

UI REPORTS HANDBOOK NO. 401
Introduction and General Reporting Instructions

INTRODUCTION AND GENERAL REPORTING INSTRUCTIONSPage

A.	Handbook Purpose	ii
B.	Reporting Policy	ii
C.	Handbook Structure	ii
D.	Handbook Revisions	ii
E.	Page Numbers	iii
F.	Forms	iii
G.	Electronic Reporting	iii
H.	Timeliness	iii
I.	Mailing Address.....	iv
J.	Report Comments	iv
K.	Classification by Program.....	iv
L.	Records Retention	v
M.	Dollar Amounts.....	v
N.	Procedures for Rounding Numbers.....	v
O.	Missing Values / Total Cells	v
P.	State Codes	v
Q.	Other Reporting Requirements	v
R.	Bureau of Labor Statistics	vi

UI REPORTS HANDBOOK NO. 401

Introduction and General Reporting Instructions

A. Handbook Purpose

This handbook contains instructions for use by State Workforce Agencies (SWAs) for the preparation and submittal of most Unemployment Insurance (UI) reports. ET Handbook No. 402, Unemployment Insurance Required Reports Handbook, which shows how to report through the UI electronic entry system, should be used in conjunction with these instructions. See also Section Q., Other Reporting Requirements, for other reports not contained in this handbook.

B. Reporting Policy

It is the policy of the Office of Workforce Security (OWS) to assure accuracy, uniformity, and comparability in the reporting of statistical data derived from state unemployment insurance operations through state adherence to Federal definitions of reporting items, use of specific formats, observance of reporting due dates, and regular verification of reporting items.

The National Office assists SWAs in meeting these requirements by setting forth definitions in specific instructions and through the Data Validation process. (See ET Handbook No. 361)

C. Handbook Structure

Instructions contained in the UI Reports Handbook are divided into sections by category such as Claimant Activity or Fund Management Activity. Each report generally contains the following sub-sections:

- Contents
- Facsimile of Form
- Purpose
- Due Date and Transmittal
- General Reporting Instructions
- Definitions
- Item by Item Instruction
- Special Program Reporting

D. Handbook Revisions

Handbook revisions are distributed through Handbook Transmittals issued from the National Office. Dates of issuance are displayed at the bottom of each revised page.

UI REPORTS HANDBOOK NO. 401
Introduction and General Reporting Instructions

E. Page Numbers

Page numbers are displayed at the bottom of each page. The page number formats consist of a section [Roman numeral], chapter [number], and then page [number] within the chapter.

F. Forms

Hard copy forms are only to be used for those instances when electronic reporting is not possible because of hardware or software failure (see G. below).

G. Electronic Reporting

Report data contained in this handbook, unless specifically excluded, must be transmitted electronically. (Consult separate Handbook No. 402, Unemployment Insurance Required Reports User's Manual for electronic reporting instructions.) Data entry screens for electronic transmission resemble the paper form to the extent technically possible. Any report transmitted electronically should not be reported on hard copy to either the National Office or the Regional Office unless there are specific instructions to the contrary. Electronic submittal is more timely and allows for immediate feedback to states on the numbers entered. It also allows the National Office to directly transfer the data into a National Office computer data base.

Reports ordinarily transmitted electronically may be transmitted by hard paper copy **only** when hardware, or software problems arise which will not allow for timely electronic transmittal. Paper transmittal should not be used to circumvent edits which prevent transmissions. Rather, errors should be investigated and corrected. If reports are submitted in hard copy, one copy of the report should be transmitted to the National Office to the address given in Section I. "Mailing Address" as listed below. To assure consistency between the state and National Office data bases, electronic reports submitted on paper should be resubmitted electronically when hardware or software problems are resolved. If paper reporting is used, the reason that electronic reporting was unavailable should be specified in the comments. Due dates remain the same whether electronically transmitted or a hard copy is mailed. Sufficient time should be allowed for the reports to arrive on or before the required due date.

H. Timeliness

Reports must be sent in time to arrive in the National Office by the due date. Delinquency of reports which are electronically sent is determined by the date the report was submitted. The submission date is stored in the data base as the mail date (**mldate**). The system automatically assigns a mail date at the time of submission. The mail date cannot be altered once assigned. The report

UI REPORTS HANDBOOK NO. 401

Introduction and General Reporting Instructions

submission process transfers a copy of the report data to a file on the state system. The National Office system polls each state system every night and retrieves these files. To assure that a report arrives in the National Office by the due date, it must be submitted on or before the due date. If there are network communications problems that prevent data pick up of reports, the report will still be considered on time if it was submitted on or before the due date.

Timeliness of reports which cannot be submitted electronically is determined by the date of arrival in the National Office. SWAs should allow for mail time when sending a report by mail.

I. Mailing Address

For reports submitted by mail, unless otherwise specified in instructions, one copy should be sent to the appropriate Regional Office and one to the National Office at the following address:

U.S. Department of Labor
Employment and Training Administration
Attn: OWS/UI-Reports, Rm. S-4231
200 Constitution Avenue, N.W.
Washington, DC 20210

Submit faxes to 202-693-3229 to the attention OWS/UI Reports.

J. Report Comments

Provisions have been made to include comments for all electronic reports. Comments should be provided to explain data fluctuations caused by policies, procedures, and/or local economic conditions.

The use of meaningful abbreviations is recommended if the space provided for comments is not adequate.

K. Classification by Program

Claims and payment activities may involve one or more programs. Joint claims are classified for reporting purposes as follows:

1. UI. All claims, either alone or in combination with UCFE and/or UCX,
2. UCFE. All UCFE claims, either alone or in combination with UCX,
3. UCX. Claims involving only UCX.

UI REPORTS HANDBOOK NO. 401
Introduction and General Reporting Instructions

L. Record Retention

Unless otherwise noted in specific instructions, source data supporting counts should be retained for at least three years.

M. Dollar Amount

Unless otherwise specified, all dollar amount entries should be rounded to the nearest whole dollar. Dollar amounts which are totals of other dollar amounts appearing on the same form should be the sum of the rounded sub-par figures.

N. Procedures for Rounding Numbers

Unless otherwise noted, the 5/4 rounding method is to be used. That is, if the digit to the right of the digit to be rounded is 5 or more, round up to the next higher digit. If the digit to the right of the digit to be rounded is 4 or less, round down, that is truncate. Values which are totals of other values appearing on the same form should be the sum of the rounded sub-part figures.

O. Missing Values / Total Cells

For the six regular program workload reports (ETA 5159, ETA 5130, ETA 218, ETA 207, ETA 581, and ETA 586) any values not filled in will prevent the report from being transmitted to the National Office.

Incomplete reports are not acceptable. For non-workload related reports or for workload related reports other than regular versions, cells not filled in are assumed to be zero and are automatically zero filled when left blank.

P. State Code

Federal Information Processing Standards (FIPS) two-digit alpha codes will be used for designating the State code unless otherwise specified. For electronically submitted reports, State and codes are automatically entered by the program.

