Employment & Training Administration

UI Tax
Data Validation
Software

User's Guide

August 2003

II. INSTALLATION

Table of Contents

I. OVERVIEW

Welcome to the UI Tax Data Validation Software User's Guide. This user's guide provides an introduction to the process of using the UI Tax Data Validation Software to import and validate data from the ETA 581 report. The software includes a demo database with sample data, so users can review the full functionality of the software prior to building their own extract files.

It is recommended that you review this User's Guide and the UI Tax Data Validation Handbook thoroughly, prior to using the software.

The User's Guide contains the following sections:

II. **Installation:** Provides a step-by-step description of how to install the software on your PC, including how to load the software when using an SQL database.

III. **Tutorial:** Provides information on the menus and functions of the software. Describes how to build an extract file, import data, and validate a population.

IV. **Reference:** Provides a condensed list of all the menus and functions for quick reference.

V. **Record Layouts:** Contains the record layout specifications for creating the files to import into the data validation software.

After reviewing this guide, users should contact Mathematica Policy Research, Inc. by emailing UITA@mathematica-mpr.com with any questions on using the software.

II. INSTALLATION

Step 1—Uninstalling Previous Versions of the Application

Before you install a new version of the UI software it is recommended that you uninstall the existing version of the software. Please follow the normal process for uninstalling software on your computer. In addition, if you are using SQL make sure to archive and erase your previous SQL database, as this may not happen automatically during the uninstall process.

Step 2—Download from Internet or From CD-ROM

Before starting installation of the software, quit any other programs that may be running. Insert the CD into the CD-ROM drive and open up the CD-ROM directory, or download the software through the Internet from http://www.ows.doleta.gov/dv/. The download is a zip file. Once the download is complete, copy the zip file to your PC. However, do not copy it to your C:\ Program Files folder.

Click on "Setup.exe". The InstallShield Wizard window will pop up after "Preparing to install…" is complete. Click on the "Next" button. Complete the Customer Information window as necessary, and click on "Next."

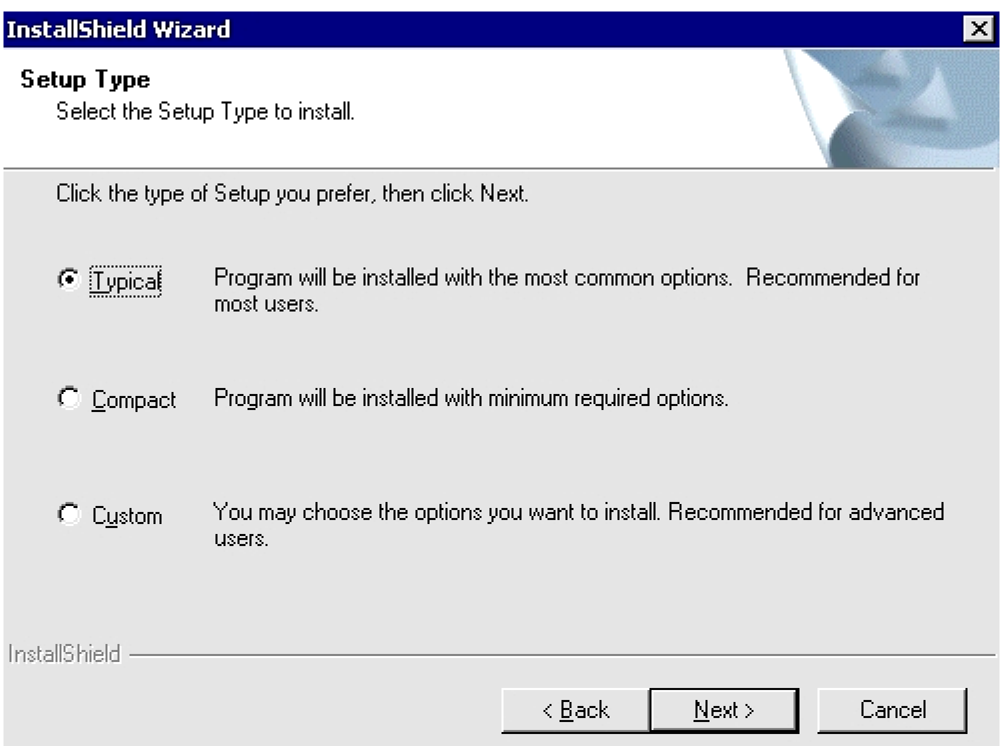
Minimum System Requirements:

Operating System – Microsoft Office 97 or better
RAM - 128 megabytes
Disk Space - 250 megabytes
Processor – 400 mhz Pentium III (or equivalent processor)
Suggested screen area – 800x600

Step 3—Choose Destination Location

The Choose Destination Location window of the InstallShield Wizard Setup allows the user to select the installation directory. The software defaults to C:\Program Files\UITax, as shown in the Destination Folder text box. To install the software in a different folder, click on the *Browse* function and navigate to the desired location. Make note of the software directory that is selected if using a location other than the default C:\Program Files. Click on "Next."

Even if you have completely uninstalled a previous version of the software, it is possible that there are registry remnants which can be detected by the InstallShield Wizard. Consequently, the following screen may appear. If this screen does not appear, simply follow the ensuing prompts by clicking "Next", as the Setup Type window is not a required element for successful installation. If the Setup Type window does appear, select Typical and then click Next.



The Start Copying Files window will appear next. You will not have to change any settings in this window, so click “Next”. When installation is complete, the InstallShield Wizard Complete window will pop up. This window may prompt you to restart your computer.

Step 4—Restarting Computer

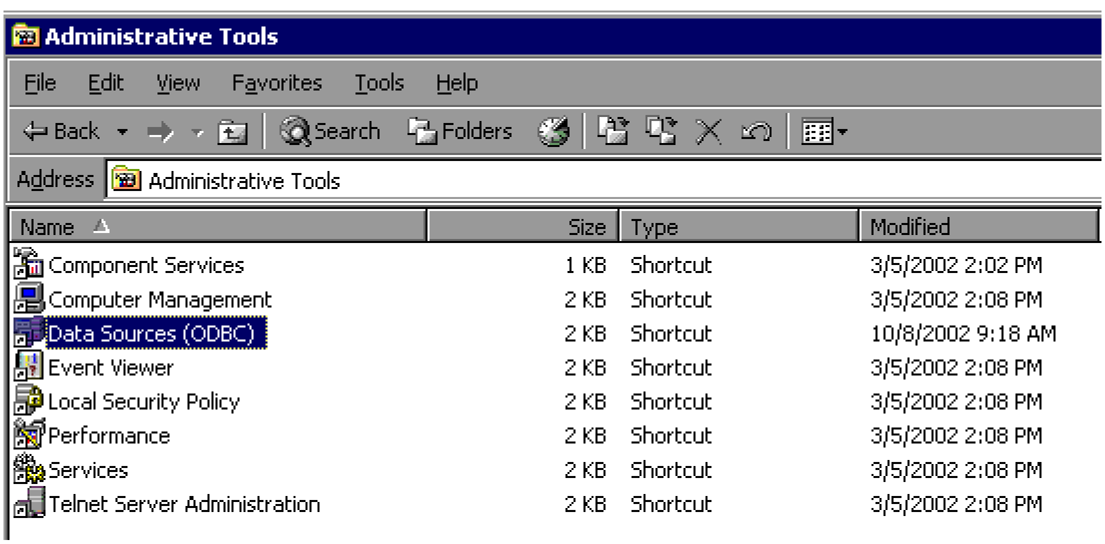
After completing the UI Tax InstallShield Wizard installation setup, reboot your computer before continuing any further. If the InstallShield Wizard Complete window does not prompt you to restart your computer, simply restart the computer as you would normally.

Step 5—Select the Driver – For MS ACCESS database

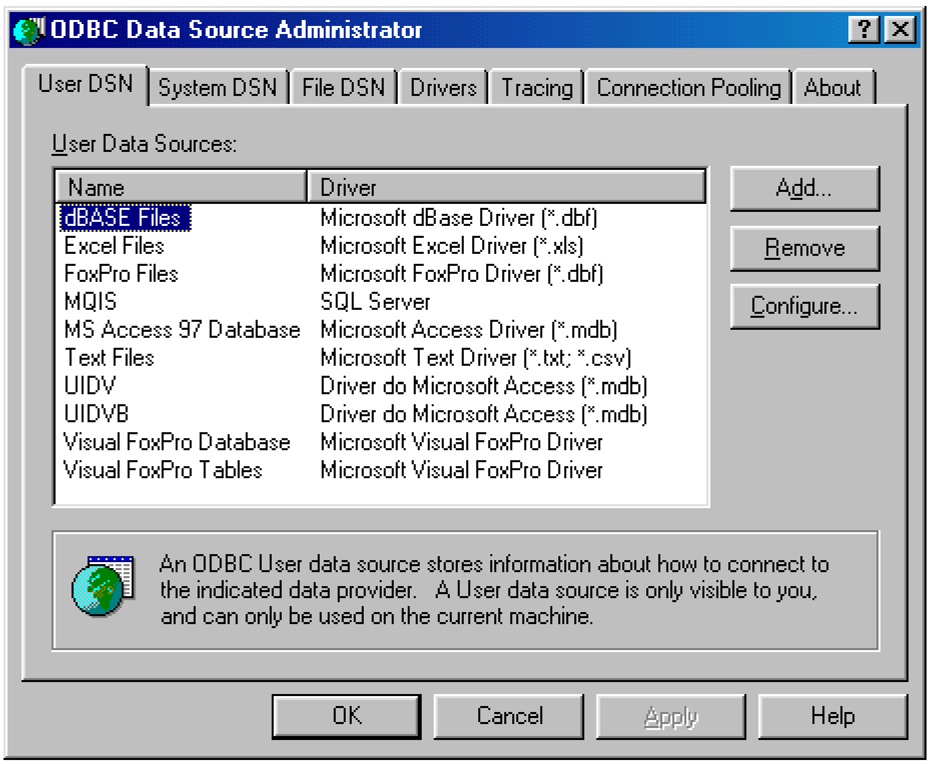
Step 5 is needed to add a database, access the demo database, change the default database, or install the application somewhere besides the default location. The UI DV software must link to the appropriate database in order to work properly.

Skip to Step 6 if you are using MS SQL Server.

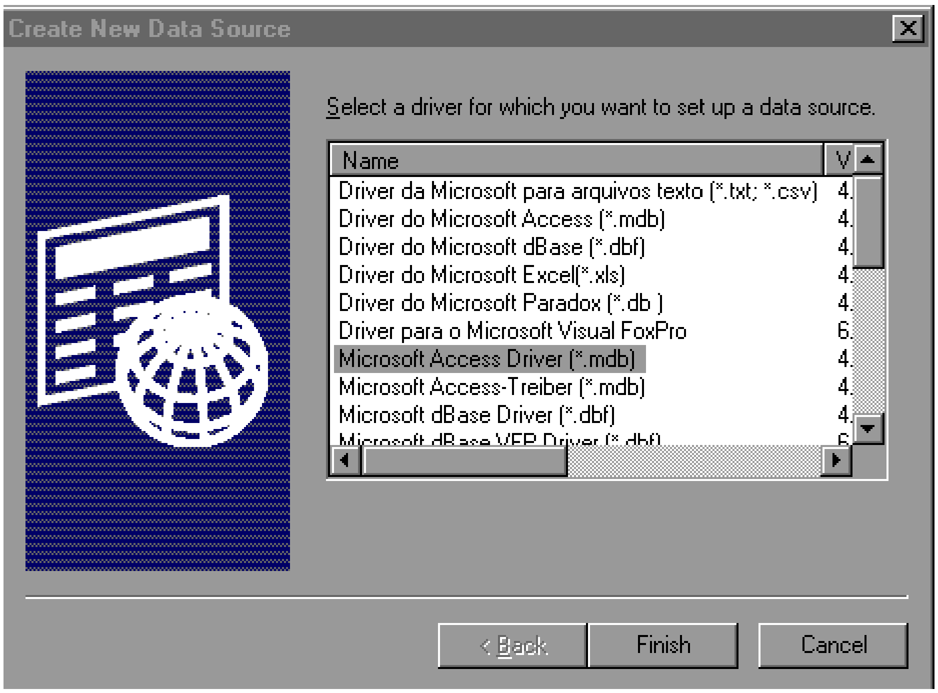
Go to the Settings – Control Panel. In the Control Panel window select ODBC Data Sources {32bit} if using Windows 98. If using Windows 2000 select Administrative Tools and then Data Sources (ODBC). Double click.



In the ODBC Data Source Administrator window, on the User DSN tab, click "Add," regardless of the data source name that is highlighted.



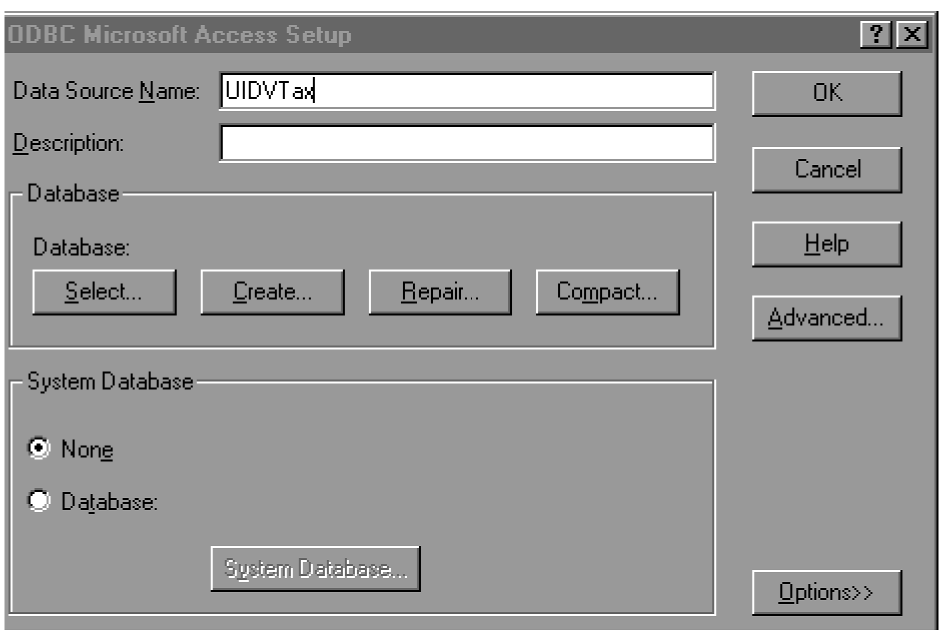
In the "Create New Data Source" window, select the Microsoft Access Driver (.mdb) and click "Finish."



II. INSTALLATION

The ODBC Microsoft Access Setup window will pop up. Enter the data source name, which is "UIDVTax". Then go down to the "Database" option and click the "Select" button.

Note that all database setups in SQL or Access must have a data source name beginning with the prefix "UIDVTax" and there should be no spaces in the data source name. For example, users should enter UIDVTaxDemo as the data source name for the demo database included with the software application. This ensures that these additional databases will appear in the Switch Database function. For more information about the Switch Database function, see Section F of Chapter IV: Reference Guide.

