UI Data Validation Technical Clinic I

Benefits

December 4, 2019

DOL UI Data Validation Training Initiative

Two benefits technical clinics – today's clinic will cover most benefits populations and a second clinic will finish the populations and include specific topics raised by states in this clinic

One tax technical clinic

State-specific virtual clinics

New training materials

On-site technical assistance
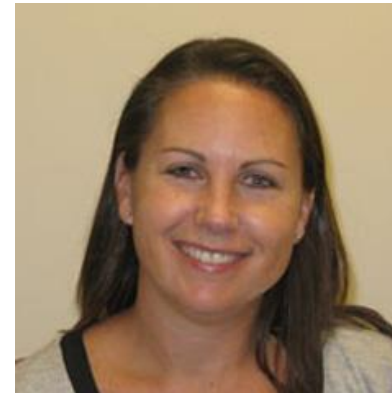
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Raising Questions

We will occasionally stop for states to ask questions. You can ask questions verbally or you can enter them in the chat box at any time.

Collecting requests for a follow-up Technical Clinic

As we review populations, if we have not covered a topic that you would like to see covered in a follow-up Data Validation (DV) technical clinic on benefits, please record the topic in the chat box

Overview of Presentation

For each population, we will cover:

Report(s) validated and validation requirements

Data validation (DV) results

Building the extract file

Key concepts for successful validation

For Populations 2, 3 and 4:

How the subpopulations were designed to validate the reports

Goals

Ensure use of the correct validation approach given the reporting method

States use various reporting and validation methodologies (see Table B in Benefits DV Handbook Employment Training Administration (ETA) 361)

Explain the more complex aspects of unemployment insurance (UI) reporting logic

Ensure programmers use Module 3 specifications and record layouts (ETA 411) to build extract files

General Validation Approach and Principles

States generate records to support all of their reported counts and dollars

Extracts each reportable transaction or status once

Exception is combined wage claims (CWCs) and payments, which are extracted twice

Populations list records that are federally reportable with all the characteristics needed to determine that the transactions and statuses were reported correctly

Populations 1–9, 12, 13, and 15 represent transactions

Populations 10, 11, and 14 count the status of an appeal or an overpayment balance at the end of the reporting period

Populations 4 and 12–15 include dollars and thus break out joint claims

Assigning Records to Subpopulations

DV Software uses a coin sorter approach to assign records to subpopulations based on a generic prefix inserted by state programmers

Software cannot assign records to subpopulations using state values

For example, a state may use a value of "02" to indicate UCFE

Programmers assign a program type value of "UCFE-02"

Programmers must follow Module 3 specifications

Each record will be assigned to one, and only one, subpopulation

If records are not labeled and formatted properly they will not be assigned to any subpopulation

Report Validation and Data Element Validation

Module 1: Report validation (RV) compares total counts and dollars for subpopulations to the counts in the federal report
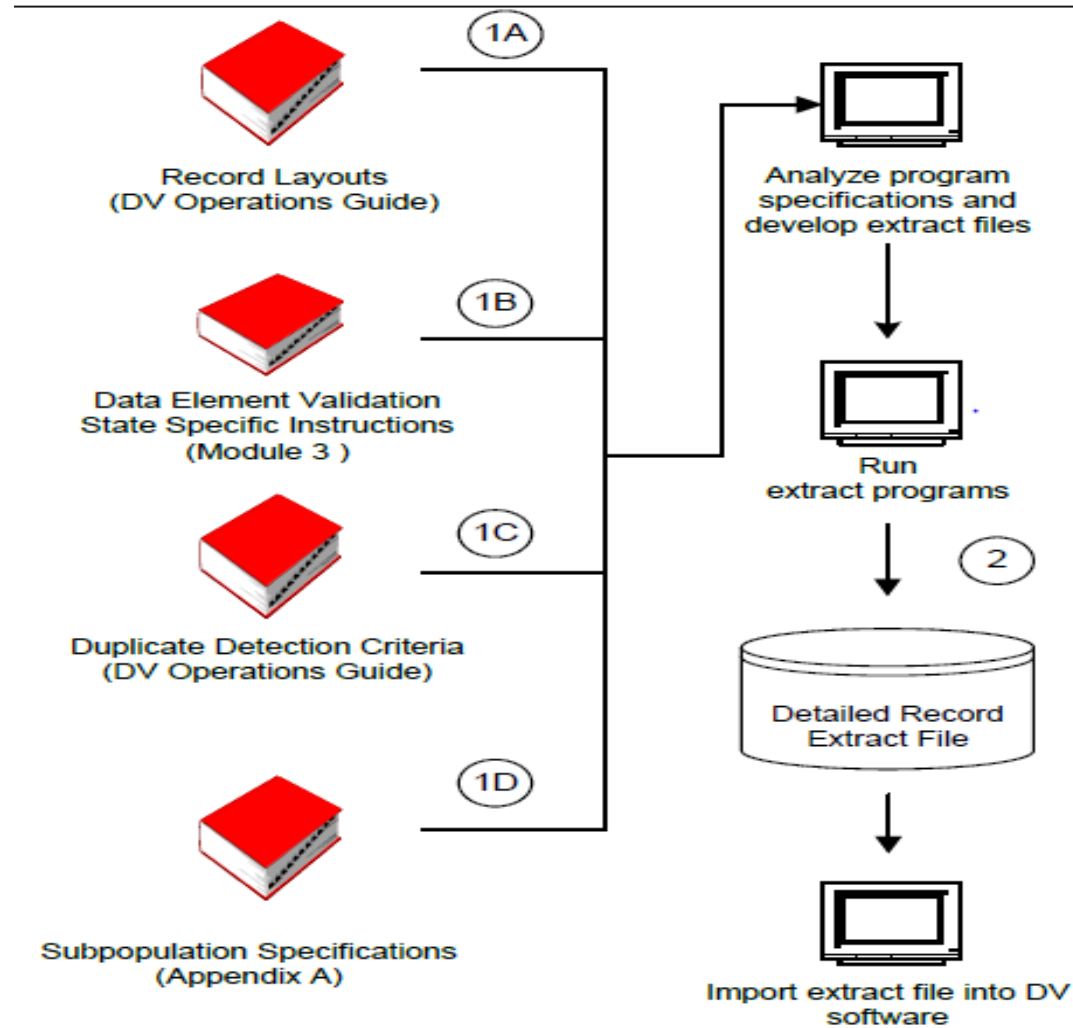
Module 2: DEV reviews samples of records for specific sets of subpopulations to ensure the values meet federal reporting definitions