Q. Other Reporting Requirements

Other UI reporting requirements not in this handbook are in the following handbooks, noted below, and should be consulted.

- HB 315 Adjustment Assistance for Workers Under the Trade Adjustment Assistance Amendments of 1981
- HB 336 State Quality Service Plan
- HB 365 UI Quality Appraisal
- HB 384 Unemployment Compensation for Ex-Servicemembers (UCX)

UI REPORTS HANDBOOK NO. 401

Introduction and General Reporting Instructions

HB 391	Unemployment Compensation for Federal Employees (UCFE)
HB 395	Quality Control
HB 399	Unemployment Compensation Claims Filed Under the Interstate Arrangement for Combining Employment and Wages
HB 407	Tax Performance System

This list of reporting requirements is not all inclusive. Other Office of Management and Budget (OMB) approved reporting is transmitted to SWAs via UI Program Letters, Reports and Analysis Letters, or other official directives.

R. Bureau of Labor Statistics

OWS cooperates with the Bureau of Labor Statistics in its collection of data for the ES 202, Employment, Wages and Contributions Report and for the Local Area Unemployment Statistics (LAUS) program. The data collected in these programs are also used by OWS for UI program purposes.

UI REPORTS HANDBOOK NO. 401

CONTENTS

Section-Chapter-Page

INTRODUCTION AND GENERAL REPORTING INSTRUCTIONS.....i

Section I – Claimant Activity

ETA 539	Weekly Claims and Extended Benefits Trigger Data	I-1-1
ETA 5159	Claims and Payment Activities	I-2-1
ETA 5130	Benefit Appeals Report.....	I-3-1
ETA 207	Nonmonetary Determination Activities.....	I-4-1
ETA 218	Benefit Rights and Experience	I-5-1
ETA 538	Advance Weekly Initial and Continued Claims Report.....	I-6-1

Section II – Fund Management Activity

ETA 2112	UI Financial Transaction Summary.....	II-1-1
ETA 581	Contribution Operations.....	II-2-1
ETA 191	Statement of Expenditures and Financial Adjustment of Federal Funds for Unemployment Compensation for Federal Employees and Ex-Service-members	II-3-1
ETA 204	Experience Rating Report	II-4-1
ETA 205	Preliminary Estimates of Average Employer Contribution Rates..	II-5-1

Section III – Banking Activity

ETA 8401	Monthly Analysis of Benefit Payment Account	III-1-1
ETA 8403	Summary of Financial Transactions Title IX Funds (Reed Act Money).....	III-2-1
ETA 8405	Monthly Analysis of Clearing Account	III-3-1
ETA 8413	Income-Expense Analysis, UC Fund, Benefit Payment Account..	III-4-1
ETA 8414	Income-Expense Analysis, UC Funds, Clearing Account	III-5-1

Section IV – Special Programs

ETA 586	Interstate Arrangement for Combining Employment and Wages..	IV-1-1
ETA 9016	Alien Claimant Activity Report	IV-2-1
ETA 227	Overpayment Detection and Recovery Activity	IV-3-1
ETA 203	Characteristics of the Insured Unemployed.....	IV-4-1
ETA 9048	Worker Profiling and Reemployment Services Activity	IV-5-1
ETA 9049	Worker Profiling and Reemployment Services Outcomes	IV-6-1
ETA 9047	Reemployment of UI Benefit Recipients	IV-7-1
ETA 9128	Reemployment and Eligibility Assessment Activities	IV-8-1
ETA 9129	Reemployment and Eligibility Assessments Outcomes	IV-9-1
ETA 902	Disaster Unemployment Assistance Activities	IV-10-1
ETA 9000	Internal Fraud Activities	IV-11-1

Section V – Benefit Time Lapse Quality

ETA 9050	First Payment Time Lapse.....	V-1-1
ETA 9051	Continued Weeks Compensated Time Lapse	V-2-1

UI REPORTS HANDBOOK NO. 401

CONTENTS

ETA 9052	Nonmonetary Determinations Time Lapse, Detection Date.....	V-3-1
ETA 9054	Appeals Time Lapse.....	V-4-1
ETA 9055	Appeals Case Aging.....	V-5-1
ETA 9056	Nonmonetary Determinations Quality Review.....	V-6-1
ETA 9057	Lower Authority Appeals Quality Review.....	V-7-1

UI REPORTS HANDBOOK NO. 401

ETA 539 Weekly Claims and Extended Benefits Trigger Data

CONTENTS

A. Facsimile of Form	I-1-3
1. ETA 539 Screen	I-1-3
2. Recommended Worksheet	I-1-4
B. Purpose	I-1-5
C. Due Date and Transmittal	I-1-5
D. General Reporting Instructions	I-1-5
1. Interstate Claims	I-1-5
2. Initial Claims	I-1-6
3. Continued Weeks Claimed	I-1-6
4. Adjustment of Data	I-1-6
5. Checking the Report	I-1-7
E. Definitions	I-1-7
1. Federal-State UI Extended Compensation Program	I-1-7
2. State UI Additional Compensation Program	I-1-7
3. Shot Time Compensation Program	I-1-7
4. State UI Regular Compensation Program	I-1-8
5. State Extended Benefit Period	I-1-8
6. 13-Week Period	I-1-8
7. Week Numbers	I-1-8
8. Comparison Weeks	I-1-8
9. Covered Employment	I-1-8
10. Determination of State Extended Benefit Period	I-1-9
F. Item by Item Instructions	I-1-12
1. IC	I-1-13
2. FIC	I-1-13
3. XIC	I-1-13
4. WSIC	I-1-13
5. WSEIC	I-1-13
6. CW	I-1-13
7. FCW	I-1-13
8. XCW	I-1-13
9. WSCW	I-1-13
10. WSECW	I-1-13
11. EBT	I-1-13
12. EBUI	I-1-13
13. ABT	I-1-13
14. ABUI	I-1-13
15. AT	I-1-13
16. CE	I-1-14
17. R	I-1-14
18. AR	I-1-14
19. P	I-1-14
20. Status	I-1-15

UI REPORTS HANDBOOK NO. 401

ETA 539 Weekly Claims and Extended Benefits Trigger Data

21. Status Change DateI-1-15
22. CommentsI-1-15
G. Standby Emergency ReportingI-1-16
H. Recommended WorksheetI-1-16

UI REPORTS HANDBOOK NO. 401

ETA 539 Weekly Claims and Extended Benefits Trigger Data

A. Facsimile of Forms

1. ETA 539 Screen

ETA 539 - CLAIMS AND EXTENDED BENEFITS DATA

STATE	REGION	REPORT FOR PERIOD ENDING					
Week Number:			Reflected Week Ending:				
IC:		FIC:		XIC:		WSIC:	
CW:		FCW:		XCW:		WSCW:	
EBT:		EBUI:		ABT:		ABUI:	
AT:		CE:		R:		AR:	
STATUS:			STATUS CHANGE DATE:				

Comments:

