11	486456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	12	789456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

The screen below shows results after answer “N” was selected for question *q2* for *Case #2*. Note that the *P/F* column for *Case #2* is automatically changed to “N” for fail since question *q2* is an evaluative question.

TAX PERFORMANCE SYSTEM

COLLECTIONS

Review Year: 2014 Sample Type: Acceptance 1
 Universe Size: 1200 Sample Size: 60

Comments:

Save Validate Stamp Clear Discard Sample Reduce Sample Size Query

Check All	Case #	Employer ID #	q1	q2	q3	q4	q4a	q4b	q4c	q4d	q5	q5a	q6	q6a	q7	q8	q9	q10	P/F
<input type="checkbox"/>	1	123456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	2	234567	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N
<input type="checkbox"/>	3	345678	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	4	456789	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	5	567890	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	6	678912	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	7	789123	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	8	891234	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	9	912345	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	10	127894	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	11	486456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	12	789456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

Changing an answer for one question may change the answers to other related questions. For example, the screen below shows that answers for question q4a, q4b, q4c and q4d for case #4 were removed since the questions are answered only if question q4 is answered "Y." Question q4a, q4b, q4c and q4d are non-evaluative questions.

TAX PERFORMANCE SYSTEM

COLLECTIONS

Review Year: 2014 Sample Type: Acceptance 1
 Universe Size: 1200 Sample Size: 60

Comments:

Check All	Case #	Employer ID #	q1	q2	q3	q4	q4a	q4b	q4c	q4d	q5	q5a	q6	q6a	q7	q8	q9	q10	P/F
<input type="checkbox"/>	1	123456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	2	234567	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N
<input type="checkbox"/>	3	345678	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	4	456789	Y	Y	Y	N				Y	Y	Y	Y	Y	Y	Y	Y	Y	N
<input type="checkbox"/>	5	567890	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	6	678912	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	7	789123	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	8	891234	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	9	912345	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	10	127894	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	11	486456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	12	789456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

To remove all answers for one case, click the box for the desired row in the *Check All* column and click the **Clear** button. The screen below assumes that the TPS reviewer desires to remove all answers for case #6.

TAX PERFORMANCE SYSTEM

COLLECTIONS

Review Year: 2014 Sample Type: Acceptance 1
 Universe Size: 1200 Sample Size: 60

Comments:

Check All	Case #	Employer ID #	q1	q2	q3	q4	q4a	q4b	q4c	q4d	q5	q5a	q6	q6a	q7	q8	q9	q10	P/F
<input type="checkbox"/>	1	123456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	2	234567	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N
<input type="checkbox"/>	3	345678	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	4	456789	Y	Y	Y	N				Y	Y	Y	Y	Y	Y	Y	Y	Y	N
<input type="checkbox"/>	5	567890	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	6	678912	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	7	789123	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	8	891234	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	9	912345	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	10	127894	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	11	486456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	12	789456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

After clicking the box in the *Check All* column for Case #6 and **Clear** button, the automated system removes “Y” responses for all questions for case # 6 as shown below.

TAX PERFORMANCE SYSTEM

COLLECTIONS

Review Year: 2014 Sample Type: Acceptance 1
 Universe Size: 1200 Sample Size: 60

Comments: General Comments Edit Comments

Save Validate Stamp Clear Discard Sample Reduce Sample Size Query

Check All	Case #	Employer ID #	q1	q2	q3	q4	q4a	q4b	q4c	q4d	q5	q5a	q6	q6a	q7	q8	q9	q10	P/F
<input type="checkbox"/>	1	123456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	2	234567	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N
<input type="checkbox"/>	3	345678	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	4	456789	Y	Y	Y	N				Y	Y	Y	Y	Y	Y	Y	Y	Y	N
<input type="checkbox"/>	5	567890	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	6	678912	Y																
<input type="checkbox"/>	7	789123	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	8	891234	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	9	912345	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	10	127894	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	11	486456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	12	789456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

To remove all answers for all cases, click the *Check All* box and click the **Clear** button.

TAX PERFORMANCE SYSTEM

COLLECTIONS

Review Year: 2014 Sample Type: Acceptance 1
 Universe Size: 1200 Sample Size: 60

Comments: General Comments Edit Comments

Save Validate Stamp Clear Discard Sample Reduce Sample Size Query

Check All	Case #	Employer ID #	q1	q2	q3	q4	q4a	q4b	q4c	q4d	q5	q5a	q6	q6a	q7	q8	q9	q10	P/F
<input type="checkbox"/>	1	123456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	2	234567	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	3	345678	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	4	456789	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	5	567890	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	6	678912	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	7	789123	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	8	891234	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	9	912345	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	10	127894	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	11	486456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	12	789456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

After clicking the *Check All* box and **Clear** button, the application removes all responses for all questions for all cases as shown below.

TAX PERFORMANCE SYSTEM

COLLECTIONS

Review Year: 2014 Sample Type: Acceptance 1
 Universe Size: 1200 Sample Size: 60

Comments:

Check All	Case #	Employer ID #	q1	q2	q3	q4	q4a	q4b	q4c	q4d	q5	q5a	q6	q6a	q7	q8	q9	q10	P/F
<input type="checkbox"/>	1	123456																	
<input type="checkbox"/>	2	234567																	
<input type="checkbox"/>	3	345678																	
<input type="checkbox"/>	4	456789																	
<input type="checkbox"/>	5	567890																	
<input type="checkbox"/>	6	678912																	
<input type="checkbox"/>	7	789123																	
<input type="checkbox"/>	8	891234																	
<input type="checkbox"/>	9	912345																	
<input type="checkbox"/>	10	127894																	
<input type="checkbox"/>	11	486456																	
<input type="checkbox"/>	12	789456																	

7. To save sampling data that has been entered, click the **Save** button.

TAX PERFORMANCE SYSTEM

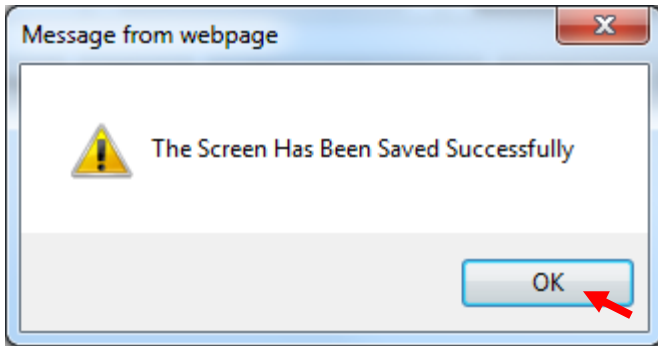
COLLECTIONS

Review Year: 2014 Sample Type: Acceptance 1
 Universe Size: 1200 Sample Size: 60

Comments:

Check All	Case #	Employer ID #	q1	q2	q3	q4	q4a	q4b	q4c	q4d	q5	q5a	q6	q6a	q7	q8	q9	q10	P/F
<input type="checkbox"/>	1	123456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	2	234567	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	3	345678	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	4	456789	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	5	567890	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	6	678912	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	7	789123	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	8	891234	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	9	912345	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	10	127894	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	11	486456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	12	789456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

8. After clicking the **Save** button, the following message displays. Click the **OK** button.



9. After clicking the **OK** button, the Sampling application returns you to the screen below. You may continue to add new information or validate the sample in order to complete and close it. To validate the sample, click the **Validate** button.

TAX PERFORMANCE SYSTEM

COLLECTIONS

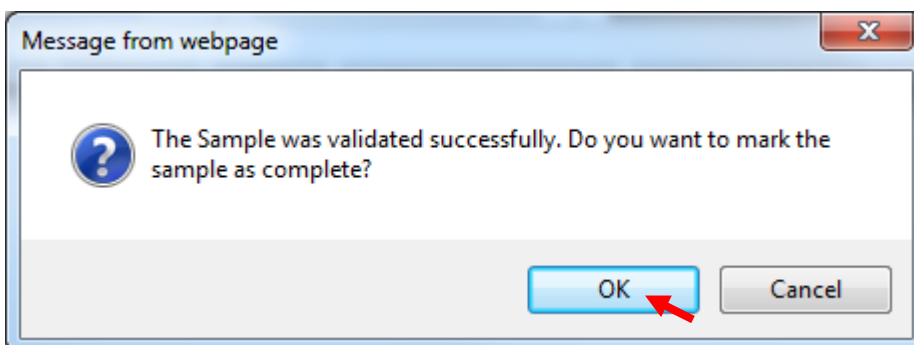
Review Year: 2014 Sample Type: Acceptance 1
 Universe Size: 1200 Sample Size: 60

