

Summary of Data Validation Results Status for Validation Year 2010

Introduction

The purpose of the Data Validation (DV) program is to verify the accuracy of the Unemployment Insurance (UI) data that states report on a monthly and quarterly basis on the Unemployment Insurance Required Reports (UIRR). To facilitate the validation of these data, the program is composed of four components: Benefits, Tax, Module 4, and Module 5. Benefits validates data of 15 populations (groups of transactions), Tax validates data of 5 populations, Module 4 validates benefits data of two quality samples and tax data of five quality samples, and Module 5 validates tax data of one sample of wage items. Collectively all four components contain 28 DV items to validate. States with no higher-appeal system need to validate only 25 of these items.

In addition of validating these items, starting in VY 2010, the DV program also requires states to certify each year that their Benefits and Tax Module 3s are up to date. Module 3 provides the set of state-specific instructions that the validator uses for validating data elements in Benefits and Tax.

States send validation results for all DV items to the National Office every year or every three years, as established by the program rules. The validation activities are defined in terms of “validation years”. The validation year (VY) coincides with the State Quality Service Plan (SQSP) performance year. It covers data of any reporting period during the twelve months beginning April 1 and ending March 31. States must submit DV results to the National Office by June 10.

A state is in compliance with the DV program if it has passed all three DV items used to calculate Government Performance and Results Act (GPRA) measures within the last validation year, and the rest of the items within the last three validation years; and has certified their Benefits and Tax Module 3s in the last validation year. To pass GPRA items, the state must pass Benefits Populations 4 and 12, and Tax Population 3.

For the purpose of this report, any item has “passed” validation if it satisfies the compliance rules described above.

Overall Results

The following table shows DV results for Benefits, Tax, and Modules 4 and 5 combined, for VY 2010 and VY 2009.

Data Validation Results Status for VY 2010 and VY 2009							
Validation	Number of State Validations				Percent of State Validations from Total Items		
	Passed	Failed	Not Submitted	Total Items	Passed	Failed	Not Submitted
Validation Year 2010							
Benefits	342	186	252	780	43.8%	23.8%	32.3%
Tax	130	41	94	265	49.1%	15.5%	35.5%
Module 4 & 5*	252	35	137	424	59.4%	8.3%	32.3%
Total Validations	724	262	483	1469	49.3%	17.8%	32.9%

Data Validation Results Status for VY 2010 and VY 2009							
Validation	Number of State Validations				Percent of State Validations from Total Items		
	Passed	Failed	Not Submitted	Total Items	Passed	Failed	Not Submitted
Validation Year 2009							
Benefits	292	169	319	780	37.4%	21.7%	40.9%
Tax	119	61	85	265	44.9%	23.0%	32.1%
Module 4 & 5*	258	64	102	424	60.8%	15.1%	24.1%
Total Validations	669	294	506	1469	45.5%	20.0%	34.4%
Change from VY 2009 to VY 2010							
Benefits	50	17	-67		6.4%	2.2%	-8.6%
Tax	11	-20	9		4.2%	-7.5%	3.4%
Module 4 & 5*	-6	-29	35		-1.4%	-6.8%	8.3%
Total Validations	55	-32	-23		3.7%	-2.2%	-1.6%

* VY 2010 results for Module 4 are not strictly comparable with VY 2009 results because states are now required to validate BTQ Separation and Non-separation samples separately. This adds 53 DV items due for VY 2010. For the purpose of this table, states passing Non-monetary BTQ sample before VY 2010 are credited with passing both Separation and Non-separation sample validations.

The 53 states are responsible collectively for validating 1,469 DV items, over half of which are Benefits populations. As of VY 2010, states have submitted results for about two thirds of these items. Forty-nine percent of all items have passed validation; and 18% have failed. Modules 4 and 5 had the highest percentage of items that passed validation with 59%, followed by Tax with 49%. Although the percentage of total items that passed validations was higher in VY 2010 than in VY 2009, the detailed results were somewhat mixed. The total number of items that passed for Benefits increased by 6% and by 4% for Tax in VY 2010. However, the number of validations that were due but not submitted increased by 8% for Modules 4 and 5, and by 3% for Tax; and the number of items that passed validation decreased by 1% for Modules 4 and 5.