Module 3: State-specific rules for validating each data element

Module 4: Validates the integrity of the samples used in DEV

Resources for Building Extract Files and Diagnosing Errors

Four Versions of a Payment Record

A. Database Tables

	TBL CLMT		TBL CLM		TBL PYMT		TBL AMT		
	SSN	532985632	TYP UI	01	WK-END DT	1/22/2019	TOT-PD	150	150
			PGM TYP	01	PROC_DTE	1/23/2019	Allocation T	FED	UI
					Check#	23646			

B. Benefits History Screen

Payment Screen

SSN   XXX-XX-XXXX

SEQ#	Check #	TYP UI	PGM TYP	PYMT TYP	WK-END	PROC-DTE	WBA	TOT-PD	FED-PD	UI-PD	EARN	PENS	SUPP	OFFSET	INTRCP
3	23646	UI	UI	Cont Wk	1/22/2019	1/23/2019	300	300	150	150	0	0	0	0	0

C. Extract File Format

3,23646,UI-01,UI-01,Continued-02,01222019,01232019,300,150,150,0,0,0,0

D. Population 4 RV File View and DEV Worksheet View

Subpop #	Report,Line ,column	SSN	Check Number	Type of UI Program	Program Type	Intrastate/In tersate	Type of Compensat ion	Partial/T otal	Earnings	WBA	UI Amount	UCFE Amount	UCX Amount	CWC Amount	Self-Employm ent
4.19	5159B-301 (1	xxx-xx-xxxx	23646	UI	UI	Intrastate	Continued	Total	0	300	150	150	0	0	0

Best Practices for Programmers

Testing files before importing them

Review extract file to ensure all state-specific values (after generic prefix) are consistent with Module 3 validation rules

If a state-specific value does not appear, check with relevant reporting or business unit experts to determine if the value is rarely used

Check for outliers

Review DV Software Error Report

Syntax errors

Valid values

Formats

Logic (parsing) errors

Unable to assign the record to a subpopulation

Required and conditionally required data elements

Duplicate records

DV and Extended Benefits

DV excludes Extended Benefits (EB) claims and related transactions except for Overpayments

For Populations 1–11, the reports being validated only cover regular UI claim activities

EB activities are reported in a separate report that is not validated

UI Performs reports (9050–9055) exclude EB payments, nonmonetary determinations, and appeals

Selecting the Correct Validation Approach

Programmers extract validation file at the end of month or quarter (snapshot of database at point in time)

Some states report using daily or weekly "statistical files"

So the 5159 monthly counts match the 539 weekly counts

To preserve records of transactions—e.g., maintain records of overwritten redeterminations

Discrepancies may result due to changes in data during the reporting period (e.g., adding UI wages to a federal claim)

Table B in the validation handbook lists six combinations of reporting and validation methods

Does your state report or validate using a method other than a snapshot of the database at the end of the reporting period? Please describe any other reporting or validation methods such as using daily or weekly statistical files.