Comments: General Comments Edit Comments

Save **Validate** Stamp Clear Discard Sample Reduce Sample Size Query

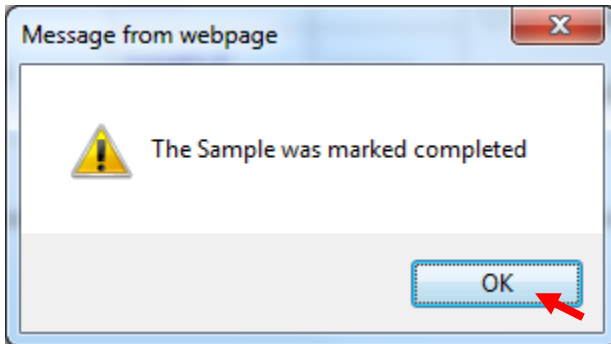
Check All	Case #	Employer ID #	q1	q2	q3	q4	q4a	q4b	q4c	q4d	q5	q5a	q6	q6a	q7	q8	q9	q10	P/F
<input type="checkbox"/>	1	123456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	2	234567	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	3	345678	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	4	456789	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	5	567890	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	6	678912	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	7	789123	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	8	891234	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	9	912345	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	10	127894	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	11	486456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	12	789456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

10. After clicking the **Validate** button, click the **OK** button on the following screen.

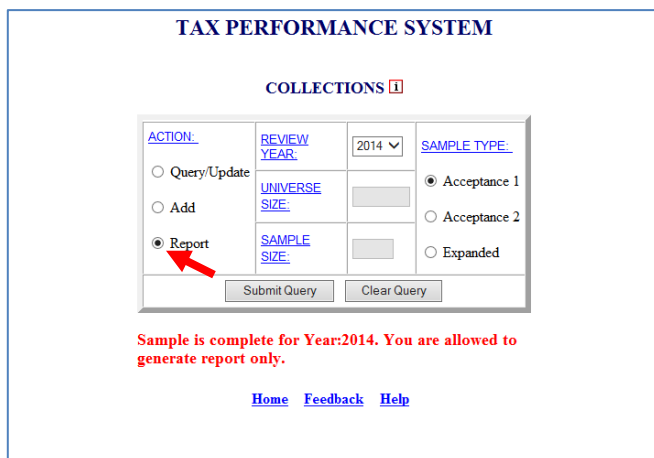


Clicking the **Cancel** button returns you to the sampling screen as shown in step 9. At that time you could resume updating previously entered information.

11. After clicking the **OK** button, click the **OK** button on the following screen.



12. After clicking the **OK** button, the sampling application returns you to the following screen. Since you marked the sample as complete, you may click *Report* and **Submit Query**, to obtain a summary of your sampling, or click [Home](#) to return to the [TPS Applications Menu](#).



Acceptance Sampling for Tax Rates

ET Handbook No. 407 requires acceptance sampling of tax rates to occur at some time “within a four cycle.” The Tax Performance System (TPS) application tracks when acceptance sampling of tax rates was last conducted. The following line on the *Program Review Findings* screen indicates the last year when acceptance sample for tax rates was last conducted: “AS Tax Rate Cycle Year: xxxx.”


TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS

STATE: State Machine Review Year: 2014 AS Tax Rate Cycle Year: 2013

Tax Function	System Review Verified Controls for :							Sampling		
	Cycle Year	Recorded Instructions	Training	Recording of Events	Exec by Auth Indv	Execution of Events	Review of Work	Exceptions	Complete	Outside Authority
STATUS DETERMINATION										
New	2013	C	C	C		C	C			
Successor	2013	R	C	C		C	C			
Inactive/Termination	2013	R	C	C		C	C			
CASHIERING										
REPORT DELINQUENCY	2013	C	C	C		R	C			
COLLECTIONS										
FIELD AUDIT	2014									
ACCOUNT MAINTENANCE										
Report Processing	2012	C	C	C		C	C			
Debits-Contributory	2012	C	C	C		C	C			
Debits-Reimbursable	2012	C	C	C		C	C			
Employer Credits/Refunds	2012	C	C	C		C	C			
Employer Charging	2012	R	R	C		R	C			
Employer Tax Rates	2014							E		

The *Program Review Findings Screen* above shows that acceptance sampling of tax rates was last conducted in 2013. The exception code of “E” means that it is not necessary to conduct acceptance sampling of tax rates in 2014. It also means that acceptance sampling for Contributions Reports Processing and Employer Charging passed the review in 2013.



You may conduct acceptance sampling of tax rates for a year even if there is an exception for the year. In this event, you must conduct a new systems review of tax rates in the review year.

If the review year is 2014 and the AS Tax Rate Cycle Year is 2014, you will need to conduct acceptance sampling of tax rates in 2014. The *Program Review Findings Screen* below does not display a code in the exception column for Tax Rates.

If you need to conduct acceptance sampling of tax rates follow the steps to access the sampling application and adding sample cases, as described in this Chapter.

TAX PERFORMANCE SYSTEM

PROGRAM REVIEW FINDINGS

STATE: State Machine Review Year: 2014 AS Tax Rate Cycle Year: 2014

Tax Function	System Review Verified Controls for :							Sampling		
	Cycle Year	Recorded Instructions	Training	Recording of Events	Exec by Auth Indv	Execution of Events	Review of Work	Exceptions	Complete	Outside Authority
STATUS DETERMINATION										
New	2013	▼	▼	▼		▼	▼	▼		▼
Successor	2013	R ▼	C ▼	C ▼		C ▼	C ▼	▼		▼
Inactive/Termination	2013	R ▼	C ▼	C ▼		C ▼	C ▼	▼		▼
CASHIERING										
CASHIERING	2012	C ▼	C ▼	C ▼	C ▼	C ▼	C ▼	▼		▼
REPORT DELINQUENCY										
REPORT DELINQUENCY	2013	C ▼	C ▼	C ▼		R ▼	C ▼	▼		▼
COLLECTIONS										
COLLECTIONS	2011	C ▼	C ▼	C ▼	C ▼	C ▼	C ▼	▼		▼
FIELD AUDIT										
FIELD AUDIT	2014	▼	▼	▼		▼	▼	▼		▼
ACCOUNT MAINTENANCE										
Report Processing	2012	C ▼	C ▼	C ▼		C ▼	C ▼	▼		▼
Debits-Contributory	2012	C ▼	C ▼	C ▼		C ▼	C ▼	▼		▼
Debits-Reimbursable	2012	C ▼	C ▼	C ▼		C ▼	C ▼	▼		▼
Employer Credits/Refunds	2012	C ▼	C ▼	C ▼		C ▼	C ▼	▼		▼
Employer Charging	2012	R ▼	R ▼	C ▼		R ▼	C ▼	▼		▼
Employer Tax Rates	2014	▼	▼	▼		▼	▼	▼		▼

Resuming Data Entry of an Uncompleted Sample

To continue adding to or updating previously entered information that had been saved, but not validated, retrieve the sample as shown in the following steps. (The steps below assume that want to resume data entry of the new status determination tax function after the application.)

1. Select Sampling from the Applications Menu.



2. To access sampling for the new status determination a tax function, select the [Status Determination](#) under [Sampling](#) from the Applications Menu.



3. The [Tax Performance System](#) login screen appears.

TAX PERFORMANCE SYSTEM

WEB STATE APPLICATION


Enter your user name	<input type="text"/>
Enter your Password	<input type="password"/>
<input type="button" value="SUBMIT"/> <input type="button" value="CLEAR"/>	
<small>OMB No.: 1205-0332 OMB Expiration Date: 01/31/2009 OMB Burden Minutes: 91000</small> <small>OMB Burden Statements: The reporting requirements for TPS Handbook ET 407 are approved by OMB according to the Paperwork Reduction Act of 1995 under OMB Approval No. 1205-0332, to expire January 31, 2009. Reporting for this collection of information is estimated to average 1,739 hours per state, including the time for reviewing instructions, conducting reviews of state tax systems, extracting and analyzing small samples of completed work, gathering and maintaining the data needed, and completing and reviewing the collection of information.</small>	

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4. Enter your **Login ID User Name** and **Password**.

TAX PERFORMANCE SYSTEM

WEB STATE APPLICATION

Enter your user name	testing 
Enter your Password	***** 
<input type="button" value="SUBMIT"/> <input type="button" value="CLEAR"/>	
<small>OMB No.: 1205-0332 OMB Expiration Date: 01/31/2009 OMB Burden Minutes: 91000</small> <small>OMB Burden Statements: The reporting requirements for TPS Handbook ET 407 are approved by OMB according to the Paperwork Reduction Act of 1995 under OMB Approval No. 1205-0332 to expire January 31, 2009. Reporting for this collection of information is estimated to average 1,739 hours per state, including the time for reviewing instructions, conducting reviews of state tax systems, extracting and analyzing small samples of completed work, gathering and maintaining the data needed, and completing and reviewing the collection of information.</small>	

[Home](#) [Feedback](#) [Help](#)



Login ID and password are assigned by your state Sun system administrator.



