

SAMPLED CASE REPLACEMENT

SAMPLING SPECIFICATIONS

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REPLACEMENT RULES FOR ACCEPTANCE SAMPLE CASES

There may be transactions in the selected sample that are difficult to review or are incorrectly selected.

In some very limited circumstances, replacement of these cases is acceptable.

This section describes these circumstances.

RULE 1:

Do not over-sample.

TPS reviewers should select exactly the number of acceptance sample cases specified by the instructions in this handbook. Do not select additional transactions as replacements for transactions that cannot be reviewed. Over-sampling will produce inaccurate measurements whether all or part of the sample is reviewed.

(a) If the entire over-sample is reviewed, the review will hold the SESA to an unnecessarily high standard because there is the possibility of more failures. [Note: In samples other than acceptance samples, the option exists to expand sample sizes for added measurement precision. As long as they review all transactions sampled, this will not be considered over-sampling.]

(b) If reviewers sample extra cases but review only the minimum required by TPS, they must choose the cases not to review. This choice introduces procedural uncertainty that limits the accuracy of review findings.

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RULE 2:

One unreviewable case may be replaced in each sample.

Unreviewable transactions are those that do not permit review because the case records are missing, incomplete, or uninterpretable. There will be times when records are lost in the mail, unreadable due to poor transfer to microfiche, misfiled, or otherwise unavailable. Rather than halting the review automatically when cases are missing one case may be replaced if it is un-retrievable. This will provide States some leeway to conduct a complete review of the accuracy of transaction processing even though a single case may be un-retrievable. IN INSTANCES OF THIS TYPE, REPLACEMENT IS ALLOWED FOR ONE AND ONLY ONE LOST CASE.

Since documentation of the transaction and control of records are key items for systems reviews, eliminating poorly documented cases will fail to identify a critical problem. Cases for which one part of the processing (documentation) is handled inappropriately are more likely to have other problems. In general, cases that are unreviewable fail the acceptance sample. Eliminating all these cases from the sample will lead to biased results.

Also remember that the sample sizes are set to provide 90 percent confidence that the true error rate is less than 5% if no errors are found. Five percent is a very high error rate to tolerate for relatively straightforward record keeping. If there is not reasonable assurance that 1 in 20 records is available in a reviewable form, there is a serious problem.

Despite the general prohibition on replacement of unreviewable cases, the one case replacement rule is made to the realities of the review process. To conduct the Acceptance Sample review, TPS staff will need to locate the case records. Most samples will be selected from a master list of transactions. In some cases the