



Unemployment Insurance (UI) Benefit Operations Self-Assessment Tool: *Data Validation (DV)*

REVIEW PERIOD: **Begins**

Ends

Unless otherwise noted, all questions are applicable to the review period.

SECTION 1: Procedures, Policies, and Confidentiality

The reviewer will assess the policies and procedures supporting the state's DV operations. Resources may include manuals, handbooks, desk aids, computer help screens, training guides, organized collections of procedures or policies, or other readily accessible instructions that can help staff do their work correctly, including [ETA Handbook No. 361](#) and [ETA Handbook No. 412](#) for guidance on Data Validation. Instructions will normally include general information such as compilations of relevant laws and regulations, as well as detailed instructions for carrying out individual jobs in the agency.

- 1.** Does the state have written policies and procedures for conducting its DV operations apart from Federal guidelines?
 - 1a.** If yes, were the policies and procedures updated or modified during the last validation year?
 - 1b.** Under what circumstances will the state update its DV policies and procedures?
(check all that apply)
 - Federal or state law changes
 - Organizational changes
 - Technology changes
 - U.S. Department of Labor guidance

Question 1b check boxes continue on next page

Other (*explain*)

2. How are policies and procedures for DV operations made available to staff? (*check all that apply*)

Online

Hard-copy handbook

Training materials

Other (*explain*)

2a. Are all formats consistent and up-to-date?

3. Were there any law or policy changes during the review period that affected the state's DV policies and procedures?

3a. If yes, what law or policy changes did the state implement, when were they implemented, and what was the effect on the state's DV policies and procedures?

3b. If yes, have the state's policies, procedures and training materials been updated to reflect these changes?

3c. If no (to question 3b), explain

4. Are policies or procedures in place to ensure all staff use correct definitions and procedures during the validation process so that systematic and random errors are eliminated?

4a. If no, explain.

4b. As a part of report validation (RV) operations, describe how systematic and random errors are resolved.

5. How does the state produce data used for Federal report and validation?

- Directly from the state database
- Flat file as transactions are processed
- Combination of both methods
- Other (*explain*)

5a. Does the validator identify the state's reporting and validation sources for each population before determining the specific validation methodology to be implemented?

5b. Are DV extract files generated at the same time as the Federal reports to eliminate differences in data caused by changes in the database over time?

5c. If no (to question 5b), what is the process for creating DV extract files?

6. What policies and procedures are in place to conduct the quality sample validation (Module 4) for nonmonetary determinations and lower authority appeals samples?

7. What policies and procedures are in place to conduct the Wage Item Validation (WIV) regarding wage records submitted on employers' wage and contribution reports (Module 5)?

SECTION 1: Comments

Document any issues that were identified when completing this section. This comment section may also be used to provide additional information relating to any specific question(s) in this section.

SECTION 2: Training

Managers/employees should possess and maintain a level of expertise that enables them to accomplish their assigned duties. Training systems should be sufficient to ensure that personnel understand and perform their duties properly. When reviewing training systems, the reviewer must look for formal training procedures (e.g., the training is conducted using an established schedule and using set guidelines to make judgments about the quality of work being produced). There should be procedures for identifying general and specific training needs and for delivering training as needed.

- 1.** Does the state agency have a formal training plan for new DV staff?
 - 1a.** Is there a dedicated trainer?
 - 1b.** Has all staff conducting DV operations completed a defined training program?
 - 1c.** How much training has been provided to DV personnel during the last year?
(Estimate number of hours and type of training)

- 2.** Does the state have a “refresher” training plan to provide continuing training to DV staff?
 - 2a.** If yes, how often is the continuing training conducted?
Monthly Quarterly Annually On an as-needed basis
Other *(explain)*

N/A

3. Were all affected staff trained on these technology or operational changes prior to implementation of the changes?

4. Is there a process to obtain feedback from DV staff regarding the effectiveness of the training given?

4a. If yes, how is feedback obtained from participants?

4b. Is there a means to obtain feedback from DV management staff on the effectiveness of the training, based upon staff performance following training?

4c. If yes, how is feedback obtained from management staff?

5. What means are used by the state to determine training topics and content? (*check all that apply*)
- Error review monitoring
 - U.S. Department of Labor guidance
 - State law/policy changes
 - Supervisor feedback/input
 - Other (*explain*)

SECTION 2: Comments

Document any issues that were identified when completing this section. This comment section may also be used to provide additional information relating to any specific question(s) in this section.

SECTION 3: Workload Analysis / Management Controls

The state's ability to manage DV operations, particularly through periods of unforeseen changes in resources, is analyzed. The reviewer will also address process-improvement initiatives aimed at improving DV operations.

1. If the state tracks DV activity backlogs, how often are these reports generated?
Real-time Daily Weekly Monthly Quarterly N/A

2. Is there an evaluation tool or checklist used to review the quality and timeliness of completed DV operations?
 - 2a. If yes, explain.

3. How does the state handle the DV workload if there is a shortage of staff due to retirement, temporary or permanent staff reductions, etc.?