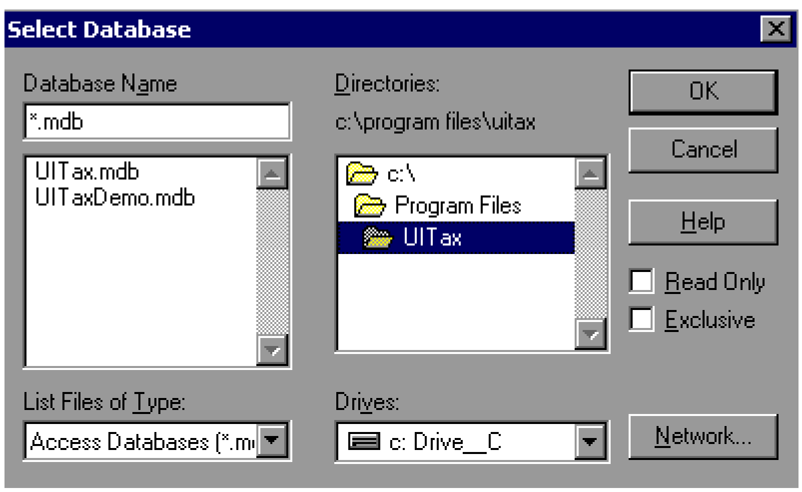


II. INSTALLATION

The Select Database window will pop up with your C: drive and file folders (unless you have chosen to save the file elsewhere). Open the Program Files folder and scroll down until you see the UITax folder. When you open this folder, the UITax.mdb and UITaxDemo.mdb should appear in the left window. States should select the UITax.mdb to conduct their state validation as described in the Tutorial chapter of this user's guide. The UITaxDemo.mdb includes demo data, to allow new users to view the functionality of the software before building their validation files.

Highlight the applicable database and click "OK."

If the software was installed in different directory, follow this procedure using the appropriate directory.



Click "OK" on each of the open screens to close them.

II. INSTALLATION

The following applies to users of Win 2000, XP and NT:

For some users of Win 2000, XP and NT, the data source may not be linked to the correct database or to any databases, which prevents the application from functioning.

To determine if the correct database is selected, select the Data Sources (ODBC) in the Control Panel—Administrative Tools, User DSN tab. Check that the UIDVTax is linked to the right database. To do this, double click on the UIDVTax Data Source (ODBC) and check the path under the “database” section. If the application was saved to the C: drive then the database should be in the C:\Program Files\UITax\UITax.mdb folder. If the software was saved to another location, ensure that the data source points to this other folder and database.

Some users of Win 2000, XP and NT may also need to set up the ODBC in the System DSN tab under Administrative Tools. This setup procedure is identical to the procedure used on the User DSN tab.

If you are still experiencing difficulties accessing the software after checking the data source, you should consult your system administrator.

II. INSTALLATION

The following applies to states who want to provide multi-user access to a pre-loaded database:

Definitions:

The term *local* is used to describe when a change is made on the user's machine

The term *central* is used to describe when a change is made, in this case, to a database not located on the user's machine

Instructions:

1. One user loads the extract file to be validated to user's local machine.

2. Compact the database (under the Utilities Menu) and close out the software.

3. Find the local UI Tax software directory (note the default directory is C:\Program Files\UITax).

4. Find the UI Tax database called "UITax.mdb" (or the database into which the extract was loaded); note that this database contains the extract file that was imported in addition to the FIV/DEV worksheets that will be completed for validation.

5. Save the local UI database to a central location where other users can access it in order for them to individually complete the validation worksheets. Typically this location will be a drive on a network server.

6. Users who are completing the validation worksheets using the database on the server must know where the database is stored and the name of the database. They must also have the UI Tax software loaded locally on their machines (note that all of the users will need to have the same version of the software).

7. Users who will be completing the validation worksheets using the database located on the network/server have to be VERY careful not to accidentally import into the central database because it will pull a new sample and all previous work by other users will be lost. In order to prevent this from happening, it is highly recommended that each user attaching to the central database locally create a new ODBC Data Source for this task.

   A new Data Source (other than UIDVTax) can be created as long as the prefix to the Data Source Name is "UIDVTax" (for example, "UIDVTaxstate" or "UIDVTaxserver"). Note that the software default is to connect to the Data Source Name "UIDV" so be certain to rename it so as to prevent losing completed work by other users. Refer to the User's Guide instructions on how to set up an ODBC Data Source.

8. After creating a new Data Source for the centrally located database, each user must go to the Utilities menu in the application and select "Switch Database." Under "Switch Database," the user should select the central database that contains the validation worksheets.

9. Once connected to the central database, the user can begin validating the worksheets locally by going to "FIV Samples Worksheets" under the FIV/DEV menu.

NOTE #1: Once the database is saved in a central location, users should only input the results of the validation on the worksheets. They should not import any records or make any other changes to the database.

NOTE #2: Although multiple users can access a database in a location other than their local hard drives, only ONE user may access a particular worksheet at a time. Changes will not be saved if more than one user is accessing the *same* validation worksheet.

NOTE #3: Steps 1-2 are conducted locally because loading extract files into a database located on a network/server results in significantly delayed import times.

Step 6—Load the SQL Database – For MS SQL database users only

Since the Access database has a maximum capacity of 1.0 gigabytes, states with very large data files may prefer to use the SQL database version of the UI DV Tax software. The user functionality of the Access and SQL databases is identical.

A file named UITax.sql is located in the UITax folder. This file contains the SQL code required to create and load a SQL database version of the UI Tax Data Validation software.

The following steps are necessary to create the SQL version of the UIDV Tax Software:

1. Open the UITax.sql file.

2. Modify the "CREATE DATABASE" part of the code to direct the database to a valid folder on your network.

3. Once you have modified the file, use SQL Query Analyzer to run the UITax.sql script file.

Once the steps are complete the database is created.

II. INSTALLATION

After the SQL database is created, 15 text files need to be imported into the SQL database. Listed below are the names of the text files located in the UITax folder. Each file name corresponds to the table name in the database. Select each one and import it into the SQL database.

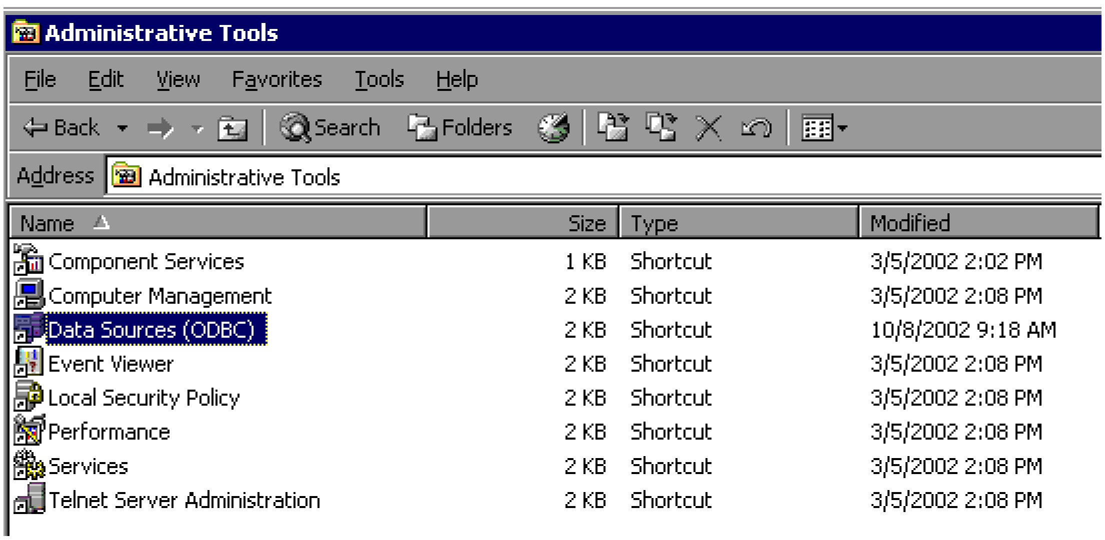
System
SamplingDef
DatElementVal
DatElementValComments
TblWageItemValWS
ReportedCounts1
ReportedCounts2
ReportedCounts3
ReportedCounts4
ReportedCounts5
Record_Layout1
Record_Layout2
Record_Layout3
Record_Layout4
Record_Layout5

Once all files are imported, the SQL version will be ready to run.

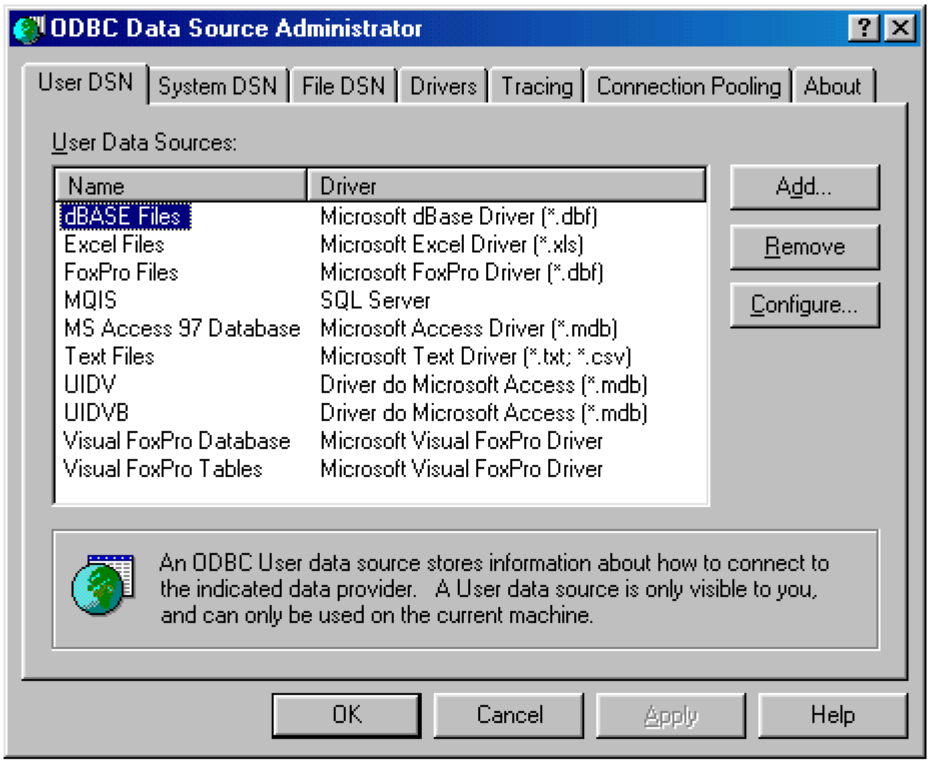
Step 7—Select the Driver – For MS SQL database users only

This instruction will work only if you have already created the UI Tax database in SQL Server.

Go to the Settings – Control Panel. In the Control Panel window select ODBC Data Sources {32bit}. If using Windows 2000 select Administrative Tools and then Data Sources (ODBC). Double click on this.

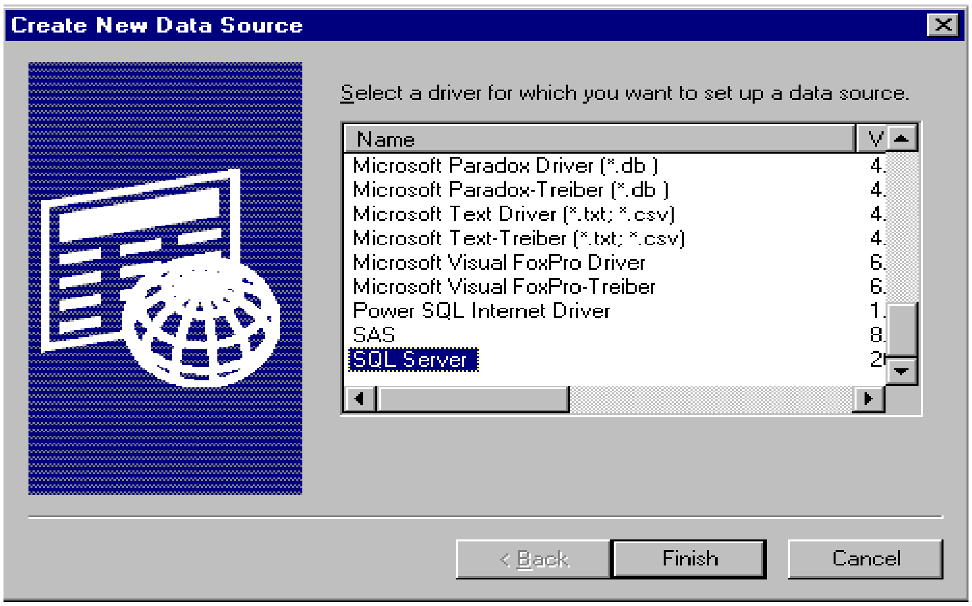


In the ODBC Data Source Administrator window, go to the User DSN tab, and click the "Add" button.

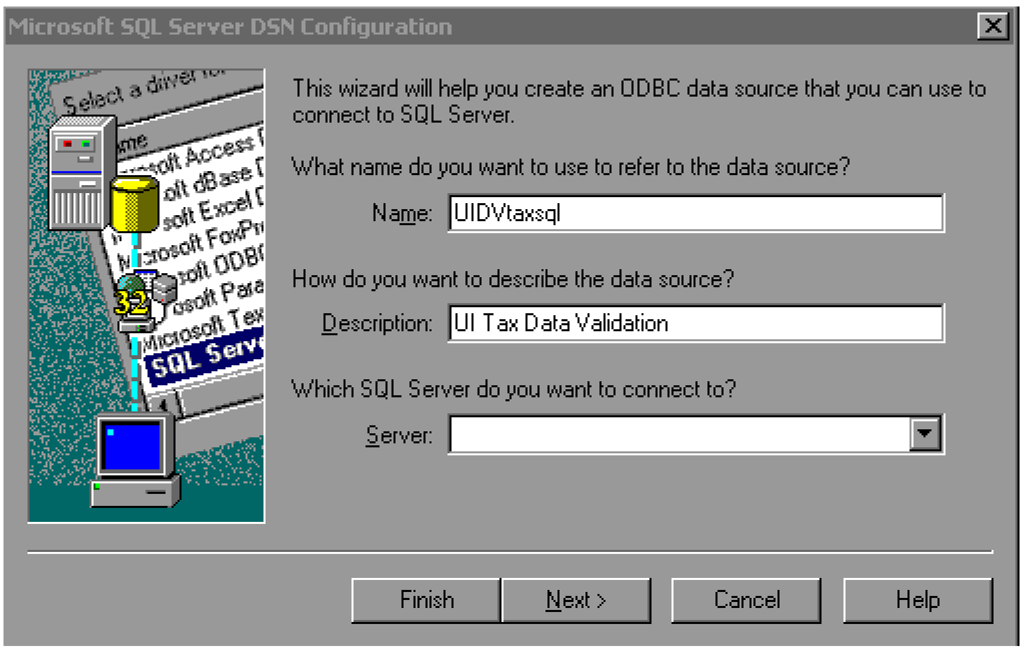


II. INSTALLATION

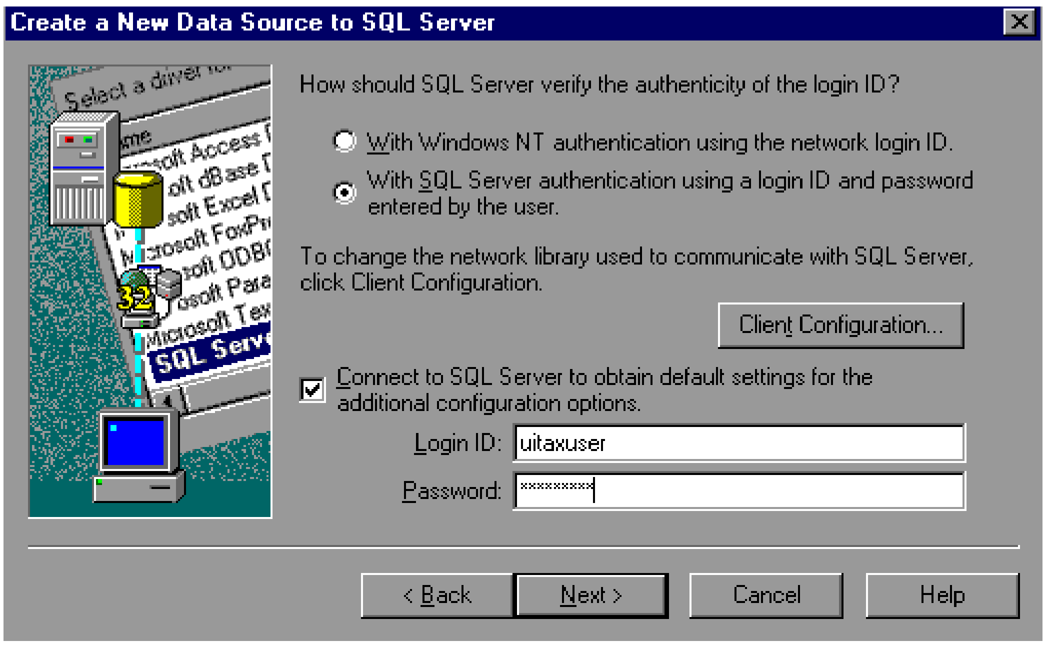
In the Create New Data Source window, select the "SQL Server" driver and click "Finish."