Population 1, Weeks Claimed: Overview

Reports validated

5159A Section A, Continued Weeks Claimed

Building the extract file

Claim Week-End Date, SSN, Type of UI Program, Program Type, Intrastate/Interstate, Date Week Claimed, Monetarily Eligible of Pending, Earnings, Weekly Benefit Amount (WBA)

Duplicate detection criteria

SSN, Claim Week-End Date

Population 1: DV Results

Out of 52 states (including DC and PR):

6 states failed overall

5 failed at least one group in Population 1

1 did not submit required validation results

	Number of Failing States (out of 5 that failed Population 1)
Data element validation : 2 random samples	
Intrastate Weeks Claimed (60/200)	2
Interstate Liable Weeks Claimed (30/100)	3
Report validation: 3 validation report groups	
5159 Intrastate Weeks Claimed Total	2
5159 Interstate Liable Weeks Claimed Total	3
Interstate Weeks Claimed from Agent State Total	3

Population 1 – Weeks Claimed

Weeks are reported based on the date the state processes the weekly certification (column 7)

Weeks not counted as weeks claimed:

Excessive earnings

Appeal period for an ineligible monetary determination has expired

Appeal of an ineligible monetary determination that has been decided and not reversed

Benefits are exhausted or benefit year ends

Programmers can populate the column "monetarily eligible or pending" with data to support that requirement, but will be validated in DEV

Population 1 – Extracting Records from LADT Files

Interstate Filed From Agent State weeks claimed are reported from LADT records received by the reporting state with a LADT record type of 2

Agent/reporting state enters Liable Agent Data Transfer (LADT) counts received from other states on the 5159

States enter claimant information from LADT records into state system to provide reemployment services

Population 2, Final Payments: Overview

Population 2 validates monthly ETA 5159 and quarterly 218 reports

Programmers extract a quarterly file

DV software will add three months of 5159 data to compare to 218 quarterly data

ETA 218B, lines 102 and 104: Actual Duration for Claimants Who Received Final Payments

ETA 5159B, line 303: Final Payments for All Unemployment

Building the extract file

SSN, Check #/Unique ID, Type of UI Program Type, Maximum Benefit Amount (MBA), WBA, Actual Weeks of Duration, Maximum Weeks Duration, Mail Date of Final Payment, Balance

Duplicate detection

SSN, Mail Date, Check #/Unique ID

Population 2: DV Results

Out of 52 states:

4 states failed overall
4 failed at least one group in Population 2
0 did not submit required validation results

	Number of Failing States (out of 4 that failed Population 2)
Data element validation: 1 random sample	
Final Payments (30/100)	2
Report validation: 2 validation report groups	
5159 Final Payments Total	2
218 Final Payments Total	2

Population 2: Key Issues

Final Payment is the payment that exhausts benefits

Unpaid benefit balance should be zero unless weeks have been disqualified

If weeks added in subsequent reporting period, two final payments could be reported

Final WBA and final MBA are the WBA and MBA in effect at the time of exhaustion

The actual weeks of duration is determined by dividing the final MBA by the final WBA

Questions or comments on topics covered so far?

Population 3 and 3a, Claims: Overview

Population 3 Validates ETA 5159A, 586A, and 218 Reports Using 46 subpopulations

New UI Claims: Subpopulations 3.1–3.14 (5159 A and 218)
- New intrastate claims: 3.1–3.7
- New interstate received as liable state: 3.8–3.14

New UCFE/UCX Claims: Subpopulations 3.15–3.18 (5159 A)
- New UCFE intrastate/interstate received as liable claims: 3.15 and 3.17
- New UCX intrastate/interstate received as liable claims: 3.16 and 3.18
- New interstate received as liable state: 3.8–3.14

Interstate Filed from Agent State Claims: Subpopulations 3.19–3.21 (5159A)

Interstate Claims Taken as Agent State: Subpopulations 3.22–3.24 (5159A)

Intrastate and Interstate Transitional Claims: Subpopulations 3.25–3.33 (5159A and 218)
- Transitional UI: 3.25–3.31
- Transitional UCFE: 3.32
- Transitional UCX: 3.33

CWC Claims: Subpopulations 3.34–3.39 (586A)

New Claims Filed in the Prior Quarter: Subpopulations 3.40–3.45 (218)

Entering Self-Employment Program: Subpopulation 3.46 (5159A)

Population 3 and 3a: Overall DV Results

Out of 52 states:

25 states failed Population 3 DV overall

20 failed at least one group in Population 3

5 did not submit required validation results for Population 3

10 states failed Population 3a DV overall

8 failed at least one group in Population 3a

2 did not submit required validation results for Population 3a

Population 3 and 3a: DV Results

	Number of Failing States (out of 22 that failed Population 3 and 3a)
Data element validation: 4 random samples	
New Intra and Inter Liable Claims (60/200)	9
Intra and Inter Transitional Claims (30/100)	10
CWC Claims (30/100)	14
Intrastate Additional Claims (60/200)	5
Report validation: 10 validation report groups	
5159 New Intra and Inter Received as Liable Total	9
5159 Filed from Agent Total	10
5159 Taken as Agent Total	3
5159 Transitional Total	6
586 New CWC Total	13
586 New CWC BY Established Total	12
218 Total Determinations	7
218 Benefit Year Established Total	8
218 Total BY Established	8
Additional Intra Total	5

Population 3: Building the Extract File

Data Elements:

SSN

Date Claim Files/IB-4 Sent: within quarter/a prior quarter

Type of UI Program: regular UI

Type of Claim: New/New Transitional Additional Reopened/Transitional/CWC New/New CWC BY for CWC Claim Filed in Prior Quarter/Entering Self-Employment

Program Type: UI/UCFE/UCX

Intrastate/Interstate: Intrastate/Interstate Received as Liable/Interstate Filed from Agent State/CWC Intrastate

Date of Original Monetary: Within Quarter/Blank

Sufficient/Insufficient Combined Wages: Sufficient New BY/Sufficient No BY/Sufficient New CWC BY/Insufficient/Insufficient (Wages Not Combined)/Blank

WBA: Maximum/Less than Maximum/Blank

MBA: Blank/0/Greater than 0

Potential Weeks of Duration: Blank/0/Greater than 0

Potential Weeks Maximum Duration: Blank/Y/N

Quarterly Extracts to Validate Monthly and Quarterly Reports

Extract one quarter (e.g. Jan - Mar) of claims and monetary records – validates UI subpopulations reported on the quarterly 218 report

Extract one quarter of CWC claims – validates the quarterly 586 report

Extract one quarter of UI claims – validates monthly 5159 report (DV software sums three months of 5159 data)

Reporting Monetary Determinations

218 report analyzes claimant benefit entitlement in a state

Date of original monetary determines the quarter of reporting on the 218

But original monetary may not reflect all wages used in the claim

A more accurate record of claimant entitlement would use the monetary in effect when the 218 is run

Example: Original monetary on Jan. 1, and the 218 is run April 20: use the monetary in effect on April 20

Each claim is reported once on the 218 report

Therefore, no matter how many monetary redeterminations occur, only count the monetary in effect at the time the 218 report is run

Reporting Claims and Monetaries

Claims reported in month when filed or processed

Some states automatically generate a monetary for every claim when filed

Other states wait to generate a monetary when requesting wages from employers or other states

Automatic monetary states will always have the same count of claims and monetaries in a quarter on the three monthly 5159 reports and the 218 report

Other states will have some claims reported in a quarter in which no monetary determination has been sent

Cancelled or Withdrawn Claims

Do not report claims filed in the month, but cancelled or withdrawn before the end of the month

Therefore, some claims reported on the 539 will not be reported on the 5159

Population 3 and 3a: Duplicate Detection Criteria

Population 3

All claim types

SSN, Claim-Filed Date, Claim Type

UI New & Transitional Claims

SSN, Claim Type, Claim-Filed Date, Claim Sufficient/Insufficient

Population 3a

SSN

Claim-Filed Date

Separation Date

Intrastate and Interstate Claims

Snapshot reporting vs. snapshot validation extract

Commuter Claims

Interstate filed from agent

Interstate taken as agent claims are rare, because claimants now file directly with the liable state

Counts of filed from agent and taken as agent claims include new, transitional, additional, and reopened claims

Transitional Claims

A transitional claim (1) BYB must be within 7 days of the prior claim BYE and (2) the first week must be claimed

EB is not included

CWC Claims

New CWC claim file date – date of first IB-4 (interstate wage request) sent for a claim

New CWC benefit year established date – date of first eligible monetary determination using wages from more than one state

If first IB-4 is sent in one quarter, and first monetary with wages from more than one state is sent in a subsequent quarter:

- Report the new CWC claim in Subpopulations 3.34 (Intrastate) and 3.36 (Interstate), New CWC with insufficient (wages not combined) in the first quarter
- Report the new CWC benefit year (if wages are combined) in Subpopulations 3.38 (Intrastate) and 3.39 (Interstate), New CWC BY for CWC claim filed in prior quarter, in the second quarter

Storing Key CWC Dates

States designing new systems should consider creating the following data elements to facilitate CWC reporting and validation:

First IB-4 date for a claim

Date of first monetary determination using wages from more than one state

Date of first payment after wages are combined (used in Population 4)

Does your state store these key CWC dates separately for each CWC claim?