OMB No.: 1205-0028

OMB Expiration Date: 08/31/2009

OMB Burden Hours: 50 minutes

OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

2. Recommended Worksheet

UI REPORTS HANDBOOK NO. 401

ETA 539 Weekly Claims and Extended Benefits Trigger Data

RECOMMENDED WORKSHEET FOR THE TRIGGER PORTION OF THE ETA 539

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
WK. NO.	Week End Date	Insured Unemployment Regular (CW)	Insured Unemployment STC Equivocal (WSECW)	Total Insured Unemployment (2) + (3)	13 Week Total Current (4) + prior 12 weeks	13 Week Average (5)/13	Covered Employment	Rate Current 13 Week year (6)/(7)	Rate First Prior Year	Rate Second Prior Year	Average Rate 2 Prior years $\frac{(9) + (10)}{2}$	Percent (8)/(11)

01
02
03
04
.
.
.
.
50
51
52

UI REPORTS HANDBOOK NO. 401

ETA 539 Weekly Claims and Extended Benefits Trigger Data

B. Purpose

The Federal-State Extended Unemployment Compensation Act of 1970 (Title II of Public Law 91-373, Employment Security Amendments of 1970) and amendments govern the triggering on or off of the Extended Benefit (EB) program. This report serves as the state Administrator's initial notice to the Employment and Training Administration (ETA) National Office that a state extended benefit period will begin or end for a specified week. Subchapter 5724, Part V of the ES Manual, contains additional instructions for a letter from the state agency head to the Secretary of Labor stating the date of the beginning or ending of a state extended benefit period. That letter, along with this report, will enable the ETA National Office to confirm that an extended benefit period will begin or end in an individual state, and will enable the Secretary to have published in the Federal Register the notices required by the Act.

The claims data contained on the ETA 539 report are used in current economic analysis of unemployment trends in the Nation, and in each state. Initial claims measure emerging unemployment and continued weeks claimed measure the number of the insured unemployed. These data are published in ETA's weekly release "Unemployment Insurance Claims." The comments on claims activity are used to explain the changes in the levels of the data reported from week to week.

C. Due Date and Transmittal

Weekly reports shall be submitted in time to reach the ETA National Office by the opening of business Thursday following the week in which the claims were filed. If necessary to meet the due date, any state agency may cut off its report period at noon Friday.

This report will be transmitted electronically. If electronic transmittal is not possible, the data should be phoned or faxed into the ETA National Office.

D. General Reporting Instructions

1. Interstate Claims. Some liable states have claims taking arrangements with one or more agent states where a considerable number of claimants reside whose work prior to unemployment was in the liable state. These arrangements may consist of liable state staff taking interstate claims on its claims forms in one or more agent state's local offices; agent state staff taking related interstate claims on the liable state's claims forms; or terminals are used to enter claims directly into liable state's automated reporting system. In these arrangements, interstate claims should be counted as agent interstate claims for the purposes of ETA 539 by the agent state from which the claim is filed.

UI REPORTS HANDBOOK NO. 401

ETA 539 Weekly Claims and Extended Benefits Trigger Data

2. Initial Claims. Initial claims reported should consist of intrastate initial claims and interstate initial claims filed from the agent state. This count of interstate agent initial claims includes those taken by the agent state and those reported to the agent state as having been taken directly by the liable state.
3. Continued Weeks Claimed. This figure represents the insured unemployed in the reporting state and is used for economic purposes. The counts of continued weeks claimed for all unemployment benefit programs described in section E. consist of intrastate and interstate continued weeks claimed filed from the agent state whether actually taken by the agent state or reported back to the agent state by liable states. Interstate weeks claimed reported to the agent state by liable states should represent the total interstate weeks claimed to be included in this report as all claims filed from the agent state because the figures reported by the liable state include those claims taken directly by the agent state.

Counts of weeks compensated or of checks issued, or of processed weeks claimed should not be substituted for any part of the continued weeks claimed count unless rigid processing schedules are adhered to so that the count is not affected by administrative factors and does reflect the count of weeks claimed. Automated systems using proxy counts must be modified to gather the interstate agent state count, not the interstate liable weeks claimed count.

Continued weeks claimed should include weeks that benefits were claimed, even though such benefits were not paid or payment status is uncertain or unknown, e.g., waiting weeks, partial weeks, weeks for which denials are being served (when this is a local office reporting requirement) and weeks for which a monetary or nonmonetary issue is pending. The figures should reflect, as closely as possible, the normal seasonal level of claims activity. They should be adjusted as much as possible for administrative factors such as holiday rescheduling, the beginning or ending of biweekly reporting and reporting disruptions because of non-economic factors or emergencies such as computer failure, floods, fires, storms, etc.

4. Adjustment of Data. When claimants' filing dates for continued claims are rescheduled by the local office to a week other than their "normal" reporting week, or the state agency reschedules claimants from weekly to biweekly reporting, the counts of continued weeks claimed will often be affected. Estimates of continued weeks claimed under the UI, UCFE, UCX, and other programs should be made for each item and reported on the ETA 539 for each week that claims counts are thus affected. Because of the importance of accurate economic representation of the claims counts, only figures adjusted for non-economic distortions should be submitted. Adjustments of the weeks claimed should be made separately for each program. Only these adjusted figures should be reported on this report. Particular care should be taken to adjust biweekly data to eliminate the application of judgmental

UI REPORTS HANDBOOK NO. 401

ETA 539 Weekly Claims and Extended Benefits Trigger Data

factors. This is easily accomplished by relying upon the application of predetermined allocation or proration rules. Worksheets supporting these adjustments should be retained for future statistical audits.

For those weeks when continued weeks claimed were adjusted, the unadjusted figures should not be reported. That is, for each report week, only the adjusted continued weeks claims should be reported.

5. Checking the Report.

Entries should be made for all items. IC and CW figures should be compared with the same figures in the prior week and any large differences explained in the comments section if possible. If no activity corresponding to the items occurred during the report period, a zero should be entered. A report containing missing data can not be sent to the National Office but can be stored on the state's system. Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

E. Definitions

Except as noted below, definitions will be the same as those used in the UI program and found in the instructions for the ETA 5159, section I-2 of this handbook.

1. Federal-State UI Extended Compensation Program. A program to pay extended compensation to an individual:
 - a. For weeks of unemployment beginning in an extended benefit period.
 - b. Under those provisions of a state law which satisfy the requirements of Title II of the Employment Security Amendments of 1970, as amended. This excludes compensation payable under the UCFE and UCX program.
2. State UI Additional Compensation Program. A program totally financed by a state to pay additional compensation under a state law to exhaustees by reason of conditions of high unemployment or other special factor.
3. Short-Time Compensation (STC) Program (also known as Worksharing). A program to pay benefits to those in an approved state short-time compensation or worksharing program.
 - a. Short-Time Compensation Equivalent Initial Claims. This is the equivalent of the full time layoff initial claims that would have taken place if not for the STC program. This should be based on the employer's agreement with the state as to the proportion of hours STC claimants from their firm are being reduced. That is, if the agreement is for a 20 percent reduction in

UI REPORTS HANDBOOK NO. 401

ETA 539 Weekly Claims and Extended Benefits Trigger Data

each STC claimant's hours, then each of these claimants initial claim would represent 20 percent of an equivalent full time layoff initial claim. Include any residual initial claims which result from a crossover from the STC program to the regular program.