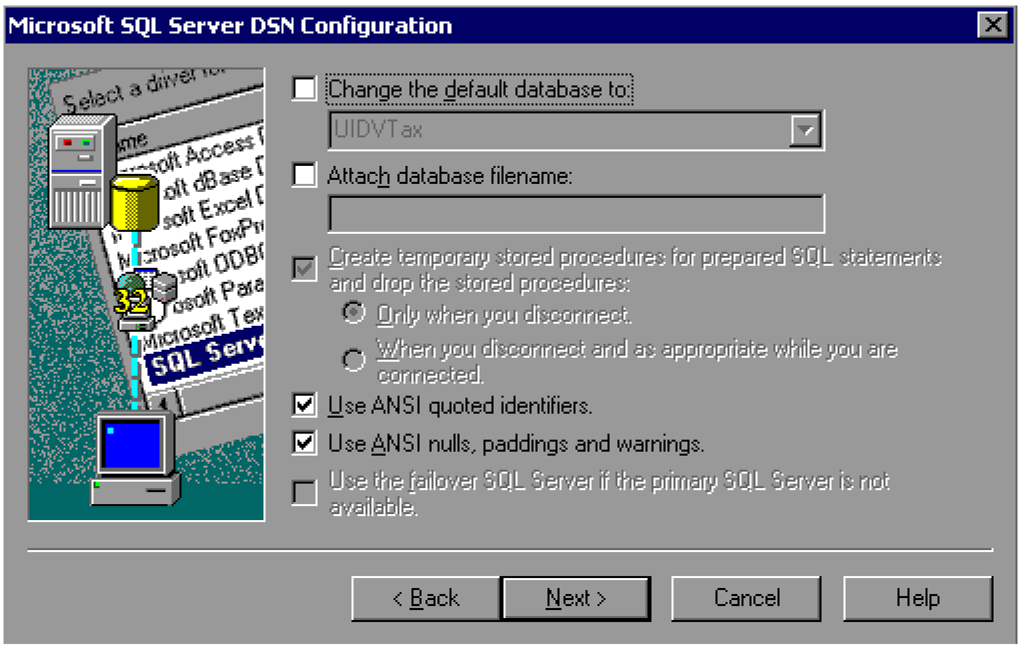
In the Microsoft SQL Server DSN Configuration window, enter the data source name which is "UIDVTaxsql". Enter the description, which is "UI Tax Data Validation." Select the Server Name that contains the UIDV Tax database. Press Next to continue.



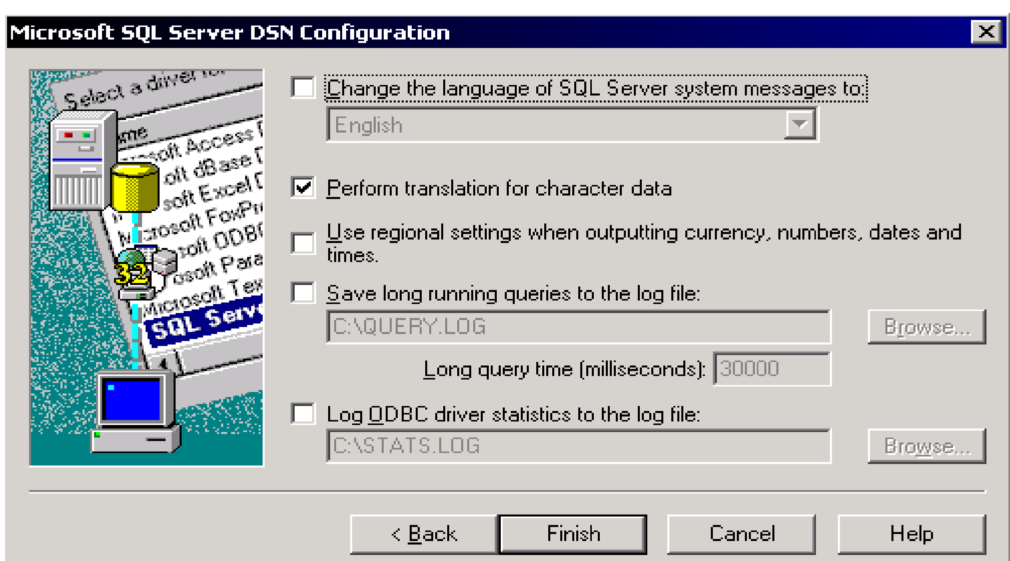
In the Create a New Data Source to SQL Server window, double click on the second bullet “With SQL Server authentication…” Then enter Login ID “uitaxuser”, Password “uitaxuser”. Press Next.



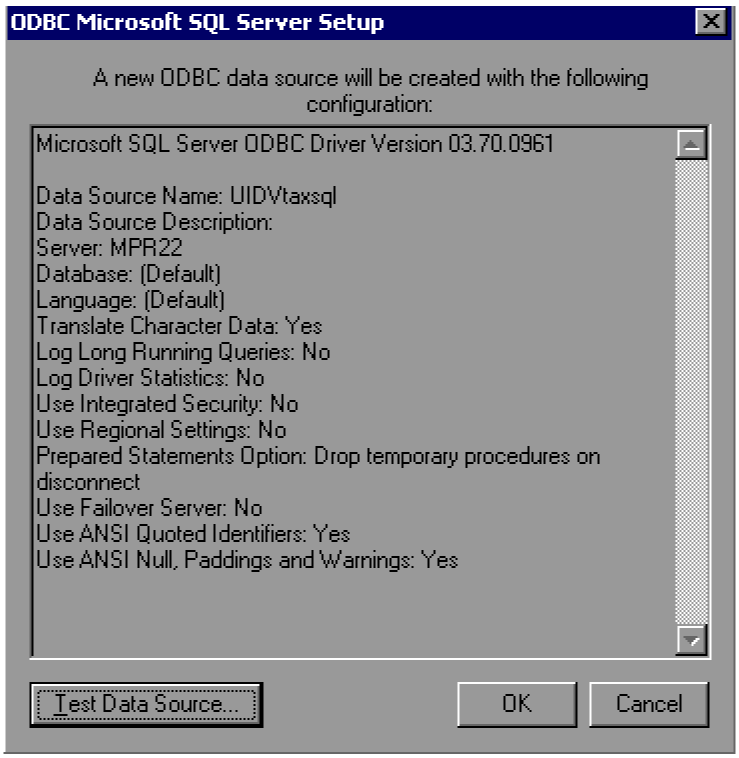
On the next Microsoft SQL Server DSN Configuration screen that appears, press Next.



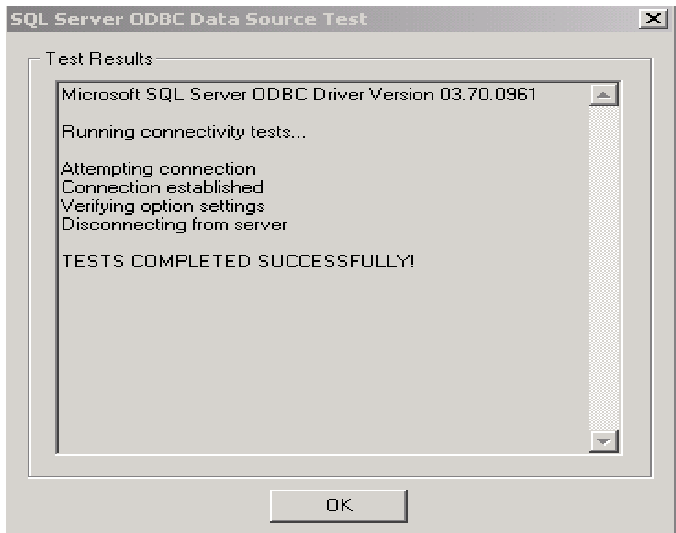
Press Finish when the next SQL configuration screen opens.



Click on Test Data Source in the ODBC Microsoft SQL Server Setup window to test if you are successfully connected to your SQL server.



Click OK on the Test Results screen if the connection is successful. Click OK until you return to the Control Panel. It is not necessary to reboot before using the application.



III. TUTORIAL

This chapter provides information on the validation functions of the software. Following are brief summaries of each chapter section.

A. Signing In

Section A describes how to open and sign in to the software for specified populations of data and specified reporting periods. This section also describes how to change the reporting options after the initial sign in.

B. Importing Records

Section B describes how to build and import population files, so the software can validate the ETA 581 report. This section also describes how to access and review duplicate detection and error reports of records rejected by the software during the import process.

C. Report Validation

Section C describes how to enter reported values for comparison to the validation values generated from the population files. This section also describes how to access and review the report validation summary, and access and analyze records in the report validation table. Finally, this section describes how to export the report validation summary to a text file for submission to the national office.

D. File Integrity Validation and Data Element Validation

Section D describes how to conduct file integrity validation for a sample of records and data element validation for specific subpopulations. The instructions cover how to access and utilize the on-line worksheets, how to print the worksheets, how to access the summary/analytical report, and how to export the report validation summary to a text file for submission to the national office. Section D also covers TPS validation and wage item validation.

III. TUTORIAL

A. Signing In

Step 1—Opening the Software

Go to the Start menu and click on Programs. Scroll to find **UITax** and then click on it.

If users have difficulty opening the application even though it appears to have installed properly, then some application files may need to be manually registered. Users may receive error messages such as:

> UI Tax error
> Error 1904 Module C:\programfiles\UITax\crviewer.dll failed to register.
> HRESULT contact your support personnel

These are random error messages and can be resolved by manually registering the individual file or files that failed to register. To manually register such files, go to your Start menu and select Run. In the Run box, in the Open field, type in "cmd". This opens the DOS prompt box. At the prompt type in the regsvr32 command in the following format.

```
regsvr32    "PathName"
```

where pathname is the full location with the file name given in the error message, with quotes around it. For example, in response to the error message above, you would type in:

```
regsvr32  "c:\programfiles\UITax\crviewer.dll"
```

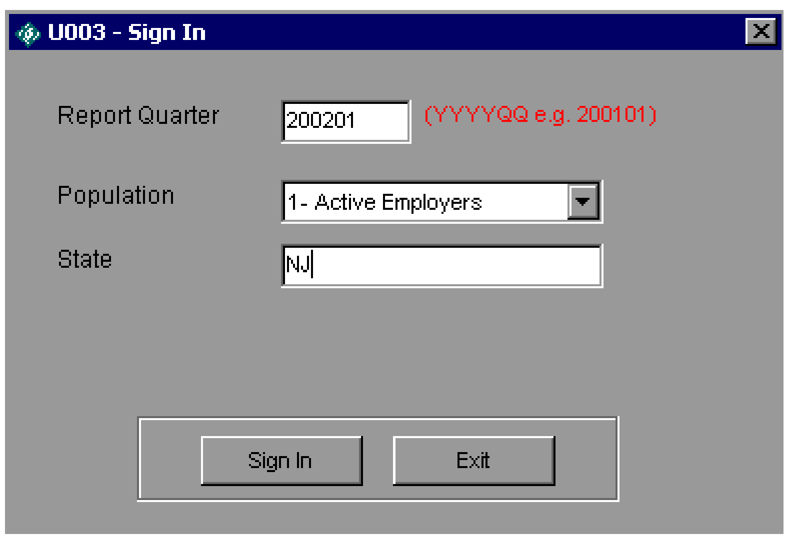
This manually registers the file that did not register through the batch installation process. Repeat this process for each unregistered file.

Step 2—Sign In Screen

The Sign In screen provides the user with report quarter and population options to select in validating the ETA 581 report. Enter the Report Quarter being validated by entering the calendar year followed by the quarter in YYYYQQ format. For example, enter 200201 if the 1st calendar quarter of 2002 is being validated.

Select the population to be viewed from the drop-down list. States should also enter the postal abbreviation for their state in the state field.

Click on the "**Sign In**" button.



If population 2 is selected, also enter the state's due date for employer reports due in the report quarter being validated. For example, to validate employer reports covering activity in the 4^{th} quarter of 2001, the report quarter being validated is 200201 and the employer report due date is 1/31/02 (depending on the state).

If you are using the demo database to learn about the software's functionality, use the following sign in quarters/dates for each population:

- select 200301 to view demo data and results for population 1
- select 200203 to view demo data and results for population 2 (use a due date of 8/15/02)
- select 200204 to view demo data and results for population 3
- select 200203 to view demo data and results for population 4
- select 200301 to view demo data and results for population 5

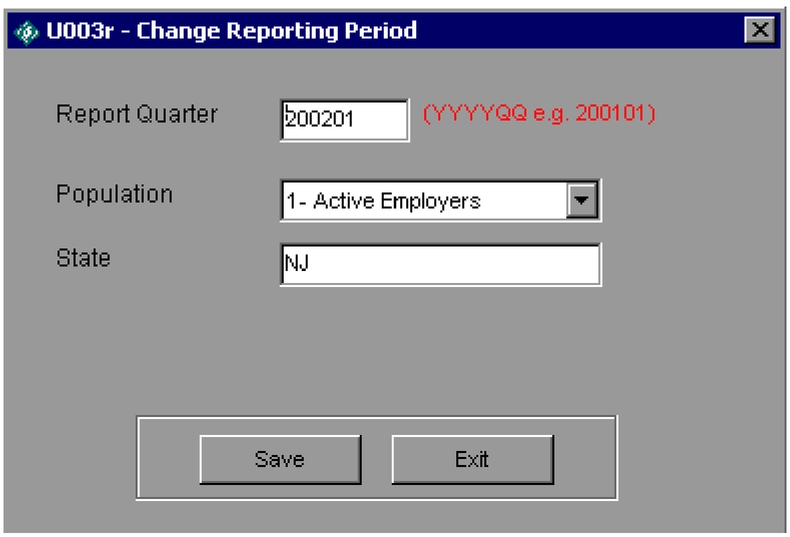
The demo database includes at least one record for every subpopulation in every population. See page 9 of this User's Guide for more information about accessing the demo database.

After logging in, a list of tips will pop up that provides brief explanations of each function.