Passwords are case sensitive, i.e., the user must use capital letters or special characters such as (#, *, or %) if these are part of the password.


5. Click on the **Submit** button.

TAX PERFORMANCE SYSTEM

WEB STATE APPLICATION

Enter your user name	<input type="text" value="testing"/>
Enter your Password	<input type="password" value="*****"/>
<input type="button" value="SUBMIT"/> <input type="button" value="CLEAR"/>	
<p>OMB No.: 1205-0332 OMB Expiration Date: 01/31/2009 OMB Burden Minutes: 91000</p> <p>OMB Burden Statements: The reporting requirements for TPS Handbook ET 407 are approved by OMB according to the Paperwork Reduction Act of 1995 under OMB Approval No. 1205-0332 to expire January 31, 2009. Reporting for this collection of information is estimated to average 1,739 hours per state, including the time for reviewing instructions, conducting reviews of state tax systems, extracting and analyzing small samples of completed work, gathering and maintaining the data needed, and completing and reviewing the collection of information.</p>	

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 If logged in already you can skip steps 3 thru 5 and go directly to the Acceptance Sample screen of the tax function that you selected.

6. Click the Submit Query button.

TAX PERFORMANCE SYSTEM

STATUS DETERMINATION 1

ACTION:	REVIEW YEAR:	2014	SAMPLE TYPE:
<input checked="" type="radio"/> Query/Update	UNIVERSE SIZE:	<input type="text"/>	<input checked="" type="radio"/> Acceptance 1
<input type="radio"/> Add	SAMPLE SIZE:	<input type="text"/>	<input type="radio"/> Acceptance 2
<input type="radio"/> Report	<input type="radio"/> Expanded		
EMPLOYER TYPE:			
<input checked="" type="radio"/> New <input type="radio"/> Successor <input type="radio"/> Inactivated/Terminated			
<input type="button" value="Submit Query"/>		<input type="button" value="Clear Query"/>	

[Home](#) [Feedback](#) [Help](#)

7. The sampling screen for New Status Determination appears for you to continue data entry.

TAX PERFORMANCE SYSTEM

STATUS DETERMINATION

Review Year: 2014 Universe Size: 1500 Sample Type: Acceptance 1
 Sample Size: 60 Employer Type: New

Comments: General Comments Edit Comments

Save Validate Stamp Clear Discard Sample Reduce Sample Size Query

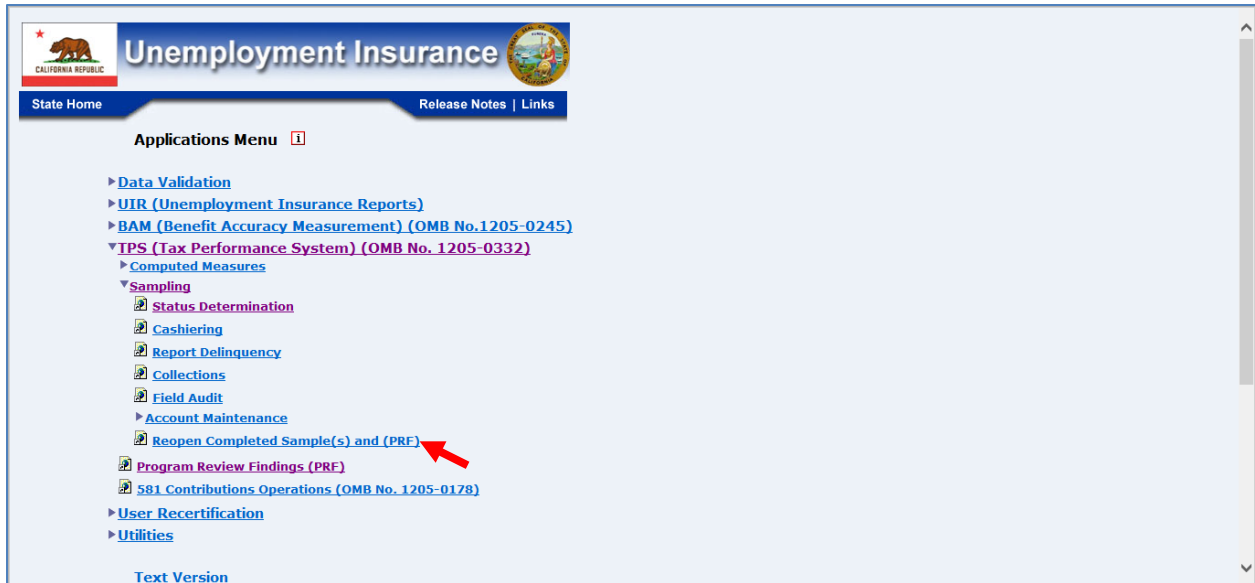
Check All	Case #	Employer ID #	q1	q2	q2a	q2b	q3a	q3b	q3c	q3d	q4a	q4b	q4c	q4d	q4e	q4f	P/F
<input type="checkbox"/>	1	123456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	2	454678	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	3	789456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	4	321654	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	5	654987															
<input type="checkbox"/>	6	987654															
<input type="checkbox"/>	7																
<input type="checkbox"/>	8																
<input type="checkbox"/>	9																
<input type="checkbox"/>	10																
<input type="checkbox"/>	11																
<input type="checkbox"/>	12																

Reopen a Completed Sample

A completed sample means that the sample was validated. You may reopen a completed sample to change results at any time prior to March 31st of the following year. If you want to reopen a completed sample after March 31st of the following year, you must contact Office of Unemployment Insurance (OUI) Technical Support Staff (Hotline) at 1-800-473-0188 or send e-mail to hotline@uis.doleta.gov.

To reopen a completed sample before March 31st of the following year, follow the steps below. (The steps below assume that you want to reopen data entry of the new status determination tax function.)

1. Select Reopen Completed Sample(s) and (PRF) from the Applications Menu



2. The Tax Performance System login screen appears.


The screenshot displays the 'TAX PERFORMANCE SYSTEM WEB STATE APPLICATION' login screen. It includes a title, a subtitle, and a login form with two input fields: 'Enter your user name' and 'Enter your Password'. Below the fields are 'SUBMIT' and 'CLEAR' buttons. A block of text provides OMB information: 'OMB No.: 1205-0332 OMB Expiration Date: 01/31/2009 OMB Burden Minutes: 91000'. Below this is a paragraph of 'OMB Burden Statements' explaining the reporting requirements for TPS Handbook ET 407. At the bottom are links for 'Home', 'Feedback', and 'Help'.

3. Enter your Login ID User Name and Password.


TAX PERFORMANCE SYSTEM

WEB STATE APPLICATION

Enter your user name	<input type="text" value="testing"/>
Enter your Password	<input type="password" value="*****"/>
<input type="button" value="SUBMIT"/> <input type="button" value="CLEAR"/>	
<small>OMB No.: 1205-0332 OMB Expiration Date: 01/31/2009 OMB Burden Minutes: 91000</small> <small>OMB Burden Statements: The reporting requirements for TPS Handbook ET 407 are approved by OMB according to the Paperwork Reduction Act of 1995 under OMB Approval No. 1205-0332 to expire January 31, 2009. Reporting for this collection of information is estimated to average 1,739 hours per state, including the time for reviewing instructions, conducting reviews of state tax systems, extracting and analyzing small samples of completed work, gathering and maintaining the data needed, and completing and reviewing the collection of information.</small>	
Home Feedback Help	



Login ID and password are assigned by your state Sun system administrator.



Passwords are case sensitive, i.e., the user must use capital letters or special characters such as (#, *, or %) if these are part of the password.

4. Click on the **Submit** button.

TAX PERFORMANCE SYSTEM

WEB STATE APPLICATION

Enter your user name	<input type="text" value="testing"/>
Enter your Password	<input type="password" value="*****"/>
<input type="button" value="SUBMIT"/> <input type="button" value="CLEAR"/>	
<small>OMB No.: 1205-0332 OMB Expiration Date: 01/31/2009 OMB Burden Minutes: 91000</small> <small>OMB Burden Statements: The reporting requirements for TPS Handbook ET 407 are approved by OMB according to the Paperwork Reduction Act of 1995 under OMB Approval No. 1205-0332 to expire January 31, 2009. Reporting for this collection of information is estimated to average 1,739 hours per state, including the time for reviewing instructions, conducting reviews of state tax systems, extracting and analyzing small samples of completed work, gathering and maintaining the data needed, and completing and reviewing the collection of information.</small>	
Home Feedback Help	

- Select *New or Contributory* from the Employer Type dropdown on the *Reopen Completed Sample* screen and click **Submit Query**.