Two states, Florida and Utah, passed all validations. Puerto Rico passed all but one. Two states, Virgin Islands and Minnesota, have submitted no validation results or certifications. Seven states submitted no Benefits validation results (down from 9 in VY 2009), 12 states submitted no Tax validation results (down from 13 in VY 2009); five states submitted no Benefits or Tax results. Seven states did not submit any Module 4 or 5 results.

Nineteen states completed the new requirement to certify that their Benefits Module 3 is up-to-date, and 22 states certified their Tax Module 3.

Only Utah satisfied all DV requirements for VY 2010, i.e., has completed all validations and certifications.

Benefits Results

By the end of VY 2010, states have submitted about 68% of all Benefits populations. Of these, 44% passed and 24% failed. The percentage of validations not submitted decreased by 9% from the previous year, and the percentage of validations that passed increased by 6%. Populations 6 and 7 had the highest rates of passed validations with over 70%, followed by Population 2 with 64%, and Populations 9, 10, and 11 with

58%-60%. Population 3 had the lowest rate of passed validations with 9%; but five states passed validation for this population in VY 2010, versus only one in VY 2009.

Florida and Utah have passed all Benefits populations as of VY 2010. Puerto Rico has passed 14 and Missouri, 13. Thirteen states have passed 10 to 12 populations. Seven states submitted no Benefits populations in VY 2010 that were due, accounting for 39% of populations that were not submitted. The number of states submitting no Benefits populations in the validation year due has been declining over the past three years, from 13 in VY 2008, to nine in VY 2009, and seven in VY 2010.

U.S. Totals for DV Benefits Population Results for VY 2010								
Population		Number of State Validations				Percent of State Validations from Total Items		
		Passed	Failed	Not Submitted	Total Items	Passed	Failed	Not Submitted
1	<i>Weeks Claimed</i>	26	9	18	53	49.1%	17.0%	34.0%
2	<i>Final Payments</i>	34	3	16	53	64.2%	5.7%	30.2%
3	<i>Claims and Claims Status, and Monetary Determinations</i>	5	25	23	53	9.4%	47.2%	43.4%
3a	<i>Monetary Determinations</i>	28	9	16	53	52.8%	17.0%	30.2%
4*	<i>Payments</i>	7	24	22	53	13.2%	45.3%	41.5%
5	<i>Nonmonetary Determinations and Redeterminations</i>	17	16	20	53	32.1%	30.2%	37.7%
6	<i>Appeals Filed, Lower Authority</i>	38	4	11	53	71.7%	7.5%	20.8%
7	<i>Appeals Filed, Higher Authority**</i>	34	4	10	48**	70.8%	8.3%	20.8%
8	<i>Appeals Decisions, Lower Authority</i>	26	12	15	53	49.1%	22.6%	28.3%
9	<i>Appeals Decisions, Higher Authority**</i>	28	7	13	48**	58.3%	14.6%	27.1%
10	<i>Appeals Case Aging, Lower Authority</i>	31	9	13	53	58.5%	17.0%	24.5%
11	<i>Appeals Case Aging, Higher Authority**</i>	29	6	13	48**	60.4%	12.5%	27.1%
12*	<i>Overpayments Established</i>	13	20	20	53	24.5%	37.7%	37.7%
13	<i>Overpayment Reconciliation Activities</i>	11	21	21	53	20.8%	39.6%	39.6%
14	<i>Age of Overpayments</i>	15	17	21	53	28.3%	32.1%	39.6%
Totals								
VY 2010 Total		342	186	252	780	43.8%	23.8%	32.3%
VY 2009 Total		292	169	319	780	37.4%	21.7%	40.9%
Change from VY 2009 to VY 2010		50	17	-67	0	6.4%	2.2%	-8.6%

* Population contains a GPRA item and must be validated every year

** Five states do not have higher appeal systems and hence do not need to validate this item

Tax Results

In VY 2010, the percentage of passed validations in Tax was lower than in Benefits by 3%. By the end of VY 2010, states have submitted about 65% of all Tax populations. Of these, 49% passed and 16% failed. Although the rate of passed validations increased from 45% in VY 2009 to 49% in VY 2010, the number of validations that were due but not submitted increased by 3%. Populations 1 and 5 had the highest rate of passed validations with over 60%, followed by Population 2 with 47%, and Population 3 with 42%. Population 4 had the lowest rate of passed validations with 25%.