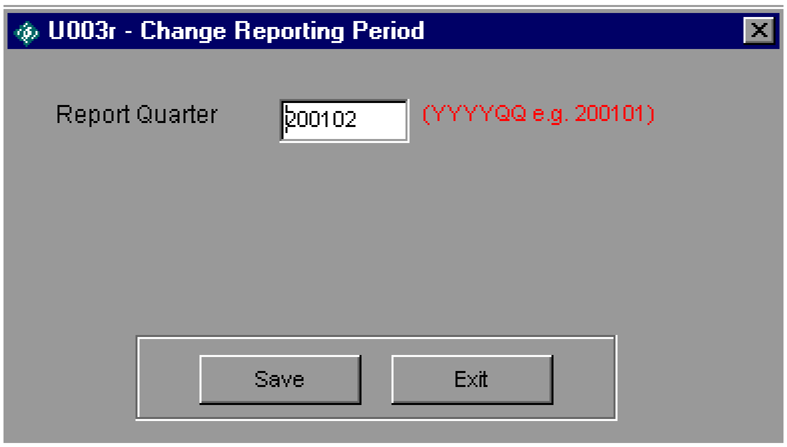
Step 3—Change Reporting Options

To change the reporting parameters after signing into the software, open the **Change Reporting Options** menu and select either **Change Population** or **Change Reporting Period**.

In the **Change Population** screen, the user can change the report quarter, population and or state abbreviation. After making any changes, the user should click on the Save button to register the changes.



In the **Change Reporting Period** screen, the user can change the report quarter for a given population by selecting a new report quarter and clicking on the Save button.



B. Importing Records

State data for the period and population(s) being validated are imported into the software using the following steps.

Step 1—Create a File for Each Population Based on the Record Layout

To view the record layout for each population, open the **Import Data** menu, and select **Source Table Layout.** The record layouts are also in Chapter V of this User's Guide.

The extract file must be in an ASCII, comma delimited .txt format. The software will also accept comma separated (CSV) files if necessary. Fields must be in the order listed on the record layout. Mandatory fields are specified. Blanks are acceptable in optional fields. Blank or null values are not valid for mandatory fields and will result in the record being rejected.

Each population has an extra field called "User Field" listed at the end of the record layout. This field can be used for any additional data element that the state wishes to include. However, states are not required to use this field. States using CSV files may want to include a value in this field to ensure that the entire record is properly imported.

The Module 3 reference on the record layout indicates the step where the state-specific value for each field is documented in Module 3 of the UI Data Validation Handbook—Contributions Reports. The Data Type/Format indicates the generic values for text fields. These must be followed by a dash and the state-specific value.

For example, A – 01 would be stored for employer status indicator in a state where the code "01" represents an active employer. If states do not include the state-specific values they will not be able to conduct file integrity validation and data element validation.

III. TUTORIAL

In building the extract file, programmers should use the record layouts in conjunction with Module 3, as well as with the population tables in Appendix A of the tax validation handbook, to identify the appropriate data fields in the state database.

In addition, state staff should refer to Exhibit 1.6 in Module 1 of the tax validation handbook for an explanation of timing issues related to building the extract files. Following are some population-specific notes for programmers to keep in mind when building the files.

- Extract files for populations 1, 3, 4 and 5 should be run at the end of the report quarter being validated to ensure that validation errors do not result from dynamic data fields that are overwritten.

- The population 1 record layout was revised in version 1.4 of the software. Fields 5 and 6 (Liability Date-initial and Liability Date-reopen) were replaced with Liability Date-met threshold and Reactivation Processing Date. These changes enable the software to filter pending employers out of the active employers count, in accordance with the Department of Labor's Change 12 to the ET 401 handbook. Specifically, the filter will not include employers in the count if their activation or reactivation processing date is prior to their met threshold date, when the met threshold date is after 12/31/2002.

- For the field 9 description on the population 1 record layout—Number of Liable Quarters—states should indicate the number of consecutive quarters between the date the employer was activated or reactivated on the state's system, and the quarter prior to the report quarter being validated. For example, if the employer was activated in the report quarter being validated, the number of liable quarters is zero. If the number of liable quarters is eight or more, the state should insert the number 8. The software will reject records with a value of 8 in this field if the value in every quarterly wage field (fields 10 – 17) is zero.

- If the state inactivates employers after less than eight quarters of zero wages, and this is the reason for differences on the report validation summary, then the state should indicate this in the comments section of the report validation summary. The software follows the 401 handbook guidance on inactivating employers who have eight quarters of zero wages.

- The extract file for population 2 should be run at the end of the quarter after the report quarter being validated. This is necessary because the validation of population 2 is based on one cohort of employer reports covering the same report quarter of activity, due at the same time, that are either timely or secured in the report quarter in which they are due, or resolved in the following quarter. Records are assigned hierarchically to the first subpopulation for which they meet the criteria, if they meet the criteria for more than one subpopulation.

- In preparing the population 2 extract file, states will also need to account for annual filers. According to DOL, annual filers must be counted as timely for the quarters in which their reports are not due, and as timely, secured or resolved, as appropriate for the quarters in which their reports are due. States will need to enter a default employer report quarter and default received date for annual employers for the quarterly reports that are not due, and either a received date, final assessment date, or appropriate resolved date for annual employers for the quarterly reports that are due. This should ensure that the quarterly reports that are not due are counted as timely, and that the quarterly reports that are due are counted appropriately as timely, secured or resolved.

- The pending employer filter also applies to subpopulations 3.1 to 3.3, which are for new status determinations.

- Receivables records need both the ERQ and the established date to be properly assigned to subpopulations 4.4, 4.5, 4.6 and 4.8, and both the due date and the established date to be properly assigned to subpopulations 4.12, 4.13, 4.14 and 4.16.

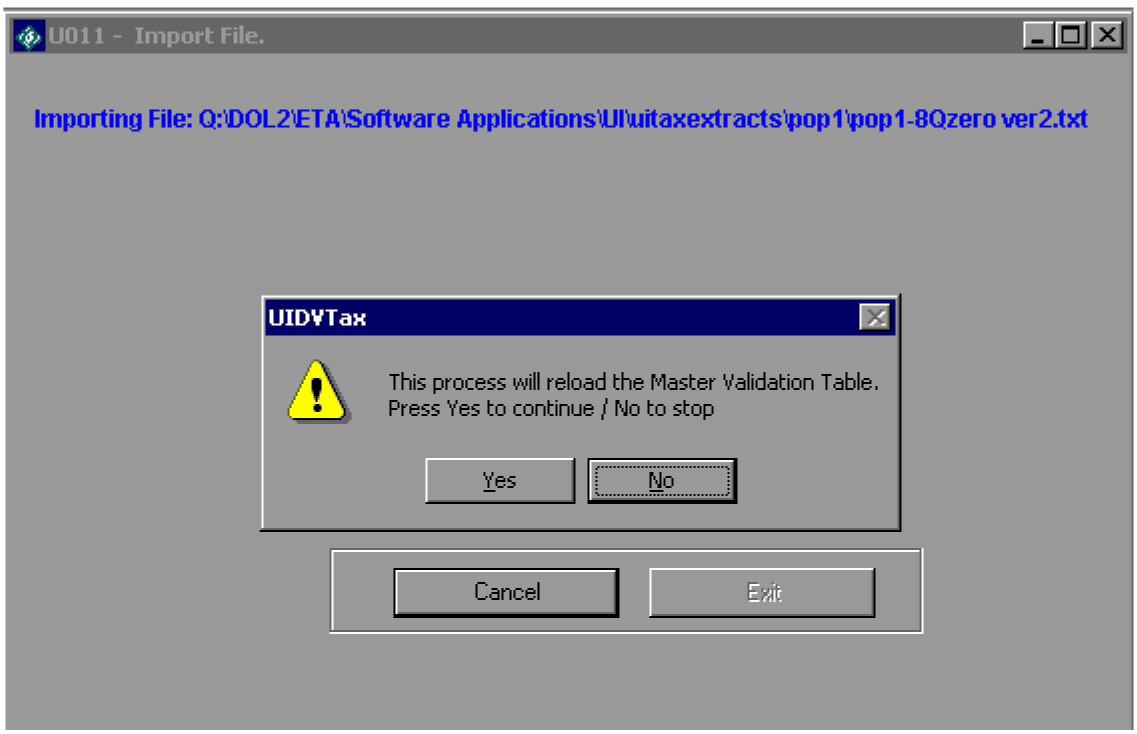
- The software assigns records due to be removed in the report quarter, but declared uncollectible in the report quarter, to the applicable removed subpopulation.

- For population 4, subpopulations 4.7, 4.8, 4.15 and 4.16, programmers should generate separate balance records for a single employer, for each employer report quarter where there is a balance at the end of the report quarter.

Step 2—Load Extract Data

Once the data are formatted according to the record layouts, open the **Import Data** menu and select **Import Extract File**. Select the file to be imported using the **Select File** box. If the extract file is saved in CSV format, you may need to type *.csv in the **Select File** box and then press enter for the file to appear. Click Open to continue.

When the **Import File** box opens, press Yes on the smaller UIDVTax box to continue the loading process. Once this is done, the **Import File** box will display counters for both the number of records imported successfully and the number of records with errors. The Import File box also includes a cancel button that can be used to stop the loading process.



To view the imported file, open the **Import Data** menu and select **View Source Table**. This is a read only screen. However, the columns in the Source Table are sortable to facilitate state review of the imported records. Users can sort on any column in the source table. If the cursor is placed on a particular row of a column, the application will show that row number in red at the bottom of the screen. This enables the user to easily count the number of records with a particular characteristic in the source table.

Obs	EAN	EmpStatus	EmpType	LiabMetDat	ReActiveDat	I/TDate	ActiveDate
1	8900	A-0	C-0	1/1/1936			
2	1900	A-0	C-0	1/1/1936			1/1/1936
3	4600	A-0	C-0	1/1/1946			
4	7902	A-0	C-0	1/1/1936			1/1/1936
5	9800	A-0	C-0	1/1/1937			1/1/1937
6	6200	A-0	C-0	1/1/1936			
7	9600	A-0	C-0	1/1/1936			
8	0100	A-0	C-0	1/1/1936			
9	2800	A-0	C-0	1/1/1936			1/1/1936
10	6501	A-0	C-0	1/1/1936			11/16/1972

It may take some time to import the data, depending on the size of the file. The following table shows the length of time that states using the default software installation creating Access (.mdb) files (not SQL) can expect for the import of files for Employer Accounts (Tax Population 1). The import process for these files was tested on both a Pentium IV and a Pentium III computer.

Time to Import Large Files			
UI Population	No. of Records Imported	Pentium IV Import Time	Pentium III Import Time
Tax Population 1 Active Employers	800,000	1.75 hours	2.25 hours

The Pentium IV and Pentium III computers had the following specifications.

Pentium IV	**Pentium III**
1.8 ghz processor	866 mhz processor
256 meg RAM	256 meg RAM
40 gig HD	10 gig HD
512 meg virtual memory	512 meg virtual memory

These computers were dedicated specifically to testing the import times of UI records (i.e. no other functions were being carried out on these machines while import tests were being conducted). Prior to each import, the database was compacted and unnecessary files were deleted/removed from the system (i.e. emptying recycling bin, running "disk clean up" function in Windows, etc.) to maximize system efficiency and free up hard disk space. It is also important to close all other programs prior to import to allow optimal memory for importing large files.

Import times in the table reflect the total time required for completion of the import. However, use of the various functions of the software can take anywhere from several seconds to nearly 30 minutes depending on the size of the import file and the capabilities of the user's computer. For example, after the import has been successfully completed, it may take up to 20 minutes for the Report Validation Summary to be generated for a 2.0 million record data set.

The import times depend not only upon system capabilities, but also on the number and density of the records. The Microsoft Access database has a capacity of 1.0 gigabytes; thus, the number of records imported is contingent upon the amount of data and number of completed fields in each record. "*Overflow*" errors are an indication that the Access database has reached maximum capacity and will present as either Windows errors or as import errors within the UI software. "*Overflow*" errors will be written to the importerror.txt file indicating that the "*database has reached maximum size*."

States with very large data files may use the SQL database version of the UI tax software. Performance will vary for states using the SQL version based on server speed and contention with other users.

Step 3 – Review Error Reports

When the extract files are loaded, the software reads each record to ensure that all fields are valid based on the specifications in Appendix A of the tax validation handbook. Duplicate records and any records with invalid data or missing data in mandatory fields are rejected. An error report is produced for each population which lists the records rejected.

The error reports are automatically saved to the UIDV tax folder and are titled importerror.txt. To save each error report, the importerror.txt file should be renamed so that it is not overwritten by subsequent error reports.

There are generally two types of errors generated by the application—import errors and assignment errors. Import errors are caused by an incorrect number of columns compared to the record layout (object required errors, as shown in the sample error report) and incorrect formatting (data type mismatch errors.)

Sample Error Report

```
errors in file: C:\Program Files\UIDVTax\extracts\pop3\pop3-1465.txt on 3/8/2002 4


Error with OBS code - 000002. Object required error in column #7 Item is required.
Error with OBS code - 000013. Object required error in column #7 Item is required.
Error with OBS code - 000015. Object required error in column #7 Item is required.
Error with OBS code - 000037. Object required error in column #7 Item is required.
Error with OBS code - 000038. Object required error in column #7 Item is required.
Error with OBS code - 000039. Object required error in column #7 Item is required.
Error with OBS code - 000071. Object required error in column #7 Item is required.
Error with OBS code - 000092. Object required error in column #7 Item is required.
Error with OBS code - 000093. Object required error in column #7 Item is required.
Error with OBS code - 000106. Object required error in column #7 Item is required.
Error with OBS code - 000107. Object required error in column #7 Item is required.
Error with OBS code - 000108. Object required error in column #7 Item is required.
Error with OBS code - 000110. Object required error in column #7 Item is required.
Error with OBS code - 000111. Object required error in column #7 Item is required.
Error with OBS code - 000112. Object required error in column #7 Item is required.
Error with OBS code - 000134. Object required error in column #7 Item is required.
Error with OBS code - 000135. Object required error in column #7 Item is required.
Error with OBS code - 000150. Object required error in column #7 Item is required.
Error with OBS code - 000163. Object required error in column #7 Item is required.
```

Data type mismatch errors are produced when the records do not contain the data expected for a particular population. One example is when field values are switched, specifically if text values are placed in a number field.

Another common error message is “Primary reasons for records not being assigned are incorrect date or other field format or the field is missing.” This message will appear when records are accepted by the software but cannot be assigned to subpopulations because they do not conform to the assignment rules for that population. That is, they are in the Source Table but not the Report Validation table. One possible cause is that the report quarter and/or due date entered on the Sign In screen are not consistent with the data in the file. State users should review the dates and other field formats to determine the exact cause of the error.

After reviewing any error reports that are generated, ADP staff should determine if the extracts must be regenerated or reformatted and reloaded. If a very small number of records are rejected, it may not be necessary to re-import the file.

Step 4—View Duplicates

This step applies to populations that have duplicate detection (1, 2, 3 and 5).

This step allows the user to view the duplicates identified and then rejected by the software. There is no data entry required, it is used for analytical purposes only.

Users should refer to Exhibit 2.2 in the tax validation handbook for more information about the criteria for detecting and rejecting duplicate records. The software rejects all records determined to be duplicates based on the duplicate detection criteria.

In addition, users should note that there are new duplicate detection criteria for population 3. For subpopulations 3.1 - 3.3, 3.7 and 3.8, if the data in EAN AND status determination type AND status determination date are identical in two or more records, all of those records are rejected. For 3.4 - 3.6 if the data in EAN AND status determination type AND status determination date AND predecessor account number are identical in two or more records, all of those records are rejected.