TAX PERFORMANCE SYSTEM

REOPEN COMPLETED SAMPLE ⓘ

REVIEW YEAR:	2014 ▼
TAX FUNCTION:	Status Determination ▼
SAMPLE TYPE:	Acceptance 1 ▼
EMPLOYER TYPE:	New or Contributory ▼

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- The *Status Determination Sampling* Screen appears.

TAX PERFORMANCE SYSTEM

STATUS DETERMINATION

Review Year: 2014 Universe Size: 1500 Sample Type: Acceptance 1
 Sample Size: 59 Employer Type: New

Comments: General Comments ▼

Check All	Case #	Employer ID #	q1	q2	q2a	q2b	q3a	q3b	q3c	q3d	q4a	q4b	q4c	q4d	q4e	q4f	P/F
<input type="checkbox"/>	1	123456	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y
<input type="checkbox"/>	2	789456	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y
<input type="checkbox"/>	3	321654	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y
<input type="checkbox"/>	4	654987	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y
<input type="checkbox"/>	5	987654	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y
<input type="checkbox"/>	6	369258	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y
<input type="checkbox"/>	7	258147	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y
<input type="checkbox"/>	8	753159	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y
<input type="checkbox"/>	9	951753	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y
<input type="checkbox"/>	10	654852	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y
<input type="checkbox"/>	11	115878	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y
<input type="checkbox"/>	12	828545	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y▼	Y

Universe and Sample Size

Appendix A of ET Handbook No. 407 provides general instructions for identifying the sampling universes. The chapters of ET Handbook No. 407 pertaining to each tax

function provide specific instructions and criteria for identifying the universes for each tax function.

Appendix A of ET Handbook No. 407 provides instructions to determine which records from the universe are selected for the sample.

The following table shows the sample sizes required for various universe sizes.

Universe Size	Sample Size
1200 - 999999	60
700 - 1199	59
400 - 699	58
200 - 399	56
100 - 199	48
88 - 99	37
76 - 87	36
64 - 75	35
53 - 63	33
41 - 52	31
30 - 40	28
10 - 29	10 - 29, corresponding to same as universe size.



If the universe size is less than 10, the universe is too small for conducting acceptance sampling. Before making a final determination that the universe is too small make sure the universe size is correct. Compare the universe count to a reference count on other agency records and check that your Information Technology Division used the correct criteria for identifying the universe. If the universe is, in fact, too small, an exception code “S” (universe is too small) must be entered on the *Program Review Findings* screen. See “Exceptions” in Chapter 2 of this guide for steps to enter the exception.

Removal of Sample Cases

Chapter II of ET Handbook No. 407 provides guidance on when cases may be removed from a sample. To remove cases from a sample follow the steps below.



The steps below assume that you have logged in and you have accessed the Sampling screen for the New Status Determination function, which has not yet been validated.

- 1.** Select case that needs to be removed by clicking the case under *Check All* and click **Reduce Sample Size** button.

TAX PERFORMANCE SYSTEM

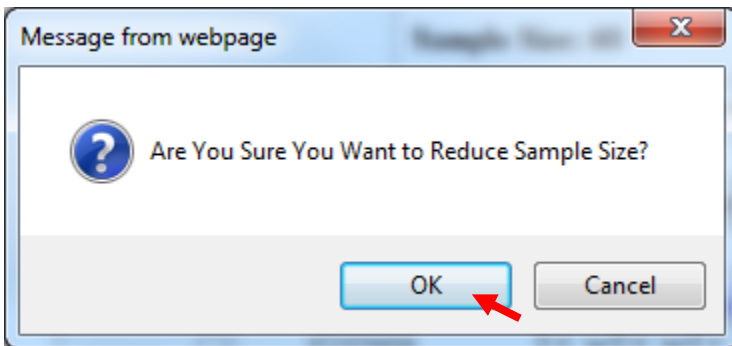
STATUS DETERMINATION

Review Year: 2014 Universe Size: 1500 Sample Type: Acceptance 1
 Sample Size: 60 Employer Type: New

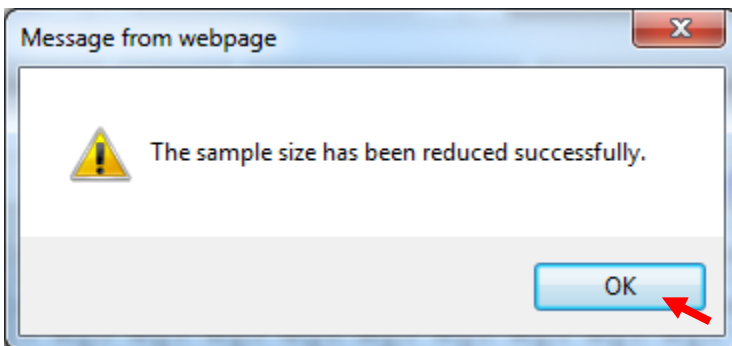
Comments:

Check All	Case #	Employer ID #	q1	q2	q2a	q2b	q3a	q3b	q3c	q3d	q4a	q4b	q4c	q4d	q4e	q4f	P/F
<input type="checkbox"/>	1	123456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	2	454678	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	3	789456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	4	321654	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	5	654987	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	6	987654	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	7	369258	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	8	258147	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	9	753159	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	10	951753	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	11	654852	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	12	115878	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

2. Click **OK**.



3. Click **OK**.



4. Employer ID #454678, which was case #2 on the screen shown in step 1, above, has been removed and the sample size shows 59 cases.

TAX PERFORMANCE SYSTEM


STATUS DETERMINATION

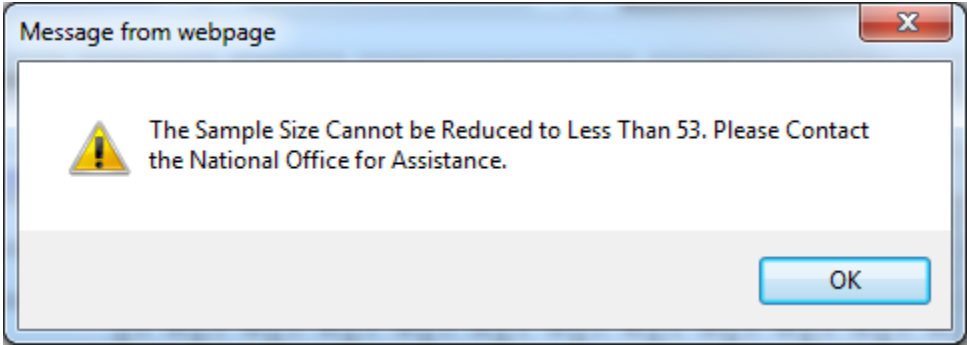
Review Year: 2014 Universe Size: 1500 Sample Type: Acceptance 1
Sample Size: 59 Employer Type: New

Comments: General Comments Edit Comments

Save Validate Stamp Clear Discard Sample Reduce Sample Size Query

Check All	Case #	Employer ID #	q1	q2	q2a	q2b	q3a	q3b	q3c	q3d	q4a	q4b	q4c	q4d	q4e	q4f	P/F
<input type="checkbox"/>	1	123456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	2	789456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	3	321654	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	4	654987	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	5	987654	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	6	369258	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	7	258147	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	8	753159	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	9	951753	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	10	654852	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	11	115878	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	12	828545	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

 Chapter II of ET Handbook No. 407 notes that if the sample size drops below 53, the tax function cannot be evaluated. Therefore, the error message shown below appears if you attempt to remove cases that cause the sample size to drop below 53. See the section “Discarding a Sample,” in this guide for a discussion of alternatives when the sample size drops below 53.



Discarding a Sample

If a sample is entered into the sampling application, but a sample cannot be reviewed because the universe is invalid (e.g., the universe sample size dropped below 53) a state reviewer may discard the sample and review a second sample if a new, correct universe may be identified.



If a universe is invalid and you are not able to identify a correct universe and review a sample, you will need to record the invalid universe on the *Program Review Findings* screen. Instructions for recording the invalid universe on the *Program Review Findings* screen are provided in the section, “Exceptions” in Chapter 2 of this guide. Note: If you determine an invalid universe after entering and saving a sample, first follow the steps below to discard the sample.

If the sample had been completed (validated) follow the steps in the section “Reopen a Completed Sample” in Chapter 4 of this guide to reopen the sample. If the sample had been saved, but not validated during a previous session, follow the steps in the section “Resuming Data Entry of an Uncompleted Sample” in Chapter 4 of this guide.

The following steps to discard a sample assume that you will discard the new status determination sample.