4. Did the state experience delays in DV operations during the reporting period?

4a. If yes, what was the cause of the DV operations delays? *(check all that apply)*

Operational issues related to facilities, budget or staffing *(explain)*

Information Technology hardware or software issues *(explain)*

Law or policy changes *(explain)*

Other *(explain)*

5. During the review period, did the state conduct any business process analysis efforts to identify issues and recommend improvements regarding DV operations to increase efficiency?

5a. If yes, what changes have been made and what was the result of those changes?

5b. If yes, what (if any) changes were recommended but not made? *(explain why)*
(The response to this question may be addressed in the Comments at the end of the section, if more space is needed.)

SECTION 3: Comments

Document any issues that were identified when completing this section. This comment section may also be used to provide additional information relating to any specific question(s) in this section.

SECTION 4: Performance Management

The reviewer will examine the state's practices for monitoring DV operations and compliance with Federal and state law and regulations. Preparation and monitoring of corrective action plans are necessary functions to further program performance improvements.

1. Was the state required to complete a Corrective Action Plan(s) during the review period concerning DV?

1a. If yes, indicate the performance areas that required a CAP.

Secretary's Standards:

Data Validation – results not submitted

Data Validation – failing/incomplete submission

2. What unit or office is responsible for monitoring the performance of the state's DV operations?

2a. What methods are used to monitor the DV operations to ensure the program is operated in accordance with Federal and state law and regulations?

2b. How frequently is the DV program review conducted to ensure compliance and operational integrity?

Quarterly Semi-annually Annually
Other (*explain*)

3. Does the state monitor UI program activity and performance in addition to monitoring set out in Federal requirements?

3a. If yes, explain what areas are monitored and the methods used.

SECTION 4: Comments

Document any issues that were identified when completing this section. This comment section may also be used to provide additional information relating to any specific question(s) in this section.

- 3.** Are the DV computer system and the UI computer system operated on a single computer platform?
 - 3a.** If multiple platforms are in use (e.g. separate databases for Appeals, Tax), describe the actions taken by the state to minimize the impact of multiple platforms on data integrity?

- 4.** Does the state have adequate technical staff to support all DV operations and DV computer systems?

- 5.** Were there any IT issues with the software retrieving reported numbers from the state UI database?
 - 5a.** If yes, what issues were encountered and have they been resolved?

- 6.** Were there any IT issues when transmitting the DV results to USDOL?
 - 6a.** If yes, what issues were encountered and have they been resolved?

- 7.** During the review period, were there IT needs for the DV operations that were not met that affected program performance?
 - 7a.** If yes, describe what IT needs were not met, the reason they were not met, what effect it had on the program, and the state's plans to meet these needs, if any? *(The response to this question may be addressed in the Comments at the end of this section, if more space is needed.)*

SECTION 5: Comments

Document any issues that were identified when completing this section. This comment section may also be used to provide additional information relating to any specific question(s) in this section.

SECTION 6: Staffing

The reviewer will examine staffing levels, staff responsibilities, and organizational changes affecting the state's DV operations.

- 1.** Does the DV staff have any other responsibilities in addition to DV operations?
 - 1a.** If yes, explain the other responsibilities.

- 2.** Does the same staff handle both the Benefits and the Tax DV operations?
 - 2a.** What unit or office is responsible for validating BTQ/TPS populations in Model 4 and Wage Item Validation (WIV) in Module 5?

- 3.** How many FTEs were budgeted for DV during the review period?
 - 3a.** How many FTEs were dedicated to DV during the review period?

- 4.** Does the state have a contingency plan to handle workload fluctuations—for example, identify staff with DV experience, maintain list of computer hardware for deployment to a disaster center, etc.?

- 5.** Were there any organizational changes during the review period that affected the state's DV unit staffing or operations?
 - 5a.** If yes, what organizational changes did the state implement, when were these changes implemented and what was the effect on the state's DV staffing or operations?

SECTION 6: Comments

Document any issues that were identified when completing this section. This comment section may also be used to provide additional information relating to any specific question(s) in this section.

SECTION 7: Concluding Summary Comments for Data Validation

For the following sets of questions, consider the overall operations related to Data Validation. This is an opportunity to identify successful practices and/or any needed corrective action measures, along with any other general comments or observations concerning this functional area of UI Benefits. Additional space for comments and reviewer notes is available on pages [28](#) and [29](#).

1. Provide any observations of good and/or exemplary performance in the state's Data Validation policies, procedure, or operations that would constitute Successful Practices to share with other states.

2. Document any issues detected in Data Validation that adversely affects the state's performance or its ability to meet performance standards/measures. Identify any corrective action measures that should be taken to improve the state's performance in regards to any weaknesses identified.

3. Add any additional comments, concerns, or observations regarding the state's performance or operations in this area that have not been addressed elsewhere and should be noted.

Additional Comments and Reviewer Notes:

Reviewer Information:

REVIEWER

Name:

Title:

Email:

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ADDITIONAL REVIEW TEAM MEMBER

Name:

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