Click on the **Report Validation** menu and select **View Duplicates.**

This opens a window which displays all of the duplicate records for the population, the EAN or other unique identifier, and the date and other fields that are used to determine duplicates. States must select the record which should remain in the validation file, and which duplicate record(s) should be deleted from the validation file before reimporting the file.

Duplicate Detection Report - Population One
For Period 200102

Obs	EAN	EmpStatus	EmpType	LiabInitDate	LiabRopenDate
8,051	8050	A	C		6/1/85
8,050	8050	A	C		6/1/85
8,053	8052	A	C		12/1/84
8,052	8052	A	C		12/1/84

Step 5—Repeat Same Process for All Populations

Follow steps 1 through 4 in this section to import the data for all of the populations.

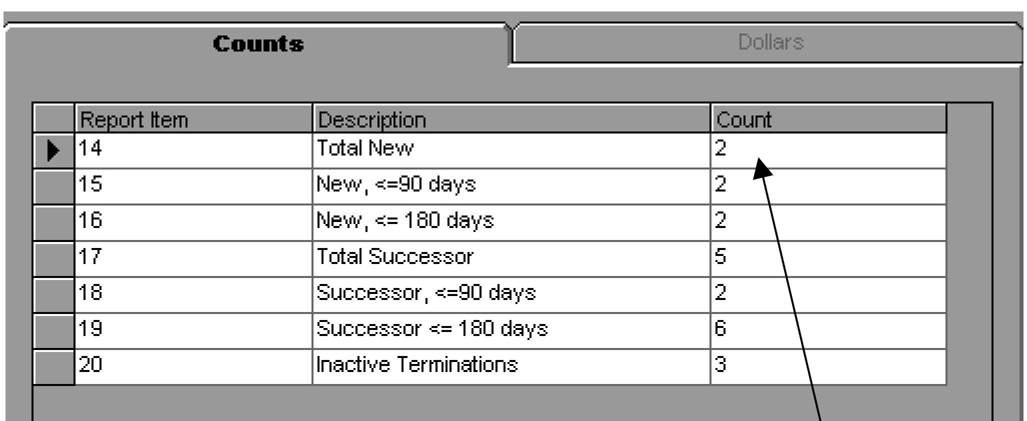
C. Report Validation

In report validation, the software compares the validation counts derived from the extract file to the actual values reported by the states on the ETA 581 report. To conduct report validation, states must enter the reported counts for the report quarter and items being validated.

Step 1—Enter Reported Counts

Click on the **Report Validation** menu and select **Enter Reported Counts.**

This opens a data entry screen for entering the reported values. The first column, **Report Item**, displays the applicable report item numbers from the ETA 581 report. The second column, **Description**, provides a text description of each report item. In the third column, **Count**, the validator enters the item counts from the reports.



Report Item	Description	Count
14	Total New	2
15	New, <=90 days	2
16	New, <= 180 days	2
17	Total Successor	5
18	Successor, <=90 days	2
19	Successor <= 180 days	6
20	Inactive Terminations	3

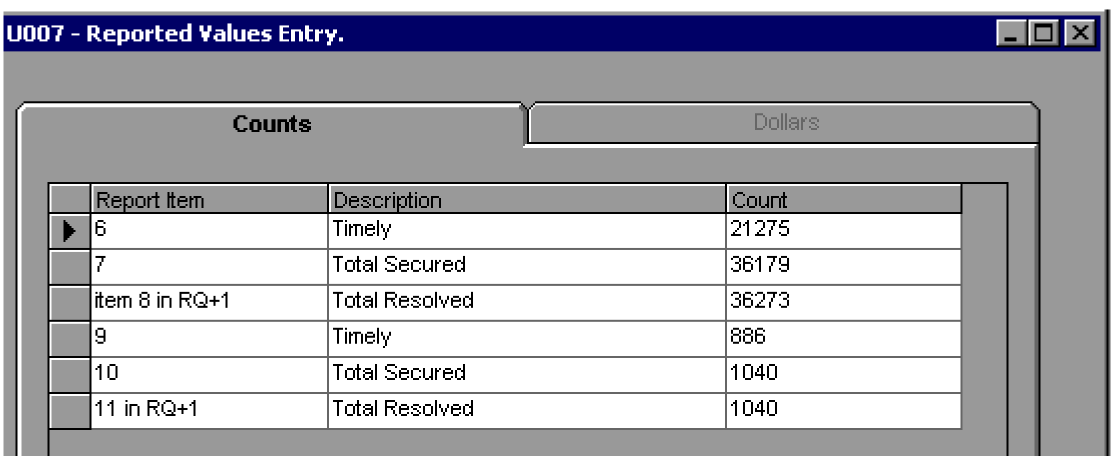
Enter counts

In the **Count** column, enter all of the reported counts from the ETA 581 corresponding to the reporting period selected.

Populations 4 and 5 also have dollar amounts on the ETA 581. For these two populations select the second tab, **Dollars**, to enter the dollar amounts in the **Dollars** column.

After entering each reported count and dollars, make sure to hit the enter/return key and move the cursor off of the entry field. This ensures that the entered value transfers to the report validation summary.

Population 2 requires entry of values from two separate ETA 581 reports. This is necessary because the validation of population 2 is based on one cohort of employer reports covering the same report quarter of activity, that are due at the same time. These employer reports are either reported as timely or secured on the ETA 581 for the report quarter in which the employer reports are due, or reported as resolved on the ETA 581 for the following quarter.



Report Item	Description	Count
6	Timely	21275
7	Total Secured	36179
item 8 in RQ+1	Total Resolved	36273
9	Timely	886
10	Total Secured	1040
11 in RQ+1	Total Resolved	1040

For example, a state chooses to validate employer contributions reports covering employer activity in the 4th quarter of 2001 (the ERQ is 200104). The contributions reports for contributory employers are due in 200201 and can be reported as timely or secured in items 6 and 7 of the ETA 581 covering 200201, which was submitted on May 20, 2002. That same cohort of employer reports would be reported as secured in item 8 of the ETA 581 covering 200202, which was submitted on August 20, 2002. So in completing the **Enter Reported Counts** screen for population 2, states will need to enter ETA 581 items 6 and 7 from the May 20th ETA 581, and item 8 from the August 20th ETA 581. The same timing applies to the reimbursing employer reports in items 9, 10 and 11 of the ETA 581.

Step 2—View Report Validation Summary

Click on the **Report Validation** menu and select **View Report Validation Summary**.

This function allows the user to view the report validation summary, which calculates the difference between the validation values and the reported values. A percentage difference is generated for each report item on the ETA 581. There is no data entry required -- it is a read-only function.

There is a 1% pass/fail tolerance for population 3, report items 15 and 16, since they are timeliness measures. All other report items have a 2% tolerance.

Report Validation Summary (Tax): Population 1 - for Report (

Description	ETA 581 Item	Reported Count	Subpopulation	Validation Count	Count Difference	Count% Difference	Count Pass/Fail
Activity contributory employers	1	37,021	1.1	7,135	29,886	418.86%	Fail
Activity reimbursing employers	2	1,031	1.2	918	113	12.31%	Fail
All active employers		38,052	Total	8,053	29,999	372.52 %	Fail

Note that if the validation value is 0 for a given report item, then a reported value of 1 is given a "Count % Difference" on the RV summary of "Diff" and is labeled "Pass." If the validation value is 2 or higher then the "Count % Difference" is "Diff" and it is labeled "Fail."

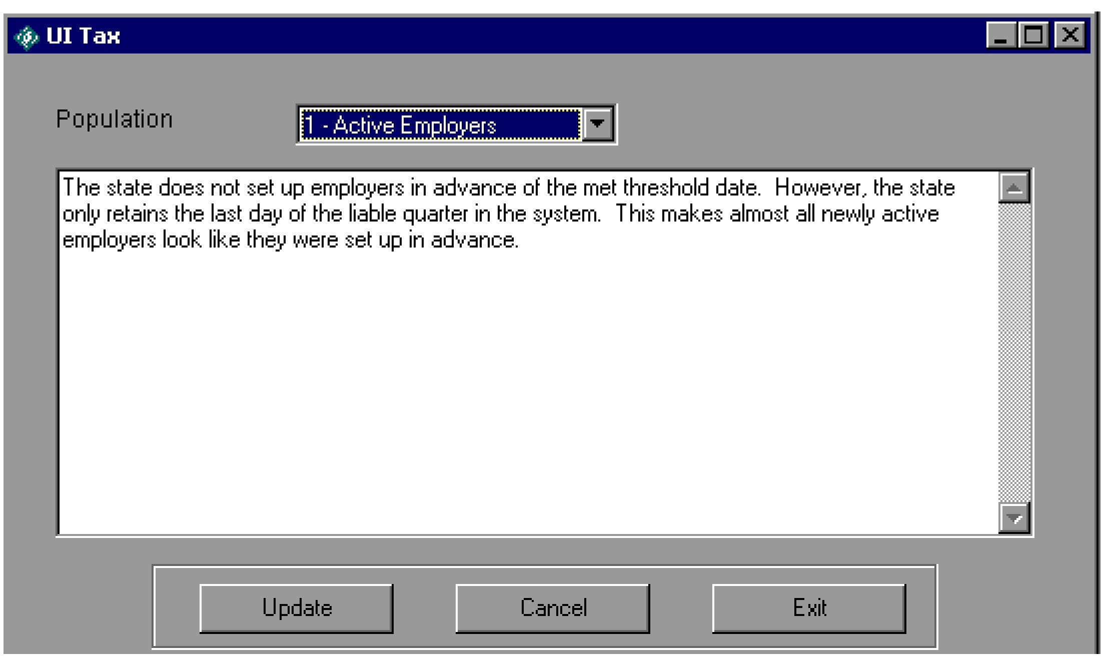
Step 3 – Report Validation Comments Entry

This step allows the user to enter comments pertaining to particular populations to explain discrepancies between the reported values and the validation values. These explanations could include factors relating to the state system or factors relating to the software.

For example, a state may have a high Count%Difference on population 1 if it only captures the last day of the report quarter as the liability met threshold date. Many legitimately active employers will look like pending employers, which are rejected according to Change 12 to the ETA 401 Handbook. The state can use the comments field to explain this discrepancy.

Click on the **Report Validation** menu and select **Enter Report Validation Comments**.

Select the appropriate population from the drop down list. Type your comments in the notes field and then click on **Update.**



The comments will appear at the bottom of the Report Validation Summary.

Report Validation Summary (Tax): Population 1 - for Repoı

Description	ETA 581 Item	Reported Count	Subpopulation	Validation Count	Count Difference	Count% Difference	Cc Pas
Active contributory employers	1	23	1.1	153	130	84.97%	Fail
Active reimbursing employers	2	23	1.2	28	5	17.86%	Fail
All active employers		46	Total	181	135	74.59 %	F

Comments:

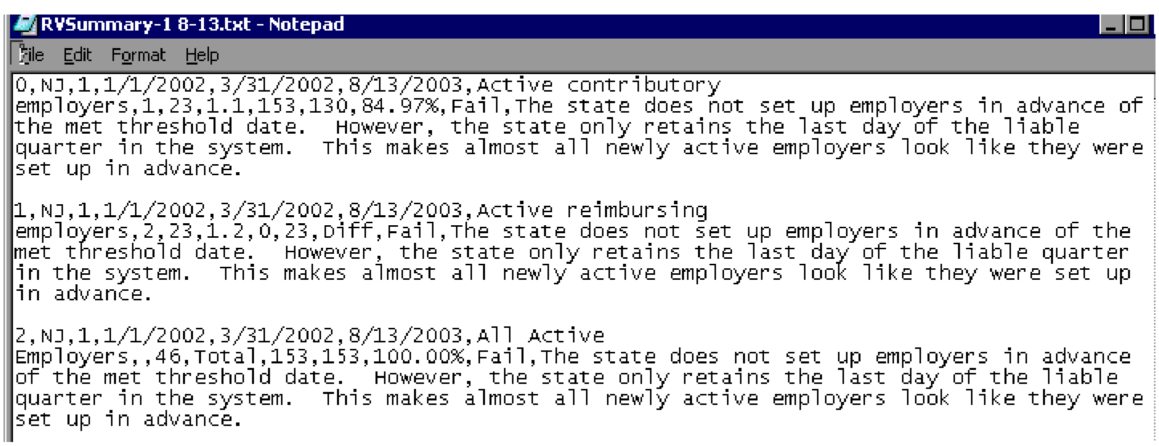
The state does not set up employers in advance of the met threshold date. However, the state only retains the last day of the liable quarter in the system. This makes :
all newly active employers look like they were set up in advance.

Step 4 – Export Report Validation Summary to Text File

In accordance with national office instructions, states are required to submit text files of their report validation summaries and summary/analytical reports to the national office. To generate the text files for the report validation summaries, select the Export RV Summary function under the Report Validation menu. Once selected, the software will indicate that the file has been exported by displaying the message "Done."

The reports are automatically saved to the C:\Program Files\UITax folder. The Export function creates the text file for the population in which the user is working. The reports are titled RVSummary-1, RVSummary-2, RVSummary-3, etc. Once the user has completed validation, there will be a total of 5 report validation summary text files in the C:\Program Files\UITax folder. These 5 files should be emailed to the national office. See UIPL 10-03 for a timeline for submitting text files of the report validation and summary and analytical reports to the UI national office.

States who have already submitted Excel files to the national office are not required to submit the text files for the same populations and reports.


RVSummary-1 8-13.txt - Notepad

File Edit Format Help

0,NJ,1,1/1/2002,3/31/2002,8/13/2003,Active contributory employers,1,23,1.1,153,130,84.97%,Fail,The state does not set up employers in advance of the met threshold date. However, the state only retains the last day of the liable quarter in the system. This makes almost all newly active employers look like they were set up in advance.

1,NJ,1,1/1/2002,3/31/2002,8/13/2003,Active reimbursing employers,2,23,1.2,0,23,Diff,Fail,The state does not set up employers in advance of the met threshold date. However, the state only retains the last day of the liable quarter in the system. This makes almost all newly active employers look like they were set up in advance.

2,NJ,1,1/1/2002,3/31/2002,8/13/2003,All Active Employers,,46,Total,153,153,100.00%,Fail,The state does not set up employers in advance of the met threshold date. However, the state only retains the last day of the liable quarter in the system. This makes almost all newly active employers look like they were set up in advance.