CWC Scenario 1 – Claim and New BY in Same Quarter

01/20/2019: State sends IB-4 wage request

01/23/2019: State issues monetary redetermination using wages from two states

Q1 2019, validation file

Type of claim: "CWC New"

Sufficient/Insufficient/Combined Wages: "Sufficient New CWC BY"

Subpopulation 3.35

Q1 2019, 586 report

1 new CWC claim and 1 new CWC BY established

CWC Scenario 2 – Claim and New BY in Separate Quarters

03/20/2019: State sends IB-4 wage request

03/22/2019: State sends second IB-4 wage request to another state

04/01/2019: State issues monetary redetermination using wages from more than one state

Q1 2019

Type of claim: "CWC New"

Sufficient/Insufficient/Combined Wages: "Insufficient (wages not combined)"

Subpopulation: 3.34

586 report: 1 new CWC claim and no CWC BY established

Q2 2019

Type of claim: "New CWC BY for CWC Claim Filed in Prior Quarter"

Subpopulation: 3.38

586 report: no new CWC claim and 1 new CWC BY established

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Population 3a – Additional Claims

Require new separation date and break in claim series (at least one unclaimed week)

States must provide name of separating employer, date of separation, and reason for separation

Programmers can insert an unclaimed benefit week ending date (BWE) as evidence of break in claims series

Break in claims series with no new separation is a reopened claim and not an additional claim

Both 3 and 3a need to be loaded to complete DV

Questions on Populations 3 or 3a?

Population 4, Payments: Overview

Reports validated:

5159B: Payment activities

9050: Time lapse for all first payments except workshare

9051: Time lapse counts for all continued weeks compensated

586 Section A: Combined

   Weeks compensated

   Amount compensated

Government Performance and Results Act (GPRA) measure

First payment time lapse: 9050

States must validate every year

How Population 4 Validates the ETA 5159, 9050, and 9051 Reports

Extract records from the last month of the quarter being validated

43 subpopulations are used to validate the 5159 Section B

First Payments: Subpopulations 4.1–4.16

    Total and Partial (9050)

    Interstate and Intrastate

    UI only, Joint UI Federal, UCFE Only, or UCFE/UCX, UCX Only

Continued Payments: Subpopulations 4.17–4.32

    Total and Partial (9051)

    Interstate and Intrastate

    UI only, Joint UI Federal, UCFE Only or UCFE/UCX, UCX Only

Adjusted Payments (dollars only): Subpopulations 4.33–4.42

    Total and Partial

    Intrastate (UI only, Joint UI/Federal)

    Interstate (UI only, Joint UI/Federal)

    UCFE Only or UCFE/UCX and UCX Only subpopulations do not include Intra/Interstate

Self-Employment Payments: Subpopulation 4.43

    Intrastate or Intestate

How Population 4 Validates ETA 586 Combined Wage Claim Payments

Extract records for the full quarter being validated

8 subpopulations are used to validate the 586

CWC First Payments: Subpopulations 4.44–4.45

Intrastate and Interstate

CWC Weeks Compensated/Not First Payments: Subpopulations 4.46–4.47

Intrastate and Interstate

CWC Adjusted Payments: Subpopulations 4.48–4.49

Intrastate and Interstate

CWC Prior Quarter: Subpopulations 4.50–4.51

Intrastate and Interstate

Population 4: Overall DV Results

Out of 52 states:

24 states failed overall

20 failed at least one group in Population 4

4 did not submit required validation results

Population 4: DV Results

	Number of Failing States (out of 20 that failed Population 4)
Data element validation: 3 random samples	
First Payments (60/200)	10
Continued Weeks Partial Payments (30/100)	8
CWC First Payments (30/100)	11
Report validation: 13 validation report groups	
9050 First Payments Total	8
9050 Partial First Payments Total	10
9051 Continued Weeks Compensated Total	9
9051 Continued Partial Weeks Compensated Total	8
5159 UI Weeks Compensated Total	6
5159 UCFE/UCX Weeks Compensated Total	10
586 CWC Weeks Compensated Total	7
586 CWC Prior Weeks Compensated Total	9
586 CWC 1st Payments Total	11
5159 UI Amount Paid Total $	8
5159 UCFE/UCX Amount Paid Total $	9
586 CWC Benefits Paid Total $	10
586 CWC Prior Benefits Paid Total $	10

Population 4: Building the Extract File

Data Elements:

SSN

Unique ID: Some states maintain a unique ID to track multiple payments established for the same benefit year.

> For DEV, validators use the unique ID to correctly identify the sampled overpayments.

Program Type: same rules as all other populations

Interstate/Intrastate

Type of Compensation: First payment, continued payment, adjustment, self-employment, weeks compensated not first payments, prior weeks compensated

Partial/Total Weeks of Unemployment

Earnings, Weekly Benefit Amount, UI Amount, UCFE Amount, UCX Amount

CWC Amount

Self-Employment Amount

Week Ending Date

Mail Date

Correctly Allocating Dollars for Joint Claims

Population 4 has subpopulations for joint payments

Dollars for payments for joint claims must be allocated to each program type

Allocate dollars to UCFE and UCX columns based on the percentage of UCFE wages and/or UCX wages relative to total base period wages

How does your state compute the UCFE/UCX dollars for payments for joint claims?