- b. Short-Time Compensation Equivalent Continued Weeks Claimed. This is based on the proportion of the week being claimed. That is, if two STC claimants each claimed 1/5th of a week and another STC claimant claimed 2/5ths of a week, the equivalent continued weeks claimed for the three claimants would be 4/5ths or .8 weeks.
4. State UI Regular Compensation Program. A program to pay compensation under any state unemployment compensation law other than extended, additional compensation or STC; and excluding compensation payable pursuant to 5 U.S.C., chapter 85.
5. State Extended Benefit Period. A payment period when Federal-State UI extended compensation is paid in a state because of the state indicator for that state.
6. 13-Week Period. The 13-week period referred to in section 9. below, includes weeks of unemployment experienced during a given calendar week and the 12 immediately preceding calendar weeks. Conceptually, weeks claimed during a week reflect insured unemployment in the prior week, so the 13-week period of unemployment will always end 1 week prior to the week in which the claims were filed.
7. Week Numbers. The first week of unemployment in the year (i.e., week one appearing in Trigger Notice YY-1) is considered the week containing January 1. Note that week one in a year represents the second report for the year, i.e., weeks claimed for the second week in the year which represent insured unemployment during the first week in the year.
8. Comparison Weeks. For the purpose of determining the corresponding 13-week period ending in each of the preceding two calendar years, each calendar week shall be identified by the date (calendar month and day of the month) on which it ends. For any specific calendar week, the date of the comparable week in the immediately preceding calendar year is determined by adding one (1) to the date of the end of the specific week, or by adding two (2) if the date of the end of the specific week is February 29, or if a February 29 falls between the beginning date of the week which contains the date established by the addition of one to the specific week, and the ending date of the specific week.
9. Covered Employment. The covered employment figure used to determine the insured unemployment rate includes all employment covered by state law

UI REPORTS HANDBOOK NO. 401

ETA 539 Weekly Claims and Extended Benefits Trigger Data

including private sector employment, employment in covered state and local government establishments and in nonprofit organizations whether the establishment is paying contributions or reimbursing for benefits. It excludes employment in Federal Government establishments.

The covered employment figure used for this report is always the 12-month average covered employment for the first 4 of the last 6 complete calendar quarters prior to the end of the last calendar week of the current 13-week period to which the insured unemployment data relate. As stated in 6. above, the 13-week period for insured unemployment will always end 1 week prior to the end of the week in which the claims were filed. (For determining the proper covered employment figure, the end of the week should always be considered to be a Saturday.) For example, the report for the week ending April 1, 2006 (due in the ETA National Office on April 6, 2006), would relate to insured unemployment for the period ending March 25, 2006. Since this latter date is still in the first calendar quarter, the covered employment figure included on the report and used in the rate calculations would be the figure for the 12-month period ending June 2005. The covered employment figure for the 12-month period ending September 30, 2005 would first be reported and used on the report for the week ending April 8, 2006 (due in the National Office by April 13, 2006, relating to the insured unemployment for the week ending April 1, 2006).

When the figure on covered employment for a quarter has been used in computing a rate of insured unemployment under P.L. 91-373, as amended, which triggers a state "on" or "off", the figure is frozen so far as trigger rate computations are concerned, and cannot be revised.

10. Determination of State Extended Benefit Period. Each week the state agency must determine whether a state extended benefit period will begin, will end, or whether there will be no change. The state indicator is the primary factor in making this determination, subject to the limitation that a state extended benefit period, once begun, continues for a minimum of 13 weeks, and once ended, must not begin again for 13 weeks. There must be an interval of at least 13 weeks between the beginning and the end of one extended benefit period or, between the end of one and the beginning of a next extended benefit period based on the state indicator.

The final items on the ETA 539 report are the notification of the status of the state extended benefit period and the date of change of status. In addition to this report, a letter of confirmation of the beginning or ending of a state extended benefit period should be sent in accordance with instructions in the Employment Security Manual, Part V section 5700.

UI REPORTS HANDBOOK NO. 401

ETA 539 Weekly Claims and Extended Benefits Trigger Data

a. Beginning. There are two ways a state may trigger "on." First, an extended benefits period begins when all three of the following indicator conditions are met:

- (1) R as described in F.17 below is 5.00 percent or over; and
- (2) P as described in F.19 below is 120 percent or over; and
- (3) State extended benefit payments have not been paid for at least 12 weeks including the current report week, so that there will have been at least 13 weeks of nonpayment before the week benefit payments begin.

Alternatively, under the Unemployment Compensation Amendments of 1976, a state has the option to modify its "on" trigger criteria if appropriate state legislative action is taken. The amendments combined with those in the Omnibus Budget Reconciliation Act of 1981 provide that with respect to compensation for weeks of unemployment beginning September 25, 1982 (or, if later, the date established pursuant to state law), a state may by law determine whether there has been a state "on" indicator beginning an extended benefit period provided the following two indicator conditions are met.

- (1) R as described in F.17. below is 6.00 percent or over.
- (2) State extended benefit payments have not been paid for at least 12 weeks including the current report week, so that there will have been at least 13 weeks of nonpayment before the week benefit payments begin.

If a state does not have this alternative trigger in its law, the first method must be used to determine trigger status.

Report the beginning of a state extended benefit period as the first week payable in the period using the Sunday date to designate the beginning of the third week following the end of the insured week (the 13th week of a 13-week period for which an "on" determination is made) and 2 weeks from the end of the report week in which the claims were filed provided the above indicator conditions are met.

Example: If a state indicator was "on" (i.e., both R and P criteria as defined above are met) for the 13-week period ending April 22, 2006, the extended benefit period would begin on the first day of the third calendar week thereafter, namely, May 7, 2006. Therefore, the ETA 539 report for the week ending April 29, 2006, which represents insured unemployment for the week ending April 22, 2006, and is due in the ETA National Office

UI REPORTS HANDBOOK NO. 401

ETA 539 Weekly Claims and Extended Benefits Trigger Data

by the opening of business on Thursday, May 4, 2006, would read "Status Change - B" and "Change Date 05/07/2006".

Example: Assume that a state had been paying extended benefits for at least 13 weeks and the state indicator was first "off" (i.e., either R or P as defined above is not met) for the week ending March 11, 2006. This first extended benefit period would therefore end on the last day of the third week thereafter, namely, April 1, 2006. (Note that the minimum 13-week extended benefit period could be for a longer period.) Since no extended benefit period may begin before the 14th week after the close of a prior extended benefit period, the earliest date a second extended benefit period could begin would be July 1, 2006, provided a state indicator were "on" for the week ending June 17, 2006. The ETA 539 report for the week ending June 24, 2006, which represents insured unemployment for the week ending June 17, 2006, is due in the ETA National Office by the opening of business on Thursday, June 29, 2006, and this report would read "Status change - B" and "Change Date - 07/01/2006", that is July 1, 2006.