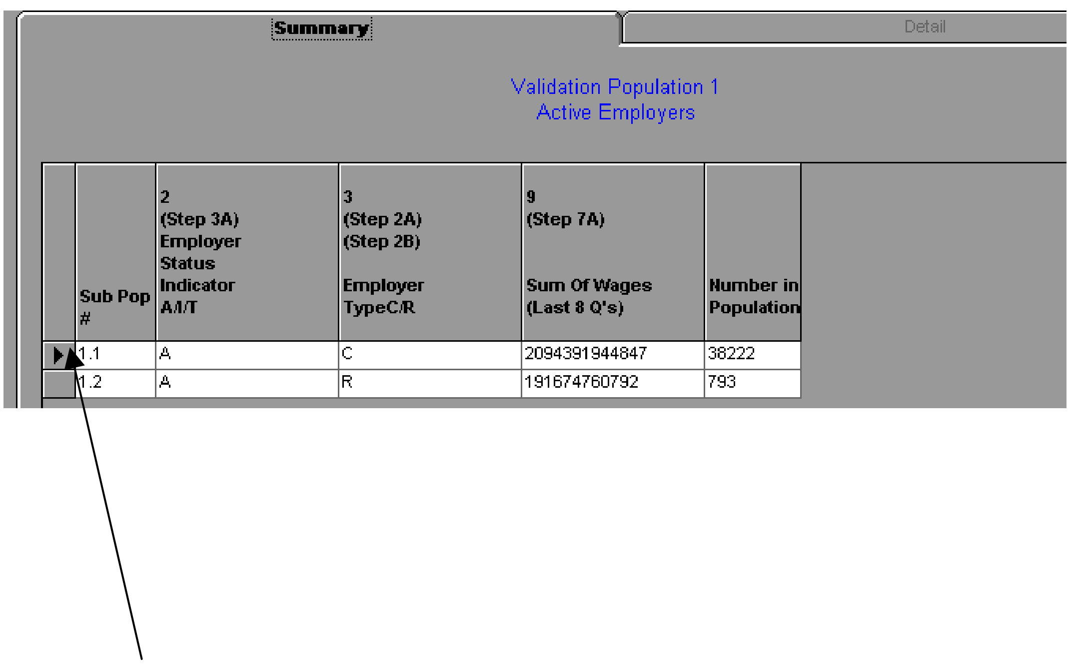
Step 5—View Report Validation Table

This step allows the user to view the validation subpopulations. There is no data entry required, it is used for analytical purposes only.

Click on the **Report Validation** menu and select **View Report Validation Table**.

This opens a window displaying a summary of each validation subpopulation and the total number of records and dollar amounts, where applicable, for each subpopulation.

Double click on the arrow in the far left column of each subpopulation to view the detailed records in that subpopulation.



Sub Pop #	2 (Step 3A) Employer Status Indicator A/I/T	3 (Step 2A) (Step 2B) Employer TypeC/R	9 (Step 7A) Sum Of Wages (Last 8 Q's)	Number in Population
1.1	A	C	2094391944847	38222
1.2	A	R	191674760792	793

Double click to view detailed records in subpopulation 1.1

It may take several minutes for the report validation table to open for the first time after loading the validation file.

Detailed Records for Subpopulation 1.1

Summary

Current record: 1

Total Number of Records:

Obs	EAN	EmpStatus	EmpType	LiabMetDat	ReActiveDat	I/TDate	ActiveDate
517	27400	A-0	C-0	1/1/1956			1/1/1956
503	72100	A-0	C-0	1/1/1956			
504	77700	A-0	C-0	1/1/1956			
505	79800	A-0	C-0	1/1/1956			
506	80400	A-0	C-0	1/1/1956			
507	85500	A-0	C-0	1/1/1956			1/1/1956
508	97900	A-0	C-0	1/1/1956			
509	98200	A-0	C-0	1/1/1956			1/1/1956
510	98700	A-0	C-0	1/1/1956			1/1/1956

To sort records in ascending or descending order, double-click the heading of the column you wish to sort. A message indicating the sorted column appears on the tab header. When the cursor is placed on a specific row in a sorted column, a message on the top left of the screen indicates the row number selected.

With this functionality, users can analyze the data in each subpopulation to review the characteristics of the records in that subpopulation.

For example, users can analyze the records in subpopulation 1.1, of active employer accounts, to see how many employers in the file achieved liability after a certain date.

To increase the width of the columns, go to the intersection of the heading, click the mouse button, and drag it to the desired width.

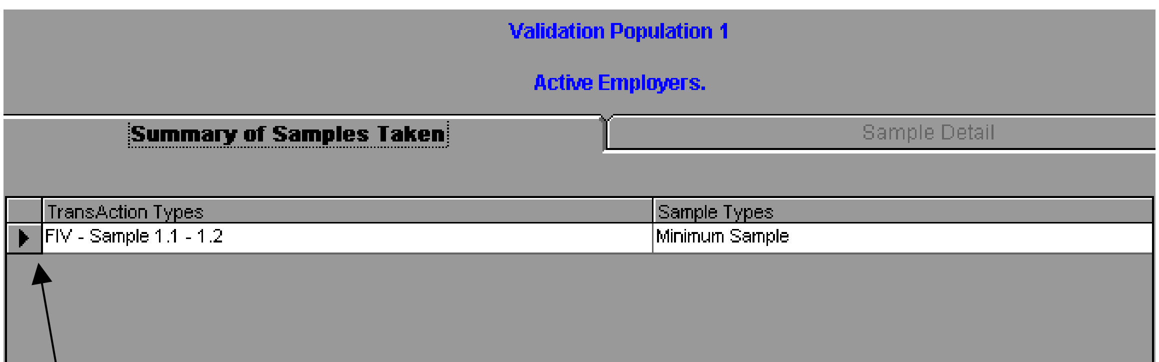
D. File Integrity Validation (FIV) and Data Element Validation (DEV)

Step 1 – Validate Sampled FIV Cases

Click on the **FIV/DEV** menu and select **FIV Samples Worksheet**.

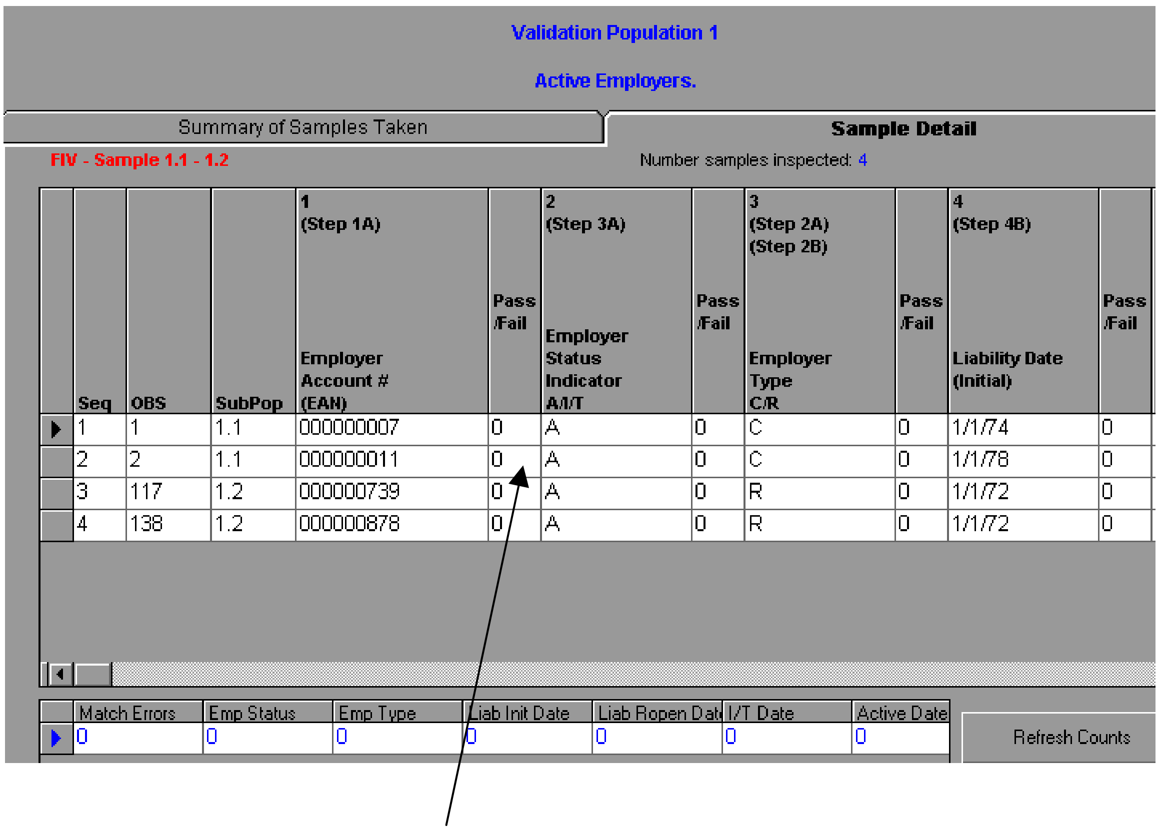
This opens a window that displays a summary of the sample for the particular population. Double click on the sample row to view the sample detail for the records chosen for that sample. The software selects the first two records in each subpopulation for the sample.

Summary of Samples Taken Screen



Double click on arrow to open worksheet for each sample

This will open up the FIV worksheet for the sample selected. The validation worksheet includes all of the data elements to be validated following the rules specified in Module 3 of the tax validation handbook.


Validation Population 1

Active Employers.

Summary of Samples Taken | **Sample Detail**

FIV - Sample 1.1 - 1.2

Number samples inspected: 4

Seq	OBS	SubPop	1 (Step 1A) Employer Account # (EAN)	Pass /Fail	2 (Step 3A) Employer Status Indicator A/I/T	Pass /Fail	3 (Step 2A) (Step 2B) Employer Type C/R	Pass /Fail	4 (Step 4B) Liability Date (Initial)	Pass /Fail
1	1	1.1	000000007	0	A	0	C	0	1/1/74	0
2	2	1.1	000000011	0	A	0	C	0	1/1/78	0
3	117	1.2	000000739	0	A	0	R	0	1/1/72	0
4	138	1.2	000000878	0	A	0	R	0	1/1/72	0

Match Errors	Emp Status	Emp Type	Liab Init Date	Liab Ropen Dat	I/T Date	Active Date
0	0	0	0	0	0	0

Refresh Counts

Click on "0" for Pass or "1" for Fail

Each column contains a particular data element to be validated. The step number refers to the step in the validation handbook. Follow the rules for this step, as specified in Module 3, by checking all necessary screens and other documentation to determine if this data element is valid.

If the data element passes all of the rules listed in Module 3 for the given step, go to the **Pass/Fail** column and click on **"0"** for pass. If the data element fails one or more of the rules for the given step, click on **"1"** in the **Pass/Fail** column.

Be sure to complete validation of each record and then move the cursor off the record so that the validator's selections are recorded by the software.

Follow this same series of steps for each cell for each observation in the sample. At any time, click on **"Refresh Counts"** – the software will calculate the total errors for all of the sampled cases at the bottom of the sample detail screen.

Step 2—Print Sampled FIV Cases

To print the worksheets for individual records, click on the **FIV/DEV** menu, select **FIV Samples Worksheet,** and open up the sample detail that includes the records that you want to print. Put your curser to the left of the Seq field for the record you want to print. Double click on the record to format the record for printing. Once the record is formatted, click the printer icon at the top left of the screen to begin printing.

UI Tax Sample Validation - Population 1

For EAN: 0000118900 **Period: 200102** **FIV Sample 1.1 - 1.2**

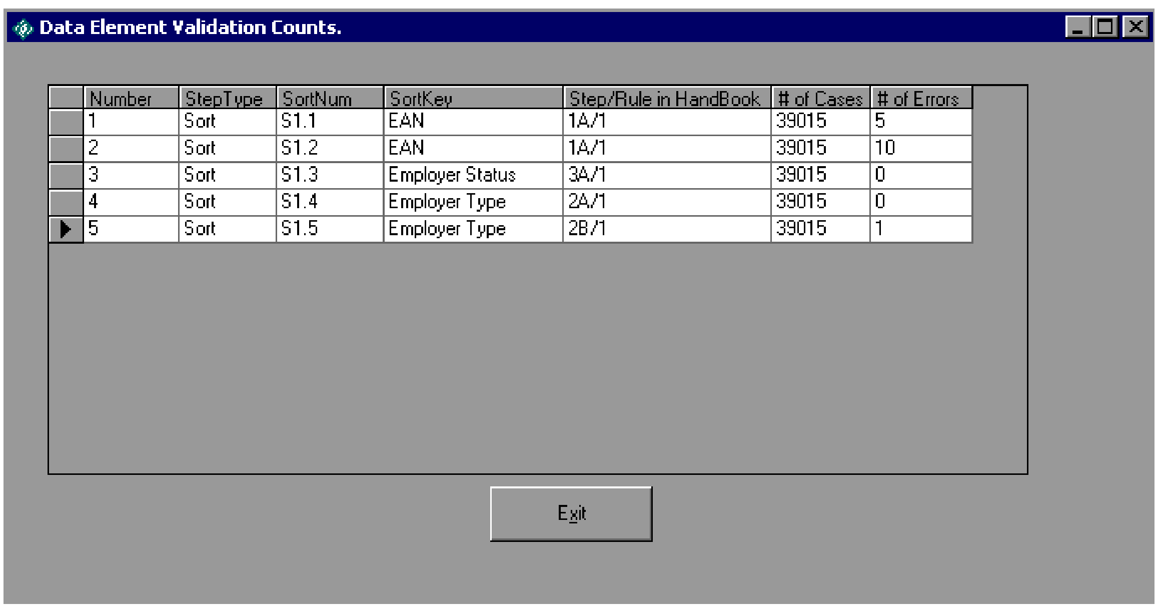
Data Element	Value	Pass/Fail
seqno	1	
Obs	1	
subpop	1.1	
EAN	0000118900	Fail
Emp Status	A-0	Pass
Emp Type	C-0	Pass

To print all of the worksheets for a particular population in batch mode, click on the **FIV/DEV** menu and select **Print FIV Samples Worksheets.** All sampled records for the population will be formatted for printing. Once formatted, click the printer icon at the top left of the screen to begin printing. The sampled records for the population will print sequentially.

Step 3—Data Element Validation Sorts

Click on the **FIV/DEV** menu and select **Enter Data Element Validation Counts**. This screen specifies sort numbers and corresponding steps and rules in Module 3 to use in conducting the data element validation. This screen is also used to data enter the DEV results. This function only applies to populations 1 through 4; there are no DEV sorts for population 5.

States should also reference Module 2.3 and Exhibit 2.8 in the tax data validation handbook for more information on how to review data element validation sorts. Screen prints of the beginning records and ending records of each sort should be saved for federal monitoring purposes.



Number	StepType	SortNum	SortKey	Step/Rule in HandBook	# of Cases	# of Errors
1	Sort	S1.1	EAN	1A/1	39015	5
2	Sort	S1.2	EAN	1A/1	39015	10
3	Sort	S1.3	Employer Status	3A/1	39015	0
4	Sort	S1.4	Employer Type	2A/1	39015	0
5	Sort	S1.5	Employer Type	2B/1	39015	1

Click on the **Report Validation** menu and select **View Report Validation Table**. Double click on the subpopulation specified for a sort. The number of records in each subpopulation appears in the top right corner of the detail screen. Select the heading of the column to be sorted, and double click. The records will then be sorted for comparison to the Module 3 DEV rules for that sort.

If the sort involves multiple subpopulations, perform the sort on each subpopulation and total the records reviewed and the errors prior to entry in the **Enter Data Element Validation Counts** screen. Validators may also need to review the sorted records within a single subpopulation if the state has more than one state specific value for a given generic value.

When each sort is completed, the total number of records reviewed and the errors found are entered in the **Enter Data Element Validation Counts** screen. This screen also cross references each data element sort to the Module 3 step and rules applicable to each sort.

Use the Window menu to toggle back and forth between the **Enter Data Element Validation Counts** and the **View Report Validation Table** screens.

Step 4 – View Summary/Analytical Report

Click on the **FIV/DEV** menu and select **Summary/Analytical Report.**

This function displays a report that is generated after the FIV samples worksheet, DEV sorts and results (for populations 1 through 4), and TPS comments (for populations 3 and 5) have been completed. There is no data entry required, this screen is used for analytical purposes only.