1. Access the *Status Determination Sampling* Screen so that the following screen appears. Click Discard Sample.

TAX PERFORMANCE SYSTEM

STATUS DETERMINATION

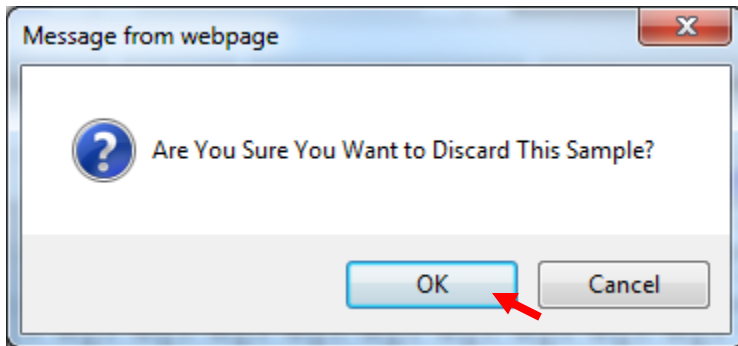
Review Year: 2014 Universe Size: 1500 Sample Type: Acceptance 1
 Sample Size: 59 Employer Type: New

Comments: General Comments Edit Comments

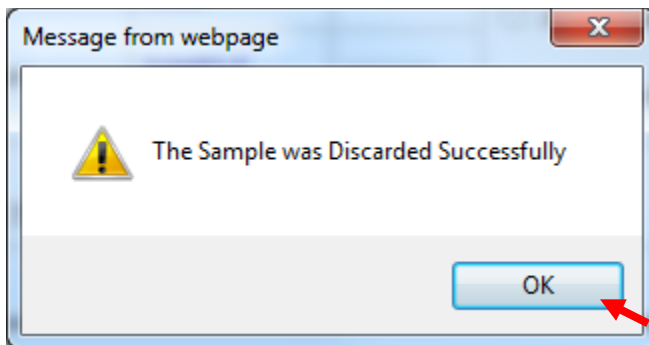
Save Validate Stamp Clear Discard Sample Reduce Sample Size Query

Check All	Case #	Employer ID #	q1	q2	q2a	q2b	q3a	q3b	q3c	q3d	q4a	q4b	q4c	q4d	q4e	q4f	P/F
<input type="checkbox"/>	1	123456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	2	789456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	3	321654	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	4	654987	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	5	987654	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	6	369258	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	7	258147	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	8	753159	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	9	951753	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	10	654852	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	11	115878	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	12	828545	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

2. The following screen appears. Click **OK**.



3. The following screen appears. Click **OK**.



4. The *Status Determination* screen appears. You will need to add a sample for acceptance sample 2.

TAX PERFORMANCE SYSTEM

STATUS DETERMINATION ⓘ

<u>ACTION:</u>	<u>REVIEW YEAR:</u>	2014 ▾	<u>SAMPLE TYPE:</u>
<input checked="" type="radio"/> Query/Update	<u>UNIVERSE SIZE:</u>		<input checked="" type="radio"/> Acceptance 1
<input type="radio"/> Add	<u>SAMPLE SIZE:</u>		<input type="radio"/> Acceptance 2
<input type="radio"/> Report			<input type="radio"/> Expanded
<u>EMPLOYER TYPE:</u>			
<input checked="" type="radio"/> New <input type="radio"/> Successor <input type="radio"/> Inactivated/Terminated			
Submit Query		Clear Query	

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Assuming that you are able to identify a new, correct universe - If you determine that a universe is invalid before you enter all cases and validate the sample, you may clear responses already entered and change the Employer ID numbers instead of discarding the sample.

Acceptance Sample #2

The *Sampling* application allows a state TPS reviewer to add acceptance sampling cases for a second sample if the first sample was discarded. To enter a second acceptance sample for the New Status Determination sample, follow these steps:

1. Select [Sampling](#) from the Applications Menu.



2. To access sampling for a tax function, select the tax function under [Sampling](#) from the Applications Menu.



3. The Tax Performance System login screen appears.

TAX PERFORMANCE SYSTEM

WEB STATE APPLICATION

Enter your user name	<input type="text"/>
Enter your Password	<input type="password"/>
<input type="button" value="SUBMIT"/> <input type="button" value="CLEAR"/>	

OMB No.: 1205-0332 OMB Expiration Date: 01/31/2009 OMB Burden Minutes: 91000

OMB Burden Statement: The reporting requirements for TPS Handbook ET 407 are approved by OMB according to the Paperwork Reduction Act of 1995 under OMB Approval No. 1205-0332 to expire January 31, 2009. Reporting for this collection of information is estimated to average 1,739 hours per state, including the time for reviewing instructions, conducting reviews of state tax systems, extracting and analyzing small samples of completed work, gathering and maintaining the data needed, and completing and reviewing the collection of information.

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4. Enter your Login ID User Name and Password.


TAX PERFORMANCE SYSTEM


WEB STATE APPLICATION

Enter your user name	<input type="text" value="testing"/>
Enter your Password	<input type="password" value="*****"/>
<input type="button" value="SUBMIT"/> <input type="button" value="CLEAR"/>	

OMB No.: 1205-0332 OMB Expiration Date: 01/31/2009 OMB Burden Minutes: 91000
OMB Burden Statements: The reporting requirements for TPS Handbook ET 407 are approved by OMB according to the Paperwork Reduction Act of 1995 under OMB Approval No. 1205-0332 to expire January 31, 2009. Reporting for this collection of information is estimated to average 1,739 hours per state, including the time for reviewing instructions, conducting reviews of state tax systems, extracting and analyzing small samples of completed work, gathering and maintaining the data needed, and completing and reviewing the collection of information.

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 Login ID and password are assigned by your state Sun system administrator.

 Passwords are case sensitive, i.e., the user must use capital letters or special characters such as (#, *, or %) if these are part of the password.

5. Click *Add* under *Action*, click *Acceptance 2* under *Sample Type*, enter your universe size and click on the **Submit Query** button. (Note: The sampling application will enter the sample size automatically.)

TAX PERFORMANCE SYSTEM

STATUS DETERMINATION 1

ACTION:	REVIEW YEAR:	2014	SAMPLE TYPE:
<input type="radio"/> Query/Update	UNIVERSE SIZE:	2000	<input type="radio"/> Acceptance 1
<input checked="" type="radio"/> Add	SAMPLE SIZE:	60	<input checked="" type="radio"/> Acceptance 2
<input type="radio"/> Report	EMPLOYER TYPE:		
<input checked="" type="radio"/> New <input type="radio"/> Successor <input type="radio"/> Inactivated/Terminated			
<input type="button" value="Submit Query"/>		<input type="button" value="Clear Query"/>	

Sample has been discarded for Year:2014 and Sample Type: Acceptance 1.

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6. The following screen appears. (Note: Only the first 12 cases are shown below, but the full screen shows 60 cases since the sample size is 60.) See the section, Adding/Saving Sample Cases and Results, in this guide for instructions to complete the following screen.

TAX PERFORMANCE SYSTEM

STATUS DETERMINATION

Review Year: 2014 Universe Size: 2000 Sample Type: Acceptance 2
 Sample Size: 60 Employer Type: New

Comments: General Comments Edit Comments

Check All	Case #	Employer ID #	q1	q2	q2a	q2b	q3a	q3b	q3c	q3d	q4a	q4b	q4c	q4d	q4e	q4f	P/F
<input type="checkbox"/>	1		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	2		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	3		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	4		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	5		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	6		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	7		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	8		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	9		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	10		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	11		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	12		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	

Expanded Sample

The purpose of expanded sampling in TPS is to support the findings of the review of internal controls, quality assurance systems and the acceptance or procedure review samples. Expanded sampling is not necessary when the state concurs with the findings. If, however, the state does not agree, then an expanded sample is necessary to estimate the potential impact of the weakness on program quality. Even when the state might agree with finding, the reviewer has the option to select an expanded sample when there is uncertainty about the nature of findings and more detailed information is desired. Thus, expanded sampling is used when:

- Agency staff and management find acceptance sampling results unconvincing.
- To explore the level and cause of a problem identified by a systems review and/or acceptance sampling.

The primary difference between acceptance sampling and expanded sampling is the sample size. Whereas in acceptance sampling it was only necessary to determine whether the exception rate was less than a specified level, expanded samples need to be large enough to estimate the actual exception rate. An expanded sample must be large enough to estimate an exception rate with sufficient precision that the agency will

have confidence in the estimate. As in the case of acceptance sampling, choices need to be made on the precision of the estimate and the level of confidence in the estimate. The more precise the estimate, and the higher the confidence level, the larger the required sample size.

Refer to Appendix A of ET Handbook No. 407 for more information on conducting an expanded sample.