- b. Ending. A state would report the ending of a state extended benefit period as the last week payable in the period using the Saturday date to designate the close of the 3rd week following the end of the insured week (the 13th week of a 12-week period for which an "off" determination is made) and 2 weeks from the end of the report week in which the claims were filed provided item (1) below and either item (2) or (3) are met.
- (1) State extended benefit payments have been paid for at least 12 weeks including the current week so that there will have been at least 13 weeks of benefit payments before the period ends.
 - (2) R as described in F.17 is less than 5.00 percent or
 - (3) P as described in F.19 is less than 120 percent.

Alternately, when a state, by law, has modified its "on" trigger conditions as described in 10.a. above, the "off" trigger conditions ending a state extended benefit period must meet both items (1) and (2) and either item (3) or (4) below.

- (1) State extended benefit payments have been paid for at least 12 weeks including the current week so that there will have been at least 13 weeks of benefits before the period ends.
- (2) R as described in F.17 is less than 6.00

Either (3) or (4)

UI REPORTS HANDBOOK NO. 401

ETA 539 Weekly Claims and Extended Benefits Trigger Data

(3) R as described in F.17 is less than 5.00 percent.

(4) P as described in F.19 is less than 120 percent.

Report the ending of a state extended benefit period as the last week payable in the period using the Saturday date to designate the close of the 3rd week following the end of the insured week (the 13th week of a 12-week period for which an "off" determination is made) and 2 weeks from the end of the report week in which the claims were filed.

Example: Assume that a state indicator was "on" for the 13-week period ending September 23, 2006, and the extended benefit period began on October 8, 2006. Assume further that a state indicator was "off" for the week ending December 16, 2006, which represents insured unemployment for the week ending December 9, 2006. This would be due in the National Office by the opening of business on Thursday, December 21, 2006, and would read "Status Change - E" and "Date Change - 12/30/2006."

- c. No Change of Status. When there is no change of status for the week being reported, Status and Change Date may be "returned through" because the system will default the values to the values of the prior week.

Status and Change Date will be the same for at least 11 weeks--for the week immediately preceding an extended benefit period and for each of the first 10 consecutive weeks of an extended benefit period. This minimum period of 11 weeks contains the number of weeks which lapse between the weekly report showing a Beginning date and the weekly report reflecting an Ending date. Note that a Status and Change Date may continue to be unchanged for a period of time which exceeds this minimum.

F. Item by Item Instructions

Items to be reported are listed below. More detailed information can be found in section E. above. The letter or letters used to identify each item on the weekly report are given in parentheses before the title of the item. Each state must report the weekly numbers associated with the items listed below, identified by the underlined code. These data refer to claims activity under the state UI and Federal UCFE and UCX programs (refer to Introduction, section K for program classification). When applicable, data pertaining to Federal/State extended benefit (EB) activity should be reported as identified in items 11 and 12. When appropriate, data pertaining to state additional benefits programs should be reported as identified in items 13 and 14. States which have an STC or workshare program should report appropriate data in items 4, 5, 9, and 10. If a particular program does not apply to your state, those items should be zero filled.

UI REPORTS HANDBOOK NO. 401

ETA 539 Weekly Claims and Extended Benefits Trigger Data

1. IC. State UI Initial Claims, less intrastate transitionals.
2. FIC. UCFE-no UI Initial Claims.
3. XIC. UCX only Initial Claims
4. WSIC. STC or workshare total initial claims
5. WSEIC. STC or workshare equivalent initial claims
6. CW. State UI adjusted continued weeks claimed
7. FCW. UCFE-no UI adjusted continued weeks claimed
8. XCW. UCX only adjusted continued weeks claimed
9. WSCW. STC or workshare total continued weeks claimed
10. WSECW. STC or workshare equivalent continued weeks claimed
11. EBT. Total continued weeks claimed under the Federal/State Extended Benefit Program--includes all intrastate and interstate continued weeks claimed filed from an agent state under the state UI, UCFE and UCX programs.
12. EBUI. That part of EBT which represents only state UI weeks claimed under the Federal/State EB program.
13. ABT. Total continued weeks claimed under a state additional benefit program for those states which have such a program. (Includes UCFE and UCX.)
14. ABUI. That part of ABT which represents only state UI additional continued weeks claimed for those states which have such a program.
15. AT. Average adjusted Total Continued Weeks Claimed. Report the average of the sum of the CW and WSECW figures for the most recent calendar week of unemployment experience and the immediately previous 12 calendar weeks of unemployment experience (CW+WSECW) divided by 13; i.e.,
$$AT = \frac{\sum (CW_i + WSECW_i)}{13}$$
 where i = 1 to 13

AT should have no decimals and should be rounded up for .5 or more.

UI REPORTS HANDBOOK NO. 401

ETA 539 Weekly Claims and Extended Benefits Trigger Data

16. CE. Covered Employment. Report the 12-month average monthly covered employment for the first 4 of the last 6 completed calendar quarters prior to the end of the last week of the current 13-week period to which the insured unemployment data relate. This figure will change only once each quarter, as specified in section F.9. above.
17. R. Rate of Insured Unemployment. Report the rate of insured unemployment for the current 13-week period. The insured unemployment rate for a 13-week period is the result of dividing the average adjusted total continued weeks claimed (AT) by the covered employment (CE); i.e.,

$$R = \frac{AT}{CE}$$

This quotient or decimal fraction is to be computed to four decimal places, is not to be otherwise rounded, and is to be expressed as a percent by multiplying the resultant decimal fraction by 100. Examples: $0.0439 \times 100 = 4.39$ and $0.0246 \times 100 = 2.46$

18. AR. Average Rate of Insured Unemployment in Prior Two Years. Report the average of the rates of insured unemployment for the corresponding 13-week periods in the prior 2 years (See E.6. above). The average rates in each of the 2 prior years is computed as the sum of the two rates divided by 2; i.e.,

$$AR = \frac{R1 + R2}{2}$$

where R1 and R2 refer to the rates for the corresponding 13-week period of 1 year ago and 2 years ago, respectively. The quotient AR is to be computed to three decimal places, is not to be otherwise rounded, and is to be expressed as a percent. Example: If $R1=4.39\%$ and $R2=2.46\%$ then:

$$AR = \frac{4.39\% + 2.46\%}{2} = \frac{6.85}{2} = 3.425\%$$

This detailed illustration is provided to clarify the intent of the Secretary's Regulations. Since all three statistics--P, R, and AR--are defined in terms of rates, the quotient of AR is to be computed in a manner identical to and consistent with the computations of statistics P and R.

19. P. Current Rate as Percent of Average Rate in Prior Two Years. This percent is defined as:

$$P = \frac{R}{AR}$$

UI REPORTS HANDBOOK NO. 401

ETA 539 Weekly Claims and Extended Benefits Trigger Data

P is to be computed to four decimal places, is not to be otherwise rounded, and is to be expressed as a percent by multiplying the resultant decimal fraction by 100. Example: $1.2515 \times 100 = 125.15\%$, and $.8753 \times 100 = 87.53\%$.