Summary/Analytical Report 1 - Active Employers
For Period 200102

File Integrity Validation

Step Type	Sub-Population	Column #	Number of Cases Checked	Pass/Fail
FIV	1.1	All	1	Fail
FIV	1.2	All	0	

Data Element Validation

Step Type	Sort Number	Sort Key	Step/Rule in Handbook	# of Cases Checked	# of Errors	% of Errors	Pass or Fail
Sort	S1.1	EAN	1A/1	39,015	5	0.01%	Pass
Sort	S1.2	EAN	1A/1	39,015	10	0.03%	Pass
Sort	S1.3	Employer Status	3A/1	39,015	0	0.00%	Pass
Sort	S1.4	Employer Type	2A/1	39,015	0	0.00%	Pass
Sort	S1.5	Employer Type	2B/1	39,015	1	0.00%	Pass

For file integrity validation, the report displays the total number of cases checked for each subpopulation and whether the subpopulation passed or failed validation. For data element validation the report shows the number of cases checked, the number of errors, the percent of errors, and whether or not the sort passed validation.

As discussed in the Report Validation section of this tutorial, states are required to submit text files for all of their report validation summaries and summary/analytical reports to the national office. To generate the text files for the summary and analytical reports, select Export Summary and Analytical Report from the FIV/DEV menu. Once selected, the software will indicate that the file has been exported by displaying the message "Done."

The reports are automatically saved to the C:\Program Files\UITax folder. The Export function creates the text file for the population in which the user is working. The reports are titled SummaryAnalytical-1, SummaryAnalytical-2, SummaryAnalytical-3, etc. Once the user has completed validation, there will be a total of 5 summary and analytical report text files in the C:\Program Files\UITax folder. These 5 files should be emailed to the national office. See UIPL 10-03 for a timeline for submitting text files of the report validation and summary and analytical reports to the UI national office.

SummaryAnalytical-1.txt - Notepad

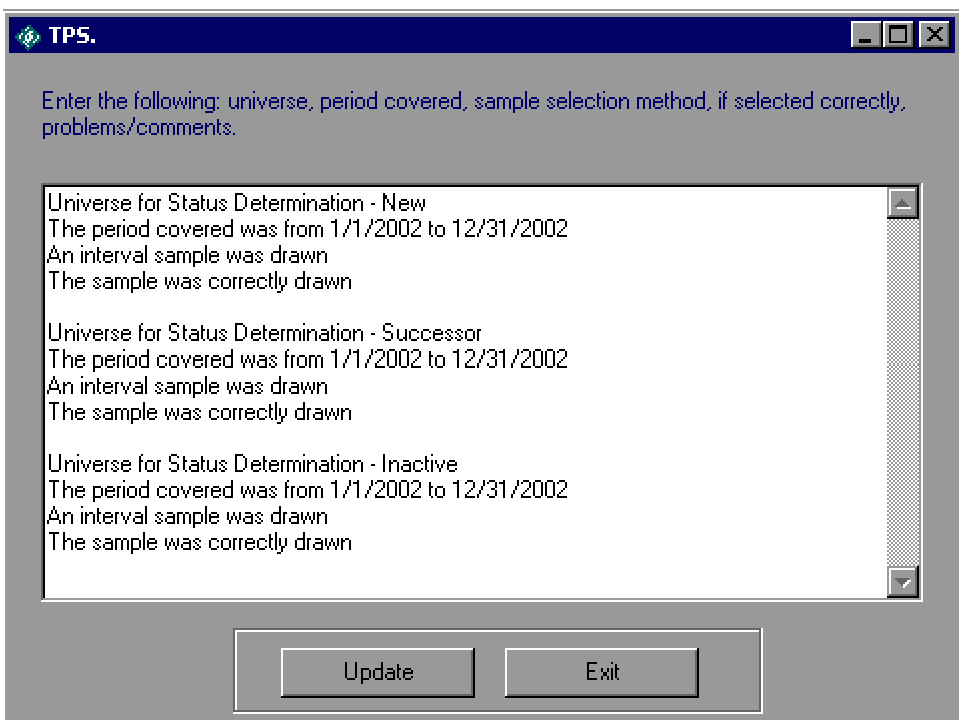
File Edit Format Help

```
0,NJ,1,1/1/2002,3/31/2002,8/13/2003,FIV,1.1,All,2,Pass
1,NJ,1,1/1/2002,3/31/2002,8/13/2003,FIV,1.2,All,2,Pass
2,NJ,1,1/1/2002,3/31/2002,8/13/2003,Sort,S1.1,EAN,1A/1,500,5,1.00%,Pass
3,NJ,1,1/1/2002,3/31/2002,8/13/2003,Sort,S1.2,EAN,1A/1,522,10,1.92%,Pass
4,NJ,1,1/1/2002,3/31/2002,8/13/2003,Sort,S1.3,Employer Status,3A/1,500,11,2.20%,Fail
5,NJ,1,1/1/2002,3/31/2002,8/13/2003,Sort,S1.4,Employer Type,2A/1,500,5,1.00%,Pass
6,NJ,1,1/1/2002,3/31/2002,8/13/2003,Sort,S1.5,Employer Type,2B/1,5,0,0%,Pass
```

Step 5—TPS Validation

For populations 3 and 5 only, click on the **FIV/DEV** menu and select **Enter TPS Comments**. This screen provides a data entry box for entering the results of the TPS Acceptance Sample Validation described in Module 4 of the tax validation handbook. These results appear on the FIV/DEV summary and analytical report. In the box, enter the following information:

1. Universe for the TPS sample
2. Period covered
3. Method used to draw sample (responses = skip interval, automated randomization, PICKNMBR)
4. Was sample selected correctly
5. Any problems found
6. Other comments

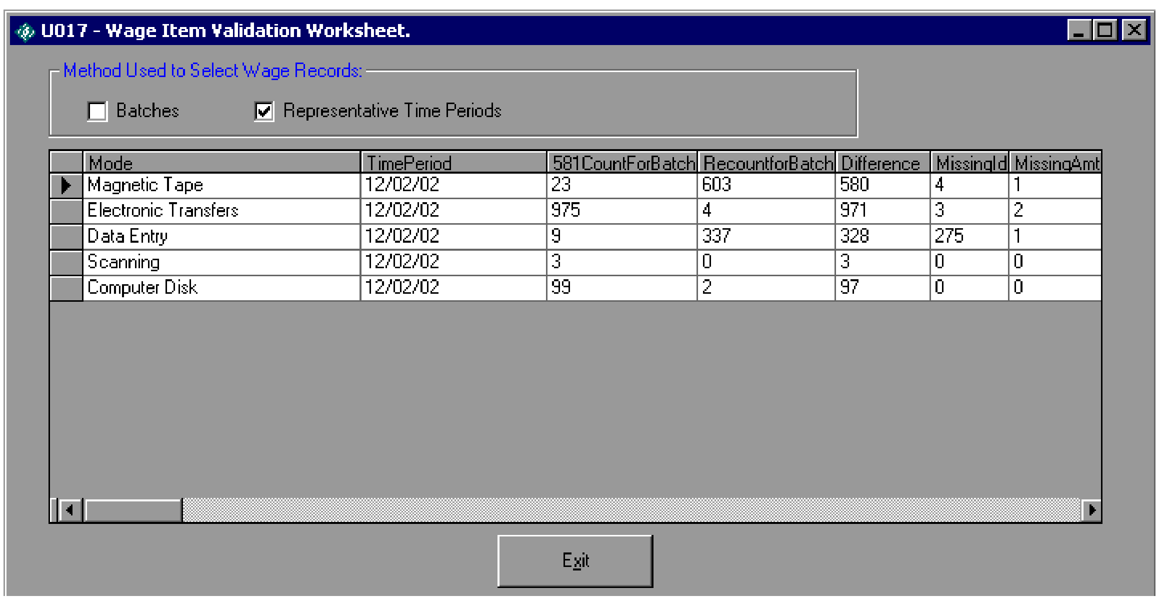


Step 6—Wage Item Validation

While signed in to any population, click on the **FIV/DEV** menu and select **Wage Item Validation Worksheet.**

This screen provides a worksheet for wage item validation, which is described in Module 5 of the tax validation handbook. In the header row, check whether batches or representative time periods were the method used to select wage records. In the box, enter the following information for each mode:

1. Time period covered
2. 581 count for the batch
3. Recount for the batch
4. Number of items with missing ID
5. Number of items with missing amount
6. Number of double counted items



Mode	TimePeriod	581CountForBatch	RecountforBatch	Difference	MissingId	MissingAmt
Magnetic Tape	12/02/02	23	603	580	4	1
Electronic Transfers	12/02/02	975	4	971	3	2
Data Entry	12/02/02	9	337	328	275	1
Scanning	12/02/02	3	0	3	0	0
Computer Disk	12/02/02	99	2	97	0	0

The worksheet then calculates the difference between the ETA 581 count and the recount for the batch, and the total errors and the percentage of errors in the recount batch by mode. To print the results of the wage item validation, click on the **FIV/DEV** menu and select **Wage Item Validation Report**.

Wage Item Validation Worksheet

Mode	Time Period	581Count For Batch	Recount for Batch	Batch Difference	Missing Id Count	Missing Amt Count	Double Count	Total Errors	Pct Of Errors
Magnetic Tape	12/02/02	23	603	580	4	1	575	580	96.19%
Electronic Transfers	12/02/02	975	4	971	3	2	966	971	24275.00%
Data Entry	12/02/02	9	337	328	275	1	52	328	97.33%
Scanning	12/02/02	3	0	3	0	0	3	3	0.00%
Computer Disk	12/02/02	99	2	97	0	0	97	97	4850.00%

IV. REFERENCE GUIDE

This chapter of the User's Guide provides a condensed list of all of the software menus and functions for quick reference.

A. File Menu

The first menu on the tool bar is called "File." Options in this menu include:

1. Show Tips at Start-Up

Users can choose whether or not the tips appear at Start-up.

2. Exit

Select this to exit the program.

B. Import Data Menu

The second menu on the tool bar is called "Import Data." Options in this menu include:

1. Import Extract File

Select this tab to import data into the application. See the record layouts for the appropriate data record format.

2. Source Table Layout

This function displays the record layout for each population. Copies of the record layout for each population can also be found in Chapter V of this User's Guide.

3. View Source Table

This function displays all of the records in the extract file that were successfully imported by the software. The source table does not include records that were rejected by the software for not meeting subpopulation specifications and the validation period criteria.

C. Change Reporting Options

The third menu on the tool bar is called "Change Reporting Options." Options in this menu include:

1. Change Population

This returns the user to the Sign In pop-up window where the user can change the population by selecting a new population and clicking on the Save button.

2. Change Reporting Period

This returns the user to the Sign In pop-up window where the user can change the report quarter within a population by selecting a new report quarter and clicking on the Save button.

D. Report Validation Menu

The fourth menu on the tool bar is called "Report Validation." Options in this menu include:

1. View Report Validation Table

This function provides a window where you can see a summary of each subpopulation description and totals of records and dollar amounts, where applicable, for each subpopulation.

By clicking on the arrow in the far left column next to a subpopulation, the user can view the detailed records in each subpopulation.

2. View Report Validation Summary

This function displays a report that calculates the difference between the validation count and the report count.

3. View Duplicates

This function displays a report that lists duplicates identified and rejected by the software when importing each population extract.

4. Enter Reported Counts

This function displays the data entry screen for entering reported counts into the respective fields based on report item.

5. Enter Report Validation Comments

This function enables the user to enter comments pertaining to particular populations or subpopulations, to explain discrepancies between the reported values and the validation values. The comments appear on the report validation summary for the population specified.

6. Export RV Summary

This function creates a text file of the report validation summary to send to the national office.

E. FIV/DEV Menu

The fifth menu on the tool bar is called “FIV/DEV.” Options in this menu include:

1. FIV Samples Worksheet:

This function provides a window to view a summary of the sample for a particular population. By clicking on the summary row, the user can view the sample detail.

To print a sampled record, the validator places the curser to the left of the Seq field for the record to be printed. Double click on the record to format the record for printing. Click the printer icon at the top left of the screen to begin printing.

2. Print FIV Samples Worksheets

This function enables the user to print the FIV worksheets in batch mode for an entire population.

3. Enter Data Element Validation Counts

This function displays a screen for entering data element validation record counts and results. It also cross references each data element sort to the Module 3 step and rules applicable to each sort.

4. Enter TPS Comments

For populations 3 and 5 only this function displays a screen for entering TPS validation results.

5. Wage Item Validation Worksheet

This function presents a screen for entering information about wage item validation and computing the total errors and the percentage of errors by mode.

6. Summary/Analytical Report

This function displays a report that is generated after the FIV samples worksheet, DEV counts and results (for populations 1 through 4), and TPS comments (for populations 3 and 5) have been completed. The report calculates errors for each applicable FIV sample and DEV sort.

7. Wage Item Validation Report

This function displays a report that is generated after the wage item validation worksheet has been completed.

8. Export Summary and Analytical Report

This function creates a text file of the summary and analytical report to send to the national office.

F. Utilities Menu

The sixth menu on the tool bar is called “Utilities.” Options in this menu include:

1. Compact Database

Eliminates the temporary memory storage by compacting the database. This feature removes unnecessary files remaining in temporary memory storage after an import has been completed, without deleting files required for analysis and validation. In order for the software and database to function properly and efficiently during the import of large files, the user should compact the database prior to every import. Otherwise, errors may result even if the underlying source file is properly formatted. These overload errors may show up in both the error counter on the import screen and as database “overload” errors in the import.txt file. This function is only applicable to Access users. Users should exit the application after compacting and then reopen the application for further use.

2. Switch Database

This function allows the user to select from multiple databases using a drop down menu. This functionality may be helpful if you have:

- to access the state’s validation database as well as the demo database
- archived prior validation findings but still want to easily access them through the application
- split the validation file into two databases to keep the size manageable in large states

G. Window Menu

The seventh menu on the start-up screen is called “Window.” Options in this menu include:

1. Cascade

Realign open windows to appear in a cascade from the top left corner of the screen.

2. Tile Horizontal

Realign open windows horizontally.

3. Tile Vertical

Realign open windows vertically. This menu also indicates the name of the open windows, with a check next to the dominant window.

H. Help Menu

The eighth menu on the start-up screen is called "Help." Options in this menu include:

1. Help Contents

This feature is under development.

2. Contacting Mathematica Policy Research, Inc.

This feature provides contact information for users who would like additional assistance with installing or using the software. Users should email UITA@mathematica-mpr.com, and specify the software version being used, the specific question, and the user's contact information.

3. About

This feature provides the software version number and product development information for the application.

V. RECORD LAYOUTS

Five validation extract files are produced based on the following record layout specifications. Population 1 is active employers, population 2 is report filing, population 3 is status determinations, population 4 is accounts receivable, and population 5 is field audits.

Please see the Tutorial chapter of this user's guide, specifically the section on Importing Records, for more information on how to use the record layouts.

Population 1 Record Layout

Extract file type is - ASCII, comma delimited columns. The record layout should be used to create a reconstruction file of all active employers on the last day of the Report Quarter (RQ) covered by the ETA 581 being validated. Reconstruction should be done at the end of the RQ being validated (when the ETA 581 report program is run.) The Module 3 reference indicates the step where the State-specific values are documented. Data must be in the order and format listed in the Data Type/Format column. The Data Type/Format column also indicates the generic values for text fields. These must be followed by a dash and the State-specific value. All fields listed as mandatory are required fields. All other field values are required only for specific types of employers as described in Appendix A Table 1.