One and only one acceptance sample or expanded sample can be recorded on the UI database. Therefore, an expanded sample can be updated only if acceptance samples 1 and 2 have been discarded. The following screen shows the error message if acceptance samples 1 and 2 have not been discarded

TAX PERFORMANCE SYSTEM

STATUS DETERMINATION ⓘ

ACTION:	REVIEW YEAR:	2015 ▾	SAMPLE TYPE:
<input checked="" type="radio"/> Query/Update	UNIVERSE SIZE:	<input type="text"/>	<input checked="" type="radio"/> Acceptance 1
<input type="radio"/> Add	SAMPLE SIZE:	<input type="text"/>	<input type="radio"/> Acceptance 2
<input type="radio"/> Report			<input type="radio"/> Expanded
EMPLOYER TYPE:			
<input checked="" type="radio"/> New <input type="radio"/> Successor <input type="radio"/> Inactivated/Terminated			
<input type="button" value="Submit Query"/>		<input type="button" value="Clear Query"/>	

You cannot add records for the Expanded Sample until you have added and discarded the First & Second Acceptance Sample for Year: 2015.

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See Appendix A of ET Handbook No. 407 for a summary of steps to select an expanded selection. Appendix A provides instructions for determining the sample size.

To enter an expanded sample for the New Status Determination sample, follow these steps:

1. Select [Sampling](#) from the Applications Menu.



2. To access sampling for a tax function, select the tax function under [Sampling](#) from the Applications Menu.



3. The [Tax Performance System](#) login screen appears.

TAX PERFORMANCE SYSTEM

WEB STATE APPLICATION

Enter your user name	<input type="text"/>
Enter your Password	<input type="password"/>
<input type="button" value="SUBMIT"/> <input type="button" value="CLEAR"/>	
<small>OMB No.: 1205-0332 OMB Expiration Date: 01/31/2009 OMB Burden Minutes: 91000</small> <small>OMB Burden Statements: The reporting requirements for TPS Handbook ET 407 are approved by OMB according to the Paperwork Reduction Act of 1995 under OMB Approval No. 1205-0332, to expire January 31, 2009. Reporting for this collection of information is estimated to average 1,739 hours per state, including the time for reviewing instructions, conducting reviews of state tax systems, extracting and analyzing small samples of completed work, gathering and maintaining the data needed, and completing and reviewing the collection of information.</small>	

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4. Enter your **Login ID User Name** and **Password**.

TAX PERFORMANCE SYSTEM


WEB STATE APPLICATION

Enter your user name	<input type="text" value="testing"/>
Enter your Password	<input type="password" value="*****"/>
<input type="button" value="SUBMIT"/> <input type="button" value="CLEAR"/>	
<small>OMB No.: 1205-0332 OMB Expiration Date: 01/31/2009 OMB Burden Minutes: 91000</small> <small>OMB Burden Statements: The reporting requirements for TPS Handbook ET 407 are approved by OMB according to the Paperwork Reduction Act of 1995 under OMB Approval No. 1205-0332 to expire January 31, 2009. Reporting for this collection of information is estimated to average 1,739 hours per state, including the time for reviewing instructions, conducting reviews of state tax systems, extracting and analyzing small samples of completed work, gathering and maintaining the data needed, and completing and reviewing the collection of information.</small>	

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Login ID and password are assigned by your state Sun system administrator.



Passwords are case sensitive, i.e., the user must use capital letters or special characters such as (#, *, or %) if these are part of the password.

5. Assuming that acceptance samples 1 and 2 have been discarded, click *Add* under *Action*, click *Expanded* under *Sample Type*, enter your universe size, sample size and click on the **Submit Query** button. (Note: The sampling application will not enter the sample size automatically.)

TAX PERFORMANCE SYSTEM

STATUS DETERMINATION ⓘ

ACTION: <input type="radio"/> Query/Update <input checked="" type="radio"/> Add <input type="radio"/> Report	REVIEW YEAR: 2015 UNIVERSE SIZE: 200 SAMPLE SIZE: 199	SAMPLE TYPE: <input type="radio"/> Acceptance 1 <input type="radio"/> Acceptance 2 <input checked="" type="radio"/> Expanded
EMPLOYER TYPE: <input checked="" type="radio"/> New <input type="radio"/> Successor <input type="radio"/> Inactivated/Terminated		
<input type="button" value="Submit Query"/> <input type="button" value="Clear Query"/>		

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6. The following screen appears. (Note: Only the first 12 cases are shown below, but the full screen shows 199 cases since 199 was entered as the sample size.) See the section, Adding/Saving Sample Cases and Results, in this guide for instructions to complete the screen.

TAX PERFORMANCE SYSTEM

STATUS DETERMINATION

Review Year: 2015 Universe Size: 200 Sample Type: Expanded
 Sample Size: 199 Employer Type: New

Comments:

Check All	Case #	Employer ID #	q1	q2	q2a	q2b	q3a	q3b	q3c	q3d	q4a	q4b	q4c	q4d	q4e	q4f	P/F
<input type="checkbox"/>	1		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	2		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	3		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	4		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	5		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	6		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	7		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	8		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	9		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	10		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	11		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	
<input type="checkbox"/>	12		▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	▼	



You are not allowed to reduce cases from an expanded sample. If you attempt to reduce the sample size the error message shown in the screen will display. Click **Return to Edit Cases**.

Comments



The following example assumes that you followed the steps as described in the section of this chapter, Access the Sampling Application, in order to display an acceptance sample screen for the Collections function.

You may enter “General Comments” or “Failure Comments” relating to your sample.

1. Select General Comments or Failure Comments from the drop down menu.

TAX PERFORMANCE SYSTEM

COLLECTIONS

Review Year: 2014 Sample Type: Acceptance 1
 Universe Size: 1200 Sample Size: 60

Comments: General Comments Failure Comments Edit Comments

Save Validate Stamp Clear Discard Sample Reduce Sample Size Query

Check All	Case #	Employer ID #	q1	q2	q3	q4	q4a	q4b	q4c	q4d	q5	q5a	q6	q6a	q7	q8	q9	q10	P/F
<input type="checkbox"/>	1	123456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	2	234567	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	3	345678	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	4	456789	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	5	567890	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	6	678912	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	7	789123	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	8	891234	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	9	912345	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	10	127894	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	11	486456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	12	789456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

2. To enter General Comments, select *General Comments* from the drop down menu and select **Edit Comments**.

TAX PERFORMANCE SYSTEM

COLLECTIONS

Review Year: 2014 Sample Type: Acceptance 1
 Universe Size: 1200 Sample Size: 60

Comments: General Comments Edit Comments

Save Validate Stamp Clear Discard Sample Reduce Sample Size Query

Check All	Case #	Employer ID #	q1	q2	q3	q4	q4a	q4b	q4c	q4d	q5	q5a	q6	q6a	q7	q8	q9	q10	P/F
<input type="checkbox"/>	1	123456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	2	234567	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	3	345678	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	4	456789	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	5	567890	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	6	678912	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	7	789123	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	8	891234	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	9	912345	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	10	127894	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	11	486456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	12	789456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

- Enter comments in the area that is circled. When finished entering comments, click the **Save** button. The input comments will be stored to the database. Click the **Close** button. This window closes down and returns to the main sampling window.

Edit General Comments

Year : 2014 Sample Type: Acceptance 1

Enter the comments below:

Save Close

4. To enter Failure Comments, select *Failure Comments* from the drop down menu, click the box for a sample case that warrants a comment, and select *Edit Comments*.


TAX PERFORMANCE SYSTEM

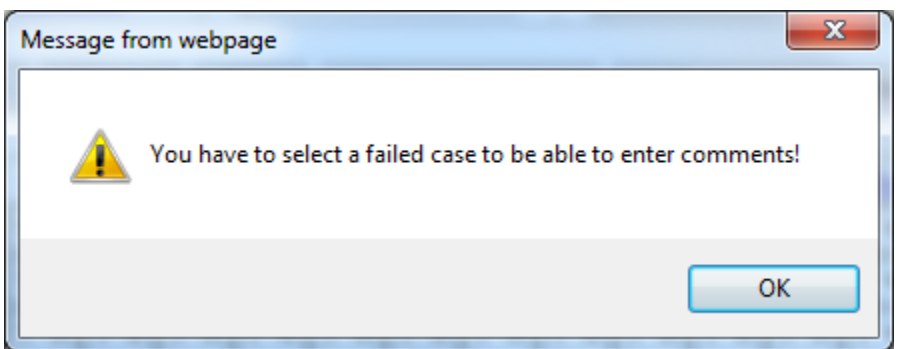
COLLECTIONS

Review Year: 2014 Sample Type: Acceptance 1
 Universe Size: 1200 Sample Size: 60

Comments: Failure Comments Edit Comments

Check All	Case #	Employer ID #	q1	q2	q3	q4	q4a	q4b	q4c	q4d	q5	q5a	q6	q6a	q7	q8	q9	q10	P/F	
<input checked="" type="checkbox"/>	1	123456	Y	Y	Y	N					Y	Y	Y	Y	Y	Y	Y	Y	N	
<input type="checkbox"/>	2	234567	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	3	345678	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	4	456789	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	5	567890	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	6	678912	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	7	789123	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	8	891234	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	9	912345	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	10	127894	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	11	486456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	12	789456	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

 You must select a sample case in step 4. If you do not select a sample case the following error message will appear.