20. Status (B or E). Indicate the beginning (B) or ending (E) of a state extended benefit period.
21. Change Date. If Status has changed since the prior week, enter the date the change is effective.
22. Comments. Each weekly ETA 539 report should contain adequate information to support and explain the nature of the claims data. The material used for such information should be readily available in local offices without additional data gathering procedures.

Information should include both economic and administrative factors which affect significantly the data reported weekly on the ETA 539. The comments are of interest to Federal agencies monitoring economic activity. They are particularly important when there are significant rises or declines in either initial claims or continued weeks claimed counts. The importance of the comments from each state can not be overstated.

The following describes the types of information needed to support weekly fluctuations for both initial claims and continued weeks claimed:

- Primary cause of significant increase or decrease in activity such as temporary mass layoff, plant closing, or cutback in military procurement.
- Approximate number or percent of total initial claims and/or continued weeks claimed involved.
- Industry involved.
- Administrative factors such as the beginning of a new benefit year (excluding those filing transitional claims), delayed claims for partial unemployment, etc. that significantly affect the volume of weekly claims. Also, when weekly claims exhaustions are numerous enough to affect claims data, an estimate of the number of exhaustions, if available, should be included.

Using meaningful abbreviations, these comments can usually be kept to the four lines supplied on the input screen. An example of a comment might be:

UI REPORTS HANDBOOK NO. 401

ETA 539 Weekly Claims and Extended Benefits Trigger Data

"IC up 5% due to seasonal layoffs in Ag., Const. and layoffs at Alpha Corp., NAICS 278,. CW down 8% due to call back at Beta Co., NAICS 349." (SIC codes may be used if they are labeled as such.)

Note: When claims filing is effected by holidays or other noneconomic events such as computer failure or natural disaster, the data should be adjusted as in section D.4.

G. Standby Emergency Reporting

When national, state, or local emergencies occur, special standby reporting procedures are required. Emergency reporting could include energy-related fuel shortages, major labor disputes, and such local or regional emergencies as floods, windstorms, droughts, fires or other disasters. Emergency reporting is required in addition to the weekly ETA 539 report and, depending on the emergency, the request may be by telephone, letter or facsimile as an addendum to the ETA 539, or under separate cover, on a daily, weekly, or monthly basis.

In the event of an emergency, special reporting instructions will be sent to the concerned Regional Office. Such instructions will vary according to the particular emergency and data needed. For most emergencies, reporting will be activated by facsimile and will cover: The method of submittal (electronic, facsimile, letter, telephone, etc.); when and where to submit the report; and the items to be reported.

H. Recommended Worksheet

It is recommended that the state maintain a worksheet which contains all the information used in the calculation of the weekly trigger rate. If the data is kept on a computer and the trigger rate is computer generated, it is recommended that one of the outputs for the trigger system be a worksheet which would show all the data used in the computation. This worksheet should be submitted when a state experiences a change in trigger status.

UI REPORTS HANDBOOK NO. 401
ETA 5159 Claims and Payment Activities

CONTENTS

A. Facsimile of Form	I-2-2
B. Purpose	I-2-3
C. Due Date and Transmittal	I-2-3
D. General Reporting Instructions	I-2-3
1. Timing of Activity Counts	I-2-3
2. Wage Combining	I-2-3
3. Interstate Activities	I-2-3
4. Payment Activities	I-2-4
5. Eligibility Review Program (ERP) Interview Activities	I-2-4
6. General Checks	I-2-5
7. Documentation Requirements	I-2-5
E. Definitions	I-2-5
1. New Claim	I-2-5
2. Additional Claim	I-2-5
3. Transitional Claim	I-2-5
4. Weeks Claimed	I-2-6
5. Final Payment	I-2-6
6. Self Employment Assistance Program	I-2-6
F. Item by Item Instructions	I-2-6
1. Section A. Claims Activities	I-2-6
2. Section B. Payment Activities	I-2-9
3. Comments	I-2-13
G. Special Program Reporting	I-2-13
1. Reporting Activities Under the Extended Benefit (EB) Provisions	I-2-13
2. Reporting Activities Under Short-Time Compensation (STC)	I-2-15

UI REPORTS HANDBOOK NO. 401

ETA 5159 Claims and Payment Activities

A. Facsimile of Form

STATE	REGION	REPORT FOR PERIOD ENDING

SECTION A. CLAIMS ACTIVITIES								
Program	Line No.	Initial Claims						
		Sum of Total Cols. 2-4	New Intrastate Excluding Transitional	Additional Intrastate	Interstate Filed from Agent State	Interstate Taken as Agent State	Transitional	Interstate Received as Liable State
		(1)	(2)	(3)	(4)	(5)	(6)	(7)
State UI	101							
UCFE No UI	102							
UCX Only	103							
		Eligibility Reviews			Continued Weeks Claimed			Entering Self Employment, All Programs
		Intrastate	Interstate Liable	Intrastate	Interstate Filed From Agent State	Interstate Received as Liable State		
		(8)	(9)	(10)	(11)	(12)	(13)	
State UI	201							
UCFE No UI	202							
UCX Only	203							

SECTION B. PAYMENT ACTIVITIES									
Item		Weeks and Amounts Compensated							
		State UI Program			UCFE and UCX Programs			Self Employment, All Programs	
		All Weeks Compensated	Total Unemployment	Interstate	Total	UCFE No UI	UCX Only		
		(14)	(15)	(16)	(17)	(18)	(19)		(20)
Number	301								
Amount	302								
		First Payments for All Unemployment				Final Payments for All Unemployment			
		State UI Program			UCFE and UCX Programs		State UI Program	UCFE and UCX Programs	
		Total	Intrastate	Interstate	UCFE No UI	UCX Only	Total	UCFE No UI	UCX Only
		(21)	(22)	(23)	(24)	(25)	(26)	(27)	(28)
Number	303								

Comments:

OMB No.: 1205-0010

OMB Expiration Date: 07/31/2009

OMB Burden Hours: 120 Minutes

OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

B. Purpose

UI REPORTS HANDBOOK NO. 401

ETA 5159 Claims and Payment Activities

The ETA 5159 report contains monthly information on claims activities and on the number and amount of payments under state unemployment insurance laws (state UI) and Federal unemployment insurance laws for Federal workers (UCFE) and for ex-service members (UCX). These data are used in budgetary and administrative planning, program evaluation, and reports to Congress and the public. There are separate ETA 5159 reports labeled Regular, Extended Benefits (EB), and Short Time Compensation (STC), also known as Workshare, that furnish data on selected claims and benefit activities. Activity for claimants in the Self Employment Assistance program are to be included in the regular counts of the ETA 5159 as well as shown in a break out on the regular report.

C. Due Date and Transmittal.

The report is due in the ETA National Office on the 15th day of the month following each calendar month to which it relates. The regular, EB, and STC versions of this report will be transmitted electronically.

