

Data Validation Results for Validation Year 2013 Compared with 2012

Overview

Compared with the previous validation year (VY), DV results during 2013 improved across the board. Overall, the rate of items passing or not due increased by 4.6 percentage points to 59% and the rate of items not submitted fell by 5 percentage points. Overall, states submitted 78% of DV items due. The pass rate improved 4% for Benefits, 11% for Tax, and 14% for Modules 4 and 5. Five states submitted no Benefits populations and five also submitted no Tax populations; three submitted no Module 4 or 5 validations. Two states submitted no DV items at all, down from three in 2012. In order to maintain comparability with 2012, these benefit summary results do not include Population 15, due for validation for the first time in VY 2013.

All Data Validation Results, VY 2013 vs. VY 2012							
Validation	Number of State Validations			All Items	Percent of Total Items		
	Pass/ND	Failed	Not Submitted		Pass/ND	Failed	Not Submitted
Validation Year 2013							
Benefits-2013	415	179	186	780	53.2%	22.9%	23.8%
Tax-2013	152	56	57	265	57.4%	21.1%	21.5%
Module 4 & 5-2013	295	46	83	424	69.6%	10.8%	19.6%
All 2013	862	281	326	1469	58.7%	19.1%	22.2%
Validation Year 2012							
Benefits-2012	399	175	206	780	51.2%	22.4%	26.4%
Tax-2012	137	56	72	265	51.7%	21.1%	27.2%
Module 4 & 5-2012	259	42	123	424	61.1%	9.9%	29.0%
All 2012	795	273	401	1469	54.1%	18.6%	27.3%
Change from VY 2012 to VY 2013							
Benefits	16	4	-20	0	2.1%	0.5%	-2.6%
Tax	15	0	-15	0	5.7%	0.0%	-5.7%
Module 4 & 5	36	4	-40	0	8.5%	0.9%	-9.4%
All Items	67	8	-75	0	4.6%	0.5%	-5.1%

Benefits Populations

Comparing the populations validated in both 2012 and 2013, the number of populations passed or not due because of previous passes stood at 53% at the end of VY 2013, an increase from VY 2012, and the number of populations not submitted fell by about 3 percentage points from the year before. (Only 26% of the states passed with new Population 15 and including it would have pulled the average down.) Populations 2, 6, 7, 10 and 11 remained the easiest to validate, with pass rates over 70%. Populations 3 and 13 are the most difficult; only 11 States (21%) have passed them. As a group, the integrity populations are the most difficult, perhaps because states have not caught up with the changes (between 41% and 52% have not been submitted.) The GPRA

populations are only slightly less difficult; only 32% of the states passed Population 4 and 23% passed Population 12. In VY 2013, five states submitted no Benefits populations, the same as 2012: Massachusetts, Virgin Islands, Colorado, and New Mexico were in both years. In 2013, Oregon replaced Idaho as a no-submitter. It is noteworthy that the number of non-submitted populations fell by 20 (10%) from 2012 to 2013.

U.S. Totals for DV Benefits Population Results in VY 2013								
	Benefits							
	Number of State Validations				Percents of Total Due			
Population	Pass/ND	Failed	Not Submitted	Due	Pass/ND	Failed	Not Submitted	
1	34	10	9	53	64.2%	18.9%	17.0%	
2	38	6	9	53	71.7%	11.3%	17.0%	
3	11	27	15	53	20.8%	50.9%	28.3%	
3a	31	11	11	53	58.5%	20.8%	20.8%	
4*	17	19	17	53	32.1%	35.8%	32.1%	
5	22	18	13	53	41.5%	34.0%	24.5%	
6	46	2	5	53	86.8%	3.8%	9.4%	
7	38	4	6	48	79.2%	8.3%	12.5%	
8	34	11	8	53	64.2%	20.8%	15.1%	
9	32	7	9	48	66.7%	14.6%	18.8%	
10	39	7	7	53	73.6%	13.2%	13.2%	
11	36	5	7	48	75.0%	10.4%	14.6%	
12*	12	19	22	53	22.6%	35.8%	41.5%	
13	11	16	26	53	20.8%	30.2%	49.1%	
14	14	17	22	53	26.4%	32.1%	41.5%	
15	14	11	28	53	26.4%	20.8%	52.8%	
All 2013*	415	179	186	780	53.2%	22.9%	23.8%	
All 2012	399	175	206	780	51.2%	22.4%	26.4%	
Change	16	4	-20	0	2.1%	0.5%	-2.6%	

*Totals exclude Population 15.

Tax

The Tax pass rate was up to about 57%, up nicely from last year, and the non-submission rate was down to 22% in VY 2012. In 2013 five states submitted no tax population results, down from 9 in 2012 and 13 in 2011. Last year the no-submit states accounted for 63% of all non-submitted populations; in 2013, that is down to 44%. Among the tax populations, 1 is by far the easiest to validate (almost 80% pass rate); Population 4 is the most difficult at 30%. The GPRA population, the pass rate for Population 3 is now up to 50%, substantially over the two benefits GPRA populations (22% and 32%)..