5. Enter comments in the area that is circled. When finished entering comments, click the **Save** button. The input comments will be stored to the database. Click the **Close** button.

Edit Case Comments

Year: 2014	To switch to another case, enter the case number and click "Query"
Sample Type: Acceptance 1	Case #: <input type="text" value="1"/> <input type="button" value="Query"/>



You must also select a sample case in step 4. If you do not select a sample case the following error message will appear.



To edit comments or review comments that had been entered, follow the steps above for either general comments or Failure Comments.

To review comments after sampling results for the tax function have been saved and validated, select *Report* in the Action column and click **Submit Query**.

TAX PERFORMANCE SYSTEM

COLLECTIONS 1

<u>ACTION:</u>	<u>REVIEW YEAR:</u>	2014 ▼	<u>SAMPLE TYPE:</u>
<input type="radio"/> Query/Update	<u>UNIVERSE SIZE:</u>	[]	<input checked="" type="radio"/> Acceptance 1
<input type="radio"/> Add	<u>SAMPLE SIZE:</u>	[]	<input type="radio"/> Acceptance 2
<input checked="" type="radio"/> Report			<input type="radio"/> Expanded
<input type="button" value="Submit Query"/>		<input type="button" value="Clear Query"/>	

Sample is complete for Year:2014. You are allowed to generate report only.

[Home](#) [Feedback](#) [Help](#)

The report for the sample appears. The comments are displayed at the bottom of the report as shown below.

**TAX PERFORMANCE SYSTEM
SAMPLING DATABASE DISPLAY**

COLLECTIONS

State: State Machine
 Review Year: 2014
 Universe Size: 1200

****COMPLETED****
 Sample Type: Acceptance 1
 Sample Size: 60

Comments for Failed Cases :	
Case #: 1	Employer #:123456
This is a test of Failed Comments.	

**TAX PERFORMANCE SYSTEM
SAMPLING DATABASE DISPLAY**

COLLECTIONS

State: State Machine
 Review Year: 2014
 Universe Size: 1200

****COMPLETED****
 Sample Type: Acceptance 1
 Sample Size: 60

General Comments:
This is a test to enter general comments.

Query Button

The *Query* button on the screen for entering sampling cases and results for a tax function allows a user to return to the query screen directly. The following example illustrates the operation of the *Query* for the Benefit Charging function.



The following example assumes that you followed the steps as described in the section of this chapter, Access the Sampling Application, in order to display an acceptance sample screen for the Benefit Charging function.

1. Click the **Query** button.

TAX PERFORMANCE SYSTEM

BENEFIT CHARGING

Review Year:	2014	Sample Type:	Acceptance 1
Universe Size:	2111	Sample Size:	60

Comments:

Save Validate Stamp Clear Discard Sample Reduce Sample Size **Query**

Check All	Case #	Employer ID #	q1	q2a	q2b	q2c	q2d	P/F
<input type="checkbox"/>	1		Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	2		Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	3		Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	4		Y	Y	Y	Y	Y	Y
<input type="checkbox"/>	5		Y	Y	Y	Y	Y	Y

2. The following message appears. Click the **OK** or **Cancel** button.

Message from webpage

Do you want to save the screen first?
Click 'OK' will save the screen. Click 'Cancel' will go back to query page directly.

OK Cancel

3. The system displays the query screen.

TAX PERFORMANCE SYSTEM

BENEFIT CHARGING 1

<u>ACTION:</u>	<u>REVIEW YEAR:</u>	2014 ▾	<u>SAMPLE TYPE:</u>
<input checked="" type="radio"/> Query/Update	<u>UNIVERSE SIZE:</u>	<input type="text"/>	<input checked="" type="radio"/> Acceptance 1
<input type="radio"/> Add	<u>SAMPLE SIZE:</u>	<input type="text"/>	<input type="radio"/> Acceptance 2
<input type="radio"/> Report			<input type="radio"/> Expanded
<input type="button" value="Submit Query"/>		<input type="button" value="Clear Query"/>	

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Chapter 5

ETA 581 Report on Contributions Operations

Overview

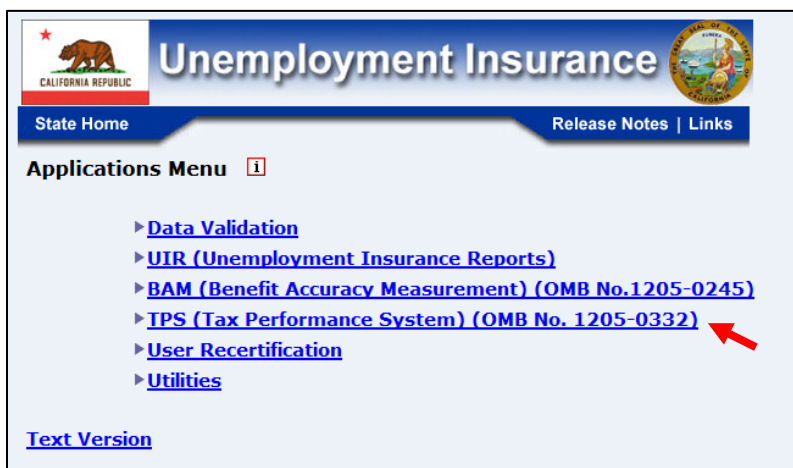
The Unemployment Insurance Reports (UIR) web-based automated system provides the ability to report UI program data, including ETA 581 data, electronically. Detailed instructions on how to access and enter program data into the UIR system can be found in [ET Handbook No. 402, 5th Edition](#).

This chapter provides information on how to query data from ETA 581 reports for prior quarters that have been filed.

Accessing ETA 581 Report Data

The *581 Contributions Operations* (OMB No. 1205-0178) application allows a state to query ETA 581 reports for prior quarters that have been filed. To access the *581 Contributions Operations* (OMB No. 1205-0178) application, follow these steps:

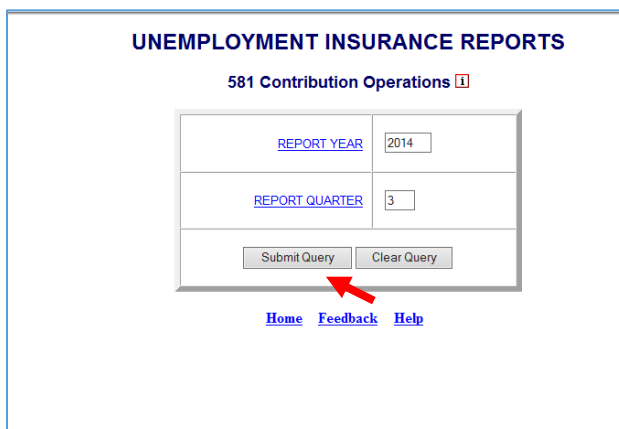
1. Go to your state Unemployment Insurance *Applications Menu* screen. Select [TPS \(Tax Performance System\) \(OMB No. 1205-0332\)](#).



2. Selecting TPS from the Applications Menu returns several TPS Functional applications: Computed Measures, Sampling, Program Review Findings (PRF) and 581 Contributions Operations (OMB No. 1205-0178). Click [581 contributions Operations \(OMB 1205-0178\)](#).



3. The Unemployment Insurance Reports screen appears. Enter the report year and report quarter for the ETA 581 report data that you wish to see. The screen below assumes that you want to view report data for the third quarter of 2014. Click **Submit Query**.



4. Data for the ETA 581 report for the third quarter of 2014 as submitted by the state appears. (Note: A partial screen of data appears below. An actual query of the report will provide all data submitted.)