D. General Reporting Instructions.

1. Timing of Activity Counts. Count activities as of the date they occur. Thus, initial claims and continued weeks claimed are counted as of the date the claims are taken or received. Count payments and weeks compensated as of the date payments are made; in-person, mailed, or electronically deposited. When there are split weeks where part of the week's activity falls in one month and part in another, the activity for the part of the week in the reference month should be counted if possible. If this daily activity cannot be separated, use one-fifth (1/5) of the week's activity for each weekday in the reference month as an acceptable alternative. Use one-fourth (1/4) if the week contains a legal holiday.
2. Combined Wage Claim (CWC) Activity. Claims taken and payment made under the Interstate Arrangement for Combining Employment and Wages are reported as either intrastate or interstate and are reported only by the paying (liable) state. Report under intrastate activities any CWCs filed in the paying state, including CWCs filed by commuters whether in-person or through remote claims filing procedures. Report under interstate activities CWCs received from an agent state or, interstate, CWCs filed directly with the paying state through liable state remote claims filing procedures.
3. Interstate Activities. In Section A, both agent and liable state initial claims and continued weeks claimed activities are reported. (Report separately for state UI, UCFE, and UCX programs.) For workload purposes, as the agent state, report the total of all interstate initial claims and weeks claimed filed from the state, whether filed through the facility of the agent state or directly with the liable state. Separately, as the agent state, report all initial claims

UI REPORTS HANDBOOK NO. 401

ETA 5159 Claims and Payment Activities

and weeks claimed actually taken by the agent state. Note: For agent state reporting purposes, interstate initial claims include new, additional, transitional and reopened claims. Claims filed by commuters, in person, by mail, telephone or by other means, directly with the liable state are reportable as intrastate claims. Claims filed through the facilities of the agent state are reportable as interstate claims. In Section B, the reporting of interstate claims and payment activities is restricted to reporting activities of the liable state.

4. Payment Activities. To count weeks compensated, analyze payments for more than one week of unemployment to determine the number of weeks of unemployment to which such payments relate.

In states where the maximum duration of regular UI benefits is more than 26 weeks, include on the regular report those sharable regular weeks over 26 up to the state maximum payable during an extended benefit period. Report the portion of sharable regular benefit payments subject to Federal Government reimbursement under the Federal/State Extended Compensation program as if it were state UI benefit payments. Thus, both the state and Federal portions of sharable regular benefit payments are included in line 302 of the regular report. Do not report data for sharable regular weeks separately on this report; however, report amount paid for such weeks on the ETA 2112.

5. Eligibility Review Program (ERP) Interview Activities. The ERP is designed to accelerate the claimant's return to work and systematically review the claimant's efforts toward that goal.

ERP interviews are reported under regular unemployment compensation programs: State UI, UCFE, and UCX by intrastate and by liable interstate activity. Similar data are reportable when applicable under the Federal/State Extended Compensation program (EB).

ERP interviewers select and interview UI claimants based on information in Eligibility Review Forms. This form includes eligibility-availability information from the claimant indicating his/her proposed search for work. The form also provides a section for the ERP interviewer's comments. The first ERP interview is scheduled if the claimant is in a demand occupation and still unemployed, if the claimant appears to need help in finding work, or if the claimant's benefit eligibility is suspect.

The ERP interview differs from the "Periodic Interview" in that the claimant's characteristics are assessed as they relate to current local labor market conditions rather than to passage of time. Following are reasons for scheduling ERP interviews:

- a claimant with a firm short-term layoff does not return to work by the expected date;

UI REPORTS HANDBOOK NO. 401

ETA 5159 Claims and Payment Activities

- a claimant expected to return to work upon occurrence of some event, e.g., seasonal weather change, procurement of equipment, does not return to work;
 - a claimant scheduled for interview after a nonmonetary issue is resolved;
 - a claimant whose ERP questionnaire raises questions on his/her availability for full-time work.
6. General Checks. Entries should be made for all required items. If the item is inapplicable or if applicable but no activity corresponding to the items occurred during the report period, a zero should be entered. A report containing missing data can not be sent to the National Office but can be stored on the state's system. Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.
7. Documentation Requirements. A record of each workload item on the ETA 5159, new claims, additional claims and weeks claimed, must be maintained in either a manual or computer file and be accessible for validation.

E. Definitions

1. New Claim. The first initial claim filed in person, by mail, by internet, telephone or other means to request a determination of entitlement to and eligibility for compensation which results in an agency generated document of an appealable monetary determination provided to the potential claimant. Exclude transitional claims. (One of the three types of initial claims.)
2. Additional Claim. A subsequent initial claim filed during an existing benefit year due to new unemployment and when a break of one week or more has occurred in the claim series due to intervening employment. Report these claims only when there has been intervening employment since the last claim was filed. Do not report as additional claims, claims following breaks in series due to illness, disqualification, unavailability, or failure to report for any reason other than job attachment. For each reported additional claim, a record must be maintained of the separating employer, the last day worked, and the reason for separation or unemployment. This record must be maintained in either a manual or computer file and be accessible for validation. An additional claim is not reportable for the same separation as a previously taken initial claim. (One of the three types of initial claims.)
3. Transitional Claim. A claim filed to request a determination of eligibility and establishment of a new benefit year having an effective date within the 7-day period immediately following the benefit year ending date and a week for

UI REPORTS HANDBOOK NO. 401

ETA 5159 Claims and Payment Activities

which compensation or waiting period credit was claimed. (One of the three types of initial claims.)

A first claim for extended benefits under the EB or other extended benefit program should not be counted as a transitional claim; it will be counted as a new claim on the separate ETA 5159 EB report or appropriate form (see section G.1. below). However, when a claimant files for extended benefits in the last week of his/her benefit year, and a determination must be made on whether he/she can establish a new benefit year, this request and any subsequent request in a continuous extended benefit claims series should be counted as a transitional claim on the regular form and not on the EB or other extended program form.

4. Weeks Claimed. Weeks covered by intrastate continued claims and interstate continued claims for which waiting period credit or payment of compensation is requested. A week for which excessive earnings are reported does not constitute a claim for a week of unemployment. However, when other deductible income exceeds the weekly benefit amount, it will be considered a week claimed.
5. Final Payment. A final payment is the last regular benefit payment a claimant receives in a benefit year because the claimant has exhausted entitlement by drawing the full amount of benefits from state trust funds or UCFE or UCX program funds. The last payment to a claimant whose regular program benefits are reduced through disqualifications, but who draws all the reduced benefits during the benefit year, should be considered a final payment. No claimant should be considered to have received a final payment if, because of the ending of his/her benefit year, he/she can not draw the full amount of state UI, UCFE, or UCX benefit entitlement.
6. Self Employment Assistance Program. A count of claimants who have been accepted into a Self Employment Assistance Program as defined under P.L. 103-182, North American Free Trade Agreement Implementation Act. Claimant activity will be counted as part of the regular program. Counts of those individuals entering the Self Employment Assistance program, the number of weeks compensated while in that program, and the benefits paid for those weeks will be shown separately.