Eight states have passed all Tax populations by VY 2010, and 11 states have passed four populations, which is an increase from seven in VY 2009. Twelve states did not submit any validations, down from 13 states in VY 2009. Of the 94 populations due but not submitted in VY 2010, the states that submitted no Tax populations accounted for 64%.

U.S. Totals for DV Tax Population Results in VY 2010								
Population		Number of State Validations				Percent of State Validations from Total Items		
		Passed	Failed	Not Submitted	Total Items	Passed	Failed	Not Submitted
1	<i>Active Employers</i>	36	2	15	53	67.9%	3.8%	28.3%
2	<i>Report Filing</i>	25	9	19	53	47.2%	17.0%	35.8%
3*	<i>Status Determinations</i>	22	9	22	53	41.5%	17.0%	41.5%
4	<i>Accounts Receivable</i>	13	17	23	53	24.5%	32.1%	43.4%
5	<i>Field Audits</i>	34	4	15	53	64.2%	7.5%	28.3%
Totals								
VY 2010 Total		130	41	94	265	49.1%	15.5%	35.5%
VY 2009 Total		119	61	85	265	44.9%	23.0%	32.1%
Change from VY 2009 to VY 2010		11	-20	9	0	4.2%	-7.5%	3.4%

* Population contains a GPRA item and must be validated every year

Module 4 and 5 Results

By VY 2010, a higher percentage of Modules 4 and 5 validations have passed than Benefits or Tax populations. States have submitted about 69% of all validations. Of these, 59% passed and 8% failed. The submission rate was about 8% lower than in VY 2009. The Field Audit Acceptance sample had the highest percentage of passed validations for Module 4 with 74%, followed by Wage Items for Module 5 with 70%. The percentage of passed validations for all other quality samples of Module 4, was between 53% and 59%

Twenty six states submitted all Module 4 and 5 items (up from 25 in VY 2009). Sixteen states passed them all by VY 2010 (an increase from 13 in VY 2009), and six others passed all but one validation. On the other hand, seven states were due to submit

all Module 4 and 5 validations but submitted none (an increase from only three states in VY 2009).

U.S. Totals for Module 4 and 5 Results in VY 2010							
Validation	Number of State Validations				Percent of State Validations from Total Items		
	Passed	Failed	Not Submitted	Total Items	Passed	Failed	Not Submitted
Module 4							
Separations	28	5	20	53	52.8%	9.4%	37.7%
Nonseparations	29	4	20	53	54.7%	7.5%	37.7%
Appeal	31	4	18	53	58.5%	7.5%	34.0%
New Stat	28	8	17	53	52.8%	15.1%	32.1%
Successor	30	7	16	53	56.6%	13.2%	30.2%
Inactiv/Termin	30	6	17	53	56.6%	11.3%	32.1%
Field Audit	39	1	13	53	73.6%	1.9%	24.5%
Module 5							
Wage Items	37	0	16	53	69.8%	0.0%	30.2%
Totals							
VY 2010 Total	252	35	137	424	59.4%	8.3%	32.3%
VY 2009 Total	258	64	102	424	60.8%	15.1%	24.1%
Change from VY 2009 to VY 2010	-6	-29	35	0	-1.4%	-6.8%	8.3%

Module 3 Certifications

States began using new Module 3 software in VY 2010 to maintain their Benefits and Tax Module 3's, and they were required to submit a certification that the Module had been reviewed and was up to date. Certifications were received for 43% of the Module 3s; 39% of all Module 3's were certified as up to date. For five-- four Benefits and one Tax Module 3—the software was used to say that the state could not certify that the Module 3 was up to date. No certifications had been submitted for 57% of them. Twenty-one states submitted no information on either of their Module 3's.

U.S. Totals for DV Module 3 Certifications in VY 2010							
Module 3	Number of Certifications				Percent of Total Certifications Due		
	Up to Date	Not up to Date	Not Submitted	Total	Up to Date	Not up to Date	Not Submitted
<i>Benefits</i>	19	4	30	53	35.8%	7.5%	56.6%
<i>Tax</i>	22	1	30	53	41.5%	1.9%	56.6%
Total	41	5	60	106	38.7%	4.7%	56.6%