Number	*Field Name*	*Module 3 Reference*	*Field Description*	*Data Type/Format*
1	OBS		Sequential number, start at 1	Number – 00000000 (Mandatory)
2	EAN	Step 1A	Employer Account Number	Number – 000000000 (Mandatory)
3	Employer Status Indicator	Step 3A	Indicate that the employer is an active employer.	Text – A (Mandatory)
4	Employer Type	Step 2A Step 2B	Indicate whether the employer type is contributory or reimbursable.	Text – C; R (Mandatory)
5	Liability Date (Met Threshold)	Step 14	Indicate the most recent date on which the employing unit met the State law definition of a newly established or successor employer.	Date – MM/DD/YYYY (Mandatory)
6	Reactivation Process Date	Step 16	Indicate the date on which an employer account was updated on the State's system to reflect the reactivation of a previously inactivated or terminated employer.	Date – MM/DD/YYYY
7	Inactive/Terminated “as of” Date	Step 5	Indicate the effective date for the termination or inactivation status of the employer.	Date – MM/DD/YYYY
8	Activation Processing Date	Step 15	Indicate the date on which an account was established on State’s system for an “employer,” under the State unemployment compensation law.	Date – MM/DD/YYYY
9	Number of Liable Quarters	Step 7B	Indicate the number of consecutive quarters between the date the employer was activated or reactivated on State’s system and the quarter prior to the report quarter being validated. Field is unlimited length. If the number of liable quarters is eight or more, the value should be reported as eight. If the employer was activated or reactivated during the report quarter, then the number of liable quarters is zero.	Number – 0 (Mandatory)

Number	*Field Name*	*Module 3 Reference*	*Field Description*	*Data Type/Format*
10	Wages in Quarter 1	Step 7A	Total wages for the employer in the quarter prior to the report quarter. Enter 0.00 for either zero wage reports or reports that weren't filed. Field is unlimited length.	Number – 000000000000.00 (Mandatory)
11	Wages in Quarter 2	Step 7A	Total wages for the employer in the second quarter prior to the report quarter. Enter 0.00 for either zero wage reports or reports that weren't filed. Field is unlimited length.	Number – 000000000000.00 (Mandatory)
12	Wages in Quarter 3	Step 7A	Total wages for the employer in the third quarter prior to the report quarter. Enter 0.00 for either zero wage reports or reports that weren't filed. Field is unlimited length.	Number – 000000000000.00 (Mandatory)
13	Wages in Quarter 4	Step 7A	Total wages for the employer in the fourth quarter prior to the report quarter. Enter 0.00 for either zero wage reports or reports that weren't filed. Field is unlimited length.	Number – 000000000000.00 (Mandatory)
14	Wages in Quarter 5	Step 7A	Total wages for the employer in the fifth quarter prior to the report quarter. Enter 0.00 for either zero wage reports or reports that weren't filed. Field is unlimited length.	Number – 000000000000.00 (Mandatory)
15	Wages in Quarter 6	Step 7A	Total wages for the employer in the sixth quarter prior to the report quarter. Enter 0.00 for either zero wage reports or reports that weren't filed. Field is unlimited length.	Number – 000000000000.00 (Mandatory)
16	Wages in Quarter 7	Step 7A	Total wages for the employer in the seventh quarter prior to the report quarter. Enter 0.00 for either zero wage reports or reports that weren't filed. Field is unlimited length.	Number – 000000000000.00 (Mandatory)
17	Wages in Quarter 8	Step 7A	Total wages for the employer in the eighth quarter prior to the report quarter. Enter 0.00 for either zero wage reports or reports that weren't filed. Field is unlimited length.	Number – 000000000000.00 (Mandatory)
18	User Field		User defined field	Text

Population 2 Record Layout

Extract file type is - ASCII, comma delimited columns. The record layout should be used to create a reconstruction file of all employers owing contributions or required reports for the same employer report quarter (ERQ), due in the same RQ, which were received timely or secured in the RQ, or reported as resolved in RQ+1. The entire population extract can be run at the end of RQ+1. The Module 3 reference indicates the step where the State-specific values are documented. Data must be in the order and format listed in the Data Type/Format column. The Data Type/Format column also indicates the generic values for text fields. These must be followed by a dash and the State-specific value. All fields listed as mandatory are required fields. All other field values are required only for specific types of report filings as described in Appendix A Table 2.

Number	*Field Name*	*Module 3 Reference*	*Field Description*	*Data Type/Format*
1	OBS		Sequential number, start at 1	Number – 00000000 (Mandatory)
2	EAN	Step 1A	Employer Account Number	Number – 000000000 (Mandatory)
3	Employer Report Quarter (ERQ)	Step 1B	Indicate the calendar quarter of business activity covered by an employer's contributions report.	Number - YYYYQQ (Mandatory)
4	Employer Type	Step 2A Step 2B	Indicate whether the employer type is contributory or reimbursable.	Text – C; R (Mandatory)
5	Received Date (Initial)	Step 9	Indicate the date of receipt by the agency of the contributions required report by a subject employer.	Date – MM/DD/YYYY
6	Final Assessment Date	Step 10	Indicate the date a final assessment becomes legally due and collectible.	Date – MM/DD/YYYY
7	Liability Date (Initial or Reopen)	Step4A Step 4B	Indicate the date on which an employing unit meets the State's legal definition of an employer and is registered and required to file reports.	Date – MM/DD/YYYY
8	Liability Date (Met Threshold)	Step 14	Indicate the most recent date on which the employing unit met the State law definition of a newly established or successor employer.	Date – MM/DD/YYYY
9	Inactive/Termin ated "as of" Date	Step 5	Indicate the effective date for termination or inactivation status of the employer.	Date – MM/DD/YYYY
10	Suspended "as of" Quarter	Step 5	Indicate the specific ERQ for which the State has suspended the employer's report filing requirement.	Number - YYYYQQ
11	Inactivation/Ter mination Processing Date	Step 6A-C	Indicate the processing date for the inactivation or termination status of the employer.	Date – MM/DD/YYYY
12	User Field		User defined field	Text

Population 3 Record Layout

Extract file type is - ASCII, comma delimited columns. The record layout should be used to create a reconstruction file of all status determinations made by the State during the RQ covered by the ETA 581 being validated. Reconstruction should be done at the end of the RQ being validated (when the ETA 581 report program is run.) The Module 3 reference indicates the step where the State-specific values are documented. Data must be in the order and format listed in the Data Type/Format column. The Data Type/Format column also indicates the generic values for text fields. These must be followed by a dash and the State-specific value. All fields listed as mandatory are required fields. All other field values are required only for specific types of status determinations as described in

Number	***Field Name***	***Module 3 Reference***	***Field Description***	***Data Type/Format***
1	OBS		Sequential number, start at 1	Number – 00000000 (Mandatory)
2	EAN	Step 1A	Employer Account Number	Number – 000000000 (Mandatory)
3	Employer Type	Step 2A Step 2B	Indicate whether the employer type is contributory or reimbursable.	Text – C; R (Mandatory)
4	Status Determ Type Indicator	Step 11A- D	Indicate status determination type by New, Successor, Inactivation or Termination.	Text – N; S; I; T (Mandatory)
5	Time Lapse	Step 12	Place a zero (0) in this field. (Software generates the time lapse)	Number – 0
6	Status Determination Date(s)	Step 13	Indicate the date of any recorded administrative action that establishes, modifies, changes, inactivates, or terminates an employing unit's liability as an employer.	Date – MM/DD/YYYY (Mandatory)
7	Liability Date (Met Threshold)	Step 14	Indicate the most recent date on which the employing unit met the State law definition of a newly established or successor employer.	Date – MM/DD/YYYY (Mandatory)
8	End of Liable Quarter	Step 14	Indicate the last day of the quarter in which the employing unit met the State law definition of a newly established or successor employer. States that do not have this should leave the field blank; the value will then be calculated by the software.	Date – MM/DD/YYYY
9	Activation Processing Date	Step 15	Indicate the date on which an account was established on the State's system for an "employer," under the State unemployment compensation law.	Date – MM/DD/YYYY
10	Reactivation Process Date(s)	Step 16	Indicate the date on which an employer account was updated on the State's system to reflect the reactivation of a previously inactivated or terminated employer.	Date – MM/DD/YYYY

Number	Field Name	Module 3 Reference	Field Description	Data Type/Format
11	Successorship Process Date(s)	Step 17	Indicate the date on which an employer account was established or updated to reflect an acquisition by the employer which met the State law definition of successorship.	Date – MM/DD/YYYY
12	Predecessor Account Number	Step 18	Indicate the account number for an employing unit that has been acquired by another employer.	Number – 000000000
13	Inactivation Processing Date(s)	Step 6A or Step 6B	Indicate the processing date for the inactivation status of the employer.	Date – MM/DD/YYYY
14	Termination Processing Date(s)	Step 6A or Step 6C	Indicate the processing date for the termination status of the employer.	Date – MM/DD/YYYY
15	User Field		User defined field	Text

Population 4 Record Layout

Extract file type is - ASCII, comma delimited columns. The record layout should be used to create a reconstruction file of accounting transactions during the RQ that establish, liquidate or declare uncollectible a receivable. Also include in the file receivables balances for all accounts with receivables at the end of the RQ. Reconstruction should be done at the end of the RQ covered by the ETA 581 being validated (when the ETA 581 report program is run.) The Module 3 reference indicates the step where the State-specific values are documented. Data must be in the order and format listed in the Data Type/Format column. The Data Type/Format column also indicates the generic values for text fields. These must be followed by a dash and the State-specific value. All fields listed as mandatory are required fields. All other field values are required only for specific types of accounts receivable as described in Appendix A Table 4.

Number	***Field Name***	***Module 3 Reference***	***Field Description***	***Data Type/Format***
1	OBS		Sequential number, start at 1	Number – 00000000 (Mandatory)
2	EAN	Step 1A	Employer Account Number	Number – 000000000 (Mandatory)
3	Employer Type	Step 2A Step 2B	Indicate whether the employer type is contributory or reimbursable.	Text – C; R (Mandatory)
4	Transaction Date	Step 19A	Indicate the date that a transaction was entered into the system.	Date – MM/DD/YYYY
5	Established Q/Date	Step 19B	Indicate the date that a past due contribution was entered into the system.	Date – MM/DD/YYYY
6	Employer Report Quarter (ERQ)	Step 1B	Indicated the calendar quarter of business activity covered by an employer's contributions report.	Number – YYYYQQ
7	Due Date	Step 20	Indicate the date after which the State imposes interest and penalty for late payment.	Date – MM/DD/YYYY
8	Transaction Type/Indicator	Step 21A- C	Indicate the transaction type code for receivables established, liquidated, declared uncollectible or removed. Use a code of B for records of account balances at the end of the RQ.	Text – E; L; U; B; R
9	Amount Established in RQ	Step 22	Indicate the amount of contributions or payments determined to be past due during the report quarter. Field is unlimited in length.	Number – 000000000000.00
10	Liquidated (Pay/Adj)	Step 23	Indicate the amount of receivables liquidated during the report quarter. Field is unlimited in length.	Number – 000000000000.00
11	Uncollectible	Step 24	Indicate the amount of receivables declared uncollectible during the report quarter. Field is unlimited in length.	Number – 000000000000.00

Number	*Field Name*	*Module 3 Reference*	*Field Description*	*Data Type/Format*
12	Removed	Step 25	Indicate the amount of receivables removed during the report quarter. Field is unlimited in length.	Number – 000000000000.00
13	Balance at end of RQ	Step 26	Indicate the total amount of past due contributions as of the last day of the report quarter being validated. For aging, States should capture a separate record for each employer report quarter that has a balance, rather than an aggregate balance for each employer. Field is unlimited in length.	Number – 000000000000.00
14	Age of Receivable	Step 27A Step 27B	Indicate the age of receivable in days for receivable balances at the end of the report quarter. Field is unlimited in length.	Number - 0000000000000
15	User Field		User defined field	Text

Population 5 Record Layout

Extract file type is - ASCII, comma delimited columns. The record layout should be used to create a reconstruction file of all field audits completed during the RQ covered by the ETA 581 being validated. The Module 3 reference indicates the step where the State-specific values are documented. Data must be in the order and format listed in the Data Type/Format column. The Data Type/Format column also indicates the generic values for text fields. These must be followed by a dash and the State-specific value. All fields listed as mandatory are required fields. All other field values are required only for specific types of field audits as described in Appendix A Table 5.

Number	*Field Name*	*Module 3 Reference*	*Field Description*	*Data Type/Format*
1	OBS		Sequential number, start at 1	Number – 00000000 (Mandatory)
2	EAN	Step 1A	Employer Account Number	Number – 000000000 (Mandatory)
3	Audit ID #	Step 1E	Indicate the audit identification number.	Number – 00000000 (Mandatory)
4	Employer Size	Step 28A- B	Indicate whether the employer size is large or small.	Text – L; S (Mandatory)
5	Change Audit	Step 29A- B	Indicate whether an audit resulted in a discovery of wages, contributions or employees not previously reported.	Text – Y; N (If field is blank, software will determine if record has value not equal to 0 in anyone of fields 9,10,14,15,19,20. Software will then place a Y in the field.)
6	Audit Completion Date	Step 30	Indicate the date the audit was completed and recorded or posted as such.	Date – MM/DD/YYYY (Mandatory)
7	Total Wages Pre-audit	Step 31A	Indicate the full amount of pre-audit total wages reported for quarters audited. Field is unlimited in length.	Number – 000000000000.00
8	Total Wages Post-Audit	Step 31B	Indicate the full amount of total wages recorded in audit summaries for audited quarters. Field is unlimited in length.	Number – 000000000000.00
9	Total Wages Under-reported	Step 31C	Indicate the full amount of under reported total wages discovered as a result of the audit. Field is unlimited in length.	Number – 000000000000.00
10	Total Wages Over-reported	Step 31D	Indicate the full amount of over reported total wages discovered as a result of the audit. Field is unlimited in length.	Number – 000000000000.00
11	Total Reconciliation Amount	Step 31E	Place a zero (0) in this field. (Software generates amount)	Number – 0

Number	*Field Name*	*Module 3 Reference*	*Field Description*	*Data Type/Format*
12	Pre Taxable Wages	Step 32A	Indicate the full amount of pre-audit taxable wages reported for quarters audited. Field is unlimited in length.	Number – 000000000000.00
13	Post Taxable Wages	Step 32B	Indicate the full amount of post-audit taxable wages for quarters audited. Field is unlimited in length.	Number – 000000000000.00
14	Under Taxable Wages	Step 32C	Indicate the full amount of under reported taxable wages discovered as a result of the audit. Field is unlimited in length.	Number – 000000000000.00
15	Over Taxable Wages	Step 32D	Indicate the full amount of over reported taxable wages discovered as a result of the audit. Field is unlimited in length.	Number – 000000000000.00
16	Tax Reconciliation Amount	Step 32E	Place a zero (0) in this field. (Software generates amount)	Number – 0
17	Pre Contributions	Step 33A	Indicate the full amount of pre-audit contributions reported for quarters audited. Field is unlimited in length.	Number – 000000000000.00
18	Post Contributions	Step 33B	Indicate the full amount of post-audit contributions reported for quarters audited. Field is unlimited in length.	Number – 000000000000.00
19	Under Contributions	Step 33C	Indicate the full amount of under reported contributions discovered as a result of the audit. Field is unlimited in length.	Number – 000000000000.00
20	Over Contributions	Step 33D	Indicate the full amount of over reported contributions discovered as a result of the audit. Field is unlimited in length.	Number – 000000000000.00
21	Contributions Reconciliation Amount	Step 33E	Place a zero (0) in this field. (Software generates amount)	Number – 0
22	User Field		User defined field.	Text