DV software confirms that the program type is consistent with the dollars reported in columns 5 and 11–15

If the program type label is not consistent with the dollars, the records will be rejected

Population 4: Duplicate Detection Criteria

The software rejects duplicate records when two or more records have the same values for:

- SSN
- Intrastate/Interstate
- Week-End Date
- Mail Date

States cannot report the same week being compensated more than once

- Partial offset, partial child support intercepts will often create two records for the same week. All the dollars are countable, but the week is only counted once

Payment Definitions

Benefit payments include:

Total, partial, and part-total payments

Full or partial offsets related to outstanding overpayment

Child support intercept order or food stamp over-issuance

Waiting weeks waived by a governor and compensated because of a legally recognized disaster

Payments resulting from the reversal of an adjudication by appeal or court decision

Two definitions of first payment:

9050: Counts the payment made for the first compensable week in the benefit year if that week was paid

Validated by subpopulations 4.1–4.16

5159 Section B Row 303: Counts the first payment made in the benefit year

UI DV does not validate these counts

Mailing date vs. processing date

Use mailing date as determined by State Workforce Agencies (SWAs) approved procedures

5159 Section B is Validated by 2 Populations
First Payments are Not Validated at All

SECTION B. PAYMENT ACTIVITIES

Item		Weeks and Amounts Compensated						
		State UI Program			UCFE and UCX Programs			Self Employ-ment, All Programs
		All Weeks Compensated	Total Unemployment	Interstate	Total	UCFE No UI	UCX Only	
		(14)	(15)	(16)	(17)	(18)	(19)	(20)
Number	301	Validated by Population 4						
Amount	302							

		First Payments for All Unemployment					Final Payments for All Unemployment		
		State UI Program			UCFE and UCX Programs		State UI Program	UCFE and UCX Programs	
		Total	Intrastate	Interstate	UCFE No UI	UCX Only	Total	UCFE No UI	UCX Only
		(21)	(22)	(23)	(24)	(25)	(26)	(27)	(28)
Number	303	Not validated					Validated by Population 2		

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First Payment Definition for ETA 9050

First payment time lapse – GPRA measure

Payment for the first compensable week in the benefit year *if* that payment is ever made

First compensable week – first claimed week in the benefit year without excessive earnings after the waiting week (if applicable)

Not all claimants who receive benefits count as having a first payment

States are held accountable for delays in paying first compensable week

Does your state store a first payment indicator, and does that indicator meet the federal definition?

First Payment Scenario 1 – First Compensable Week After Waiting Period

SSN	XXX-XX-XXXX												
SEQ#	Check #	PYMT TYP	WK-END	PROC-DTE	WBA	TOT-PD	FED-PD	UI-PD	EARN	PENS	SUPP	OFF-SET	INT-RCP
1	WW		1/8/2019										
2	12364	First Pay	1/15/2019	1/16/2019	300	300	0	300	0	0	0	0	0
3	23646	Cont Wk	1/22/2019	1/23/2019	300	300	0	300	0	0	0	0	0

First Payment Scenario 2 – Delayed Payment Due To Nonmonetary Redetermination

SSN	XXX-XX-XXXX													
SEQ#	Check #	PYMT TYP	WK-END	PROC-DTE	WBA	TOT-PD	FED-PD	UI-PD	EARN	PENS	SUPP	OFF-SET	INT-RCP	Status
1	WW		1/8/2019		300				0					
2		First Pay	1/15/2019		300	300	0	300	0	0	0	0	0	Denied A&A
3	23646	Cont Wk	1/22/2019	1/23/2019	300	300	0	300	0	0	0	0	0	
4	35684	Cont Wk	1/29/2019	1/30/2019	300	300	0	300	0	0	0	0	0	
5	45268	First Pay	1/15/2019	1/31/2019	300	300	0	300	0	0	0	0	0	Redet to allow

First Payment Scenario 3 – First Week in the BY After Waiting Week Has Excessive Earnings

SSN	XXX-XX-XXXX												
SEQ#	Check #	PYMT TYP	WK-END	PROC-DTE	WBA	TOT-PD	FED-PD	UI-PD	EARN	PENS	SUPP	OFF-SET	INT-RCP
1	WW		1/8/2019										
2	EXC		1/15/2019	1/16/2019	300	0	0	0	**300**	0	0	0	0
3	23646	First Pay	1/22/2019	1/23/2019	300	300	0	300	0	0	0	0	0
4	35684	Cont Wk	1/29/2019	1/30/2019	300	300	0	300	0	0	0	0	0
5	45268	Cont Wk	2/5/2019	2/6/2019	300	300	0	300	0	0	0	0	0