U.S. Totals for DV Tax Population Results in VY 2013							
Tax							
	Number of State Validations				Percentage of Total Due		
Population	Pass/ND	Failed	Not Submitted	Due	Pass/ND	Failed	Not Submitted
1	42	5	6	53	79.2%	9.4%	11.3%
2	32	11	10	53	60.4%	20.8%	18.9%
3	27	15	11	53	50.9%	28.3%	20.8%
4	16	19	18	53	30.2%	35.8%	34.0%
5	35	6	12	53	66.0%	11.3%	22.6%
All 2013	152	56	57	265	57.4%	21.1%	21.5%
All 2012	137	56	72	265	51.7%	21.1%	27.2%
Change	15	0	-15	0	5.7%	0.0%	-5.7%

Modules 4 and 5

Pass rates improved substantially over 2012: the pass rate rose from 61 to 69%, and the non-submission rate dropped from 29% to 20%. Overall, pass rates were higher than for Benefits or Tax populations. The Wage Item validation was the easiest to pass; 38 of 40 states that completed it passed. This was followed by the Field Audit acceptance sample. All Module 4 validation pass rates exceeded 58%. Only three States submitted no Module 4 or 5 validations in 2011: Virgin Islands, New Mexico, and Idaho. They accounted for 20% of the validations due but not submitted in 2011. Overall, the number of non-submitted validation fell by 40, or almost one third.

U.S. Totals for Module 4 and 5 Results in VY 2013							
Modules 4 and 5							
	Number of State Validations				Percentage of Total Due		
Validation	Pass/ND	Failed	Not Submitted	Due	Pass/ND	Failed	Not Submitted
Seps	39	3	11	53	73.6%	5.7%	20.8%
Nonseps	37	5	11	53	69.8%	9.4%	20.8%
Appeal	37	4	12	53	69.8%	7.5%	22.6%
New Stat	33	11	9	53	62.3%	20.8%	17.0%
Successor	31	13	9	53	58.5%	24.5%	17.0%
Inact/Term	40	4	9	53	75.5%	7.5%	17.0%
Field Aud	40	4	9	53	75.5%	7.5%	17.0%
Wage Item	38	2	13	53	71.7%	3.8%	24.5%
2013 Totals	295	46	83	424	69.6%	10.8%	19.6%
2012 Totals	259	42	123	424	61.1%	9.9%	29.0%
Change	36	4	-40	0	8.5%	0.9%	-9.4%

State Performance Notes

1. The Non-Submitters

The number of States with zero Tax submissions fell substantially in 2013, from nine to five. These states were:

- Virgin Islands, Pennsylvania Colorado, New Mexico Nevada

Five states submitted no Benefits Population results:

- Massachusetts, Virgin Islands, New Mexico, Colorado, Oregon

Three states submitted no Module 4 or 5 results:

- Virgin Islands, New Mexico, Idaho

Only two states (VI, NM) submitted no results of any kind.

2. Who Improved, Who Regressed

The following table identifies the top and bottom states for improvement or decline in Benefit Populations, Tax Populations, and Module 4&5 validations. The criteria are change in the non-submission of items due and in the items Passed or Not Due between VY 2012 and VY 2013. Declining values are in red. Improvement in Items Due and Not Submitted are negative values. For example, Hawaii improved by 10 in the number of Benefits populations due but not submitted, whereas Kansas regressed by 9 between the two validation years.

Change from 2011 to 2012: States With Largest Change by Type of DV Item				
<i>All DV Items: Non-submission of results Due</i>				
Rank	State	Improvement	State	Decline
1	Idaho	17	Oklahoma	8
2	Kansas	12	Michigan	5
3	Alabama, Wyoming	9	MO, ND, NJ, TN, WA	3
<i>All DV Items: Passed + Not Due</i>				
1	Hawaii	14	MO	6
2	Indiana	8	MS, NE, NJ, OK	5
3	VT, SD	7	LA, TN, WA, MI	4
<i>Benefits Population Results: Non Submission of Results Due</i>				
Rank	State	Improvement	State	Decline
1	Idaho	12	OK, MO, WA	3
2	Kansas	9	VT, UT, PR	2
3	Wyoming	7	NY, MS, IA, NE, HI, OR	1
<i>Benefits Population Results: Passed + Not Due</i>				

1	Hawaii	7	MS, MD	6
2	CA, IN	5	LA	4
3	AZ, GA	4	KS, NE, TN, WA	3
<i>Tax Population Results: Non Submission of Results Due</i>				
1	Idaho	5	Michigan	3
2	AL, IA, OR	3	MN, CA, HI	1
3	MS, WY	2		
<i>Tax Population Results: Passed + Not Due</i>				
1	Minnesota	4	Michigan	2
2	AL, OR	3	NH, FL, NC, ND, CA	1
3	HI, IL, WY, IA,	2		
<i>Module 4 and 5 Results: Non Submission of Results Due</i>				
1	MA, VT, SD, HI	7	OK	5
2	CT	4	NJ	3
3	KY, IN, KS	3	PA, MI	2
<i>Module 4 and 5 Results: Passed + Not Due</i>				
1	South Dakota	7	OK	5
2	HI, VT	5	NJ	3
3	MA, CT	4	NE, WA	2

The Outlook for VY 2014

Overall, further progress can be expected in 2014. Colorado is receiving assistance from a contractor on validation; and the Virgin Islands has reached out for technical assistance. New Mexico has been working intensively on DV now that its benefits and tax systems have become operational. Many of the declines in performance have occurred in states that have previously completed—if not passed—validations, and so have a history of validation and presumably an intact structure. Once they get through the transition to new staff, validation activity can be expected to resume. Some of the lack of performance on the revised 227 populations was due to lack of explicit emphasis on OUI's part that the revised populations needed to be revalidated in 2013 because of the requirement that if any reporting system or report changes, affected reports must be revalidated within one year even if the old version passed within the previous two years. States were to implement the revised 227 report for the March 31, 2012 period; the associated validation software became available in August 2012.