ETA 581 - CONTRIBUTION OPERATIONS							
STATE		REGION		REPORT FOR PERIOD ENDING			
State Machine		11		09/30/2014			
Employer Count	Line 101	End Quarter Employers			Delinquency Cutoff Date	Total Number Wage Items Received	
		Contributory	Reimbursement	Total			
		(1)	(2)	(3)			
		310,243	6,828	317,071	09/04/2014	6,783,282	
Employer Reports for Preceding Quarters	201	Contributory Employers			Reimbursing Employers		
		Filing Timely	Secured	Resolved	Filing Timely	Secured	Resolved
		(6)	(7)	(8)	(9)	(10)	(11)
		268,784	274,463	274,340	6,509	6,629	6,722
Status Determinations	301	Newly Established Employers			Successor Employers		
		Number	Time Lapse <=90	Time Lapse <=180	Number	Time Lapse <=90	Time Lapse <=180
		(14)	(15)	(16)	(17)	(18)	(19)
		8,308	7,359	7,644	525	244	309
		Inactivations/Terminations					
		(20)					
		6,414					

Chapter 6

COMPUTED MEASURES

Overview

This chapter provides instructions for accessing the TPS Computed Measures application within the Unemployment Insurance Reports (UIR) web-based automated system. The UIR system provides the ability to retrieve TPS Computed Measure reports electronically.

The Computed Measures subsystem is designed to calculate the performance indicators based on the State Workforce Agency's (SWA's) reported data. These indicators are used in turn to help the Tax Performance System (TPS) reviewers in final evaluation of the timeliness and completeness of the State tax operations. Computed Measures are used in four of the tax functions within TPS:

- Status Determination,
- Report Delinquency,
- Collections, and
- Employer Audits

Data needed to compute the performance indicators come from reports currently submitted to the National Office as part of the UI Reporting (UIR) System. The three reports from which the data are derived follow:

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

This data is stored in the UIDB database.

The software developed for the Computed Measures automatically accesses the UIDB database and calculates the necessary indicators. This software provides a means for the TPS reviewer to request the calculated measures.

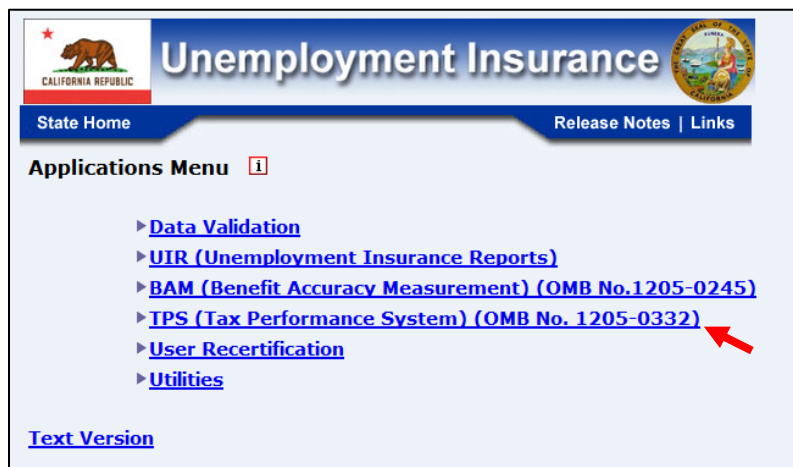
The Computed Measures are integrated with the Program Review. The Program Review portion of TPS is used to verify the accuracy of selected outputs and is used in conjunction with the Computed Measures findings to determine if necessary actions are being accomplished in a timely, complete manner. For example, the Program Review of

Status Determinations may reveal no errors in accuracy but the Computed Measures may reveal that the determinations are taking an exceptionally long time to make. A reasonable balance must be attained between accuracy and timeliness. The reviewer can compare results of their measures with similar SWA's and in the Annual Report can recommend new, improved or additional methods from another State to improve timeliness or completeness in one or more of the tax functions.

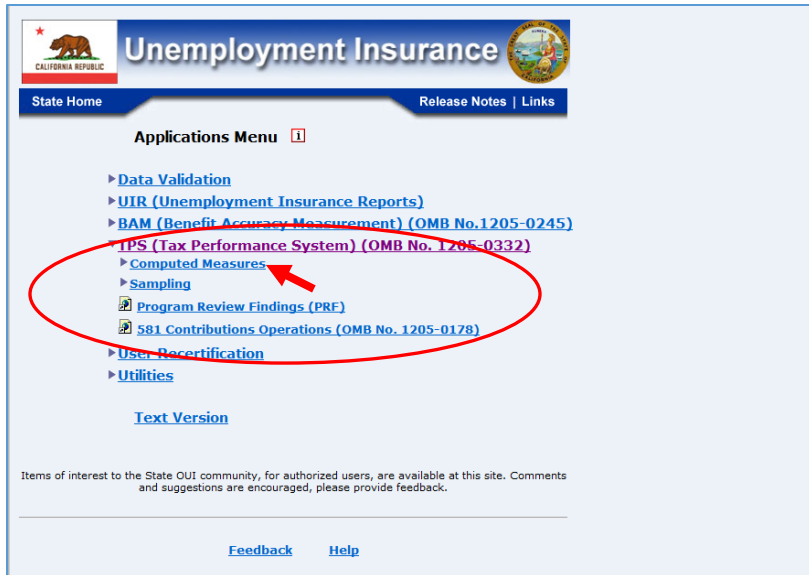
Accessing Computed Measures Information

The *TPS (Tax Performance System) (OMB No. 1205-0332)* application allows a state TPS reviewer to retrieve Computed Measure reports. To access the Computed Measure reports within the *TPS (Tax Performance System) (OMB No. 1205-0332)* application, follow these steps:

1. Go to your state Unemployment Insurance *Applications Menu* screen. Select [TPS \(Tax Performance System\) \(OMB No. 1205-0332\)](#).



2. The menu expands as shown below. Click [Computed Measures](#).









- 3.** The menu expands to display four separate tax functions for which information on computed measures is available.
- a. Status Determination
 - b. Report Delinquency
 - c. Collections
 - d. Employer Audits




This module calculates the performance indicators by using the formulas that are provided in the chapters for the tax functions in the TPS Handbook 407.

Applications Menu

- ▶ [Data Validation](#)
- ▶ [UIR \(Unemployment Insurance Reports\)](#)
- ▶ [BAM \(Benefit Accuracy Measurement\) \(OMB No.1205-0245\)](#)
- ▼ [TPS \(Tax Performance System\) \(OMB No. 1205-0332\)](#)
 - ▼ [Computed Measures](#)
 -  [Status Determination](#)
 -  [Report Delinquency](#)
 -  [Collections](#)
 -  [Field Audit](#)
 - ▶ [Sampling](#)
 -  [Program Review Findings \(PRF\)](#)
 -  [581 Contributions Operations \(OMB No. 1205-0178\)](#)

4. Clicking on any of the 4 tax functions under the Computed Measures menu opens a new window for the tax function selected. The following screen assumes that the status determination function was selected.

TAX PERFORMANCE SYSTEM

COMPUTED MEASURES - STATUS DETERMINATION 

REPORT TYPE	Measures ▾
REPORT YEAR	2014 ▾
REPORT QUARTER	4 ▾
<input type="button" value="Submit Query"/> <input type="button" value="Clear Query"/>	

[Home](#) [Feedback](#) [Help](#)

5. Each window will include filter options for report type as follows

- a. **Report Type** - The Report Type is a query parameter which represents a report type for which the application will search and find records. Users can select the Report Type by clicking on the dropdown menu. The Report Type options include the following:
 - i. *Measures* – Measures will display the results of the Computed Measures (Status Determination, Report Delinquency, Collections,

Employer Audits) for the user's state, report year, and report quarter.

- ii. *Database Display* – Database Display will display a summary of database data used in determining a state's Computed Measures.
- iii. *Formulas* – Will display the formulas used to compute the selected Computed Measure (Status Determination, Report Delinquency, Collections, Employer Audits).

- b. **Report Year** - The Report Year field is a query parameter which represents the year for which the application will search and find records. Sampling data is maintained on a calendar year basis. Users can select the Report Year by clicking on the dropdown menu.
- c. **Report Quarter** - The Report Quarter is a query parameter which represents the quarter for which the application will search and find records. Users can select the Report Quarter by clicking on the dropdown menu

6. The following screen shows the drop down menu for report type. Click the desired report type and enter the desired report year and report quarter. Then click **Submit Query**.

The screenshot shows a web application window titled "TAX PERFORMANCE SYSTEM". Below the title is the text "COMPUTED MEASURES - STATUS DETERMINATION" with a small red icon to its right. The main content area contains a form with three input fields: "REPORT TYPE" (with a dropdown menu open showing "Measures", "Database Display", and "Formulas"), "REPORT YEAR", and "REPORT QUARTER" (with a dropdown menu showing "4"). Below the form are two buttons: "Submit Query" and "Clear Query". At the bottom of the window is a navigation bar with three links: "Home", "Feedback", and "Help".

7. Each window includes the action buttons:

- a. Submit Query – submits the user's request.
- b. Clear Query – Resets all the fields to the default value.

8. Each window includes a navigation bar.

- a. Home – Displays the applications Menu Page.
- b. Feedback – Display the feedback contact information.
- c. Help