Partial, Continued, and Adjusted Payments

Partial payments

Reduced by earnings

Amount paid must be less than weekly benefit amount

Rules for reducing benefits vary by state

Continued weeks payments

Any payments that do not meet definition of first payment

May be paid earlier than the payment for the first compensable week

Adjusted payments

When wages are added to claim after payments have been made

Do not count as weeks compensated, but counted as dollars in the reporting period they are paid in

Combined Wage Claim Payments

As with CWC claims, CWC payment logic is totally different than the logic used to calculate first and continued payments

CWC payments also reported on 5159, 9050, and 9051 as regular UI program payments

The subset of payments paid under the CWC program are extracted twice

Report total dollars, not just the portion allocated to the other state

CWC Weeks Compensated

CWC First Payment – The first payment made after the first monetary determination using wages from more than one state.

CWC Weeks Compensated other than the First Payment

CWC Adjusted Payments

CWC Prior Weeks Compensated

Interstate CWC Weeks Compensated

Example of CWC Payments on the ETA 586

First Monetary using Wages from more than one state issued on 1/22/2019

SSN	XXX-XX-XXXX						
SEQ#	**Check #**	**PYMT TYP**	**WK-END**	**PROC-DTE**	**WBA**	**TOT-PD**	**CWC Reporting Status**
1	12364	Intra-UI	12/18/2019	12/19/2019	100	100	Prior Weeks Compensated
2	23646	Intra-UI	12/25/2019	12/26/2019	100	100	
3	26875	Intra-UI	1/1/2020	1/2/2020	100	100	CWC Weeks Compensated
4	27569	Intra-UI	1/8/2020	1/9/2020	100	100	
5	28956	Intra-UI	1/15/2020	1/16/2020	100	100	
6	35682	Intra-UI	1/22/2020	1/23/2020	200	200	CWC Wk Comp – CWC 1st Pymt
7	45621	Adj	12/11/2019	1/23/2020		100	CWC
8	45621	Adj	12/18/2019	1/23/2020		100	
9	45621	Adj	12/25/2019	1/23/2020		100	
10	45621	Adj	1/1/2020	1/23/2020		100	Adjusted
11	45621	Adj	1/8/2020	1/23/2020		100	
12	45621	Adj	1/15/2020	1/23/2020		100	Payments
13	56894	Intra-UI	1/30/2020	1/31/2020	200	200	CWC Weeks Compensated
14	69854	Intra-UI	2/8/2020	2/9/2020	200	200	
15	89651	Intra-UI	2/16/2020	2/17/2020	200	200	

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Questions on Population 4?

Population 5 Nonmonetary Determinations: Overview and DV Results

Reports validated:

ETA 207

ETA 9052

Out of 52 states:

15 states failed overall

13 failed at least one group in Population 5

2 did not submit required validation results

Population 5: DV Results

	Number of Failing States (out of 13 that failed Population 5)
Data Element Validation: 2 random samples	
Single Claimant Nonmonetary Determinations (30/100)	5
Single Claimant Redeterminations (30/100)	6
Report Validation: 10 validation report groups	
207 Total Single Claimant Dets and UCFE/UCX Redets	7
207 UI Single Claimant Redeterminations Total	5
207 Single Claimant Denials Total	6
207 UI Multi-Claimant Determinations Total	4
207 Separation Determinations Total	2
207 Separation Denials Total	2
207 UI Non Separation Determinations Total	7
207 UI Non Separation Denials Total	7
9052 Single Claimant Nonmonetary Deter Total	9
9052 Multi-Claimant Nonmonetary Deter Total	3

Population 5: Building the Extract File

Data Elements:

SSN

Issue Number (Unique ID)

Type of UI Program: Regular UI or Workshare

Program Type: UI/UCFE/UCX

Intrastate/Interstate

Determination/Redetermination

Type of Determination: Single/Multi

Issue Types: A&A, Ded. Income, MC, Nonsep, Other Nonsep, Profiling, Reporting, Sep/Other, Suitable Work, VL

First Week Affected (optional)

Detection Date: Required

Notice Date: Required

Allow or Deny

Population 5: Duplicate Detection Criteria

The software rejects duplicate records when two or more records have the same values for:

SSN

Unique ID: States often assign a sequential issue number to each issue on a claim because multiple issues of the same type can have the same notice date

Issue Type

Notice Date

Population 5: Key Issues

Includes nonmonetary determinations for Short Time Compensation Program claims (Workshare)

In states that require a week claimed to count a nonmonetary, transaction date is the date the week is claimed – that is the point it becomes a countable nonmonetary

ETA 207A 102-3 (Count of state UI single claimant total redetermination denials) only report denials where original determination allowed benefits

Adjudication experts should ensure that Module 3 correctly maps state issue codes to federal issue categories

Nonmonetary denials count claimants involved not determinations – the DV software will either over count determinations or under count claimants involved

Countable Redeterminations

Redeterminations are only countable when they are based on new facts

Some states automatically re-determine every issue that is appealed, but must screen out those not based on new facts

Does your state routinely redetermine nonmonetaries that have been appealed? Does your system have an indicator to tell if the redetermination is federally countable because it is based on new facts?

Questions on Population 5?

Population 6 and 7, Appeals Filed: Overview and DV Results

Reports Validated:

Population 6 validates lower authority appeals filed during the month

Population 7 validates higher authority appeals filed during the month

Results:

No states failed Population 6

Two states failed Population 7

Appeals file postmark vs. Receive date

For Populations 6 and 7, either date works because no time lapse calculation

Population 8 and 9, Lower and Higher Appeals Decisions: Overview and DV Results

Validates the 5130 and 9054 A and B

Out of 52 states:

8 states failed Population 8 overall

1 state failed all DV report groups and DEV for Population 9

	Number of Failing States (out of 8 who failed Population 8)
Data element validation: 1 random sample	
Lower Authority Appeals Decisions (60/200)	4
Report validation: 6 validation report groups	
5130 All Decisions Total	4
5130 UI Disposed of During Month Total	3
5130 UI Decision(by Type) Total	3
5130 UI in Favor of Appellant Total	4
5130 UI Decision (by Issue) Total	3
9054 All Appeals Total	3

Population 8 and 9: Building the Extract File

Data Elements:

SSN
Docket #/Unique ID
Type of UI
Type of UI Program
Program Type
Intrastate/Interstate
Appeal Level
Type of Appeal (Single or Multiclaimant)
Number of Claimants in Multiclaimant Appeal
Appellant
In Favor of Appellant
Filed Date
Decision Date
Disposed of by Decision
Issue Code

Populations 8 and 9: Duplicate Detection Criteria

Populations 8 and 9:

SSN

Docket #/Unique ID

Population 8 and 9: Key Issues

For multi-claimant appeals, states either store a record for each appellant involved or one record with the number of appellants

"Disposed of by decision" data element is optional

Label appeals for Short Time Compensation Program as "Workshare" for Type of UI Program

Data element validation includes review of appeals case files to ensure that the data elements meet the federal definition

Cases Remanded by Higher Authority Appeals

"Remanded to lower authority for additional evidence" – not a decision, and is excluded from Population 9 file

"Remanded for rehearing" counts as a higher authority decision and should be labeled as "not in favor" of appellant even though the decision was neither in favor nor not in favor of appellant

If a large number of remanded cases causes Population 9 to fail, note the number in the comments field

Does your state maintain an indicator that an appeal is federally countable even if it was a "withdrawal, dismissal or no show" because a referee reviewed the case?

Population 10 and 11, Appeals Case Aging: DV Results

Population 10

6 states failed overall

6 failed at least one group

0 did not submit required validation result

Population 11

4 states failed overall

4 failed at least one group

0 did not submit required validation results

	Number of Failing States (out of 8 that failed Populations 10 and 11)
Report Validation: 4 validation report groups	
Average Age (days) [for Lower Authority Appeals]	6
9055 Lower Authority Appeals Case Aging Total	5
Average Age (days) [for Higher Authority Appeals]	4
9055 Higher Authority Appeals Case Aging Total	3

Population 10 and 11: Building the Extract File

Population 10

SSN

Docket #/Unique ID

Appeal Level

Appeal Pending

Filed Date

Population 11

SSN

Docket #/Unique ID

Appeal Level

Appeal Pending

Filed Date

Population 10 and 11: Duplicate Detection Criteria and Key Issues

The software rejects duplicate records when two or more records have the same:

SSN

Docket #/Unique ID

Key issues include:

Make sure the report and extract program are run on the same day

      Capturing the lower authority and higher authority appeals data at the end of the month

Appeal pending is an optional field (used if the state stores information to indicate the appeal is undecided)

Tax appeals should not be included

Questions on Appeals Populations?

Topics for future discussion

If there are other topics you have questions about or would like us to discuss, please let us know through the chat box, or by emailing us:

- **Rachel Beistel: Beistel.Rachel@dol.gov**

- **Jonathan Ladinsky: JLadinsky@mathematica-mpr.com**

We can address any proposed topics or questions at a future clinic session

We welcome your feedback

Please provide any feedback you may have on today's clinic through the chat box or by email:

- **Rachel Beistel: Beistel.Rachel@dol.gov**

- **Jonathan Ladinsky: JLadinsky@mathematica-mpr.com**