F. Item by Item Instructions

1. Section A. Claims Activities.
 - a. Initial Claims. Items 1-7 relate to all initial claims filed in-person, by mail, by internet, telephone or by other means, including those filed at itinerant points. Exclude transitional claims (item 6) from all counts of total initial claims under all programs (lines 101-103). See Section G.2. below for

UI REPORTS HANDBOOK NO. 401

ETA 5159 Claims and Payment Activities

reporting “crossover” initial claims from the Short-Time Compensation program to the regular program. Note: Claims filed by commuters, in person, by mail, by internet, by telephone or by other means, directly with the liable state are reportable as intrastate claims. Claims filed through the facilities of the agent state are reportable as interstate claims.

- 1) Item 1. Total. Enter on lines 101-103 the total number of initial claims filed and received under the program indicated; this includes new and additional intrastate claims and interstate claims filed from agent state (items 2 through 4) during the report period.
 - 2) Item 2. New Intrastate, Excluding Transitional. Enter on lines 101-103 initial claims which represent new intrastate claims. Exclude transitional claims and interstate new claims taken.
 - 3) Item 3. Additional Intrastate. Enter on lines 101-103 that part of initial claims reported in item 1 which represents the beginning of a second or subsequent series of intrastate claims within a benefit year or period of eligibility when a break of one week or more occurred in the claim series due to intervening employment.
 - 4) Item 4. Interstate Filed from Agent State. Enter on lines 101-103 all interstate initial claims taken by the agent state plus interstate initial claims filed directly with the liable state and reported to the agent state. Note: For agent state reporting purposes, interstate initial claims reportable in this item include new, additional, transitional, and reopened claims.
 - 5) Item 5. Interstate Taken as Agent State. Enter on lines 101-103, that part of the number of claims reported in item 4 that were taken directly by the agent state. Note: For agent state reporting purposes, interstate initial claims reportable in this item include new, additional, transitional, and reopened claims.
 - 6) Item 6. Transitional. Enter on lines 101-103 the total of all initial claims which represent transitional intrastate and transitional liable interstate claims.
 - 7) Item 7. Interstate Received as Liable State. Enter on lines 101-103 all interstate initial claims received from an agent state plus interstate initial claims filed directly with the liable state. Note: For liable state reporting purposes, interstate initial claims reportable in this item includes new and additional claims only.
- b. Eligibility Reviews (ERP). Eligibility reviews represent the number of eligibility review interviews conducted during the month.

UI REPORTS HANDBOOK NO. 401

ETA 5159 Claims and Payment Activities

- 1) Item 8. Intrastate. Enter on lines 201-203 the number of intrastate eligibility review interviews conducted during the month.
 - 2) Item 9. Interstate taken as Liable State. Enter on lines 201-203 the number of interstate eligibility review interviews conducted as the liable state.
- c. Continued Weeks Claimed. Continued weeks claimed represent weeks covered by claims for waiting period credit or for benefits.

- 1) Item 10. Intrastate. Enter on lines 201-203 the total number of weeks claimed by intrastate continued claims filed.

Report the number of weeks filed for waiting period credit or for benefits, whether or not such benefits are actually paid to the claimant. Claims filed should be counted by the number of actual weeks claimed on each document (list, slip, or claim form) submitted in-person or filed by other means. Exclude weeks for which excessive earnings are reported or the claimant is monetarily ineligible.

Courtesy claims for visiting claimants should not be counted by the state taking the courtesy claim. They should be counted as continued intrastate or interstate weeks claimed by the state against which the claim is filed.

Commuter claims should be counted as intrastate claims in the liable state.

- 2) Item 11. Interstate Filed from Agent State. Enter on lines 201-203 the total number of weeks claimed by interstate continued claims filed from a state as agent state except those weeks for which excessive earnings are identifiable or the claimant is monetarily ineligible. The count in item 11, should include a) those interstate continued weeks claimed filed directly by mail or by phone with the liable state and reported back to the agent state through the Interstate Statistical Data Exchange and b) those actually filed through the agent state.
- 3) Item 12. Interstate Received as Liable State. Enter on lines 201-203 the total number of interstate weeks claimed filed directly with the liable state by mail, telephone or other means, plus the number received from an agent state, except weeks for which excessive earnings are reported or the claimant is monetarily ineligible.

UI REPORTS HANDBOOK NO. 401

ETA 5159 Claims and Payment Activities

d. Item 13. Claimants Entering the Self Employment Assistance Program.
Enter the number of claimants who entered the Self Employment Assistance program during the period. Activity for these claimants will continue to be counted with the rest of the regular program. This will include individuals in the state program, UCFE and/or UCX.

2. Section B. Payment Activities.

a. Weeks Compensated, State UI Program.

1) Item 14. All Weeks Compensated.

Enter on line 301 the number of intrastate and interstate state UI weeks compensated either wholly from state trust funds or partially from State trust funds and partially from Federal funds, i.e., joint claims or sharable regular. Include:

- Each week compensated for total, part-total, or partial unemployment.
- Each week compensated for total, part-total, or partial unemployment reduced or increased for an overpayment or underpayment in one or more previous weeks. Do not include the count of weeks involved in the overpayment or underpayment adjustment or if such payment is made separately; however, the amount paid for such weeks should be included in line 302 whether the adjusted payment was made to a currently payable week or paid by a separate check.
- Each week compensated at a reduced amount due to income other than wages, as provided by state law. Count weeks of total offset.
- Each week of residual payment for less than the full weekly benefit amount because it is limited to the available balance.
- Interstate payments issued by the liable state.

Enter on line 302 the amount of state trust funds and Federal funds (e.g., sharable regular paid during an EB period) represented by the weeks compensated reported on line 301. Exclude amounts paid from UCFE and UCX programs. Include any adjustment payments issued to correct previous underpayments or overpayments. Do not include in line 301 the weeks involved in supplemental payments which have been reported previously.

UI REPORTS HANDBOOK NO. 401

ETA 5159 Claims and Payment Activities

Exclude weeks and amounts reissued to replace lost, stolen, damaged or returned checks; these weeks and amounts have been reported previously.

2) Item 15, Total Unemployment Weeks Compensated.

Enter on line 301 that part of the entry in item 14 which represents weeks compensated either wholly or partially for total unemployment under the state UI program. Weeks compensated for total unemployment are those reported in item 14 except those for which wages were earned over the minimum prescribed in state law for reducing the weekly benefit amount.

Enter on line 302 the amount of state trust funds represented by the weeks compensated reported on line 301. Include amounts issued to correct previous underpayments or overpayments; do not include weeks involved in such supplemental payments in line 301 which have been reported previously. Exclude any amounts paid from UCFE or UCX program funds.

Exclude weeks and amounts reissued to replace lost, stolen, damaged or returned checks; these weeks and amounts have been reported previously.

3) Item 16. Interstate Weeks Compensated.

Enter on line 301 state UI weeks compensated on interstate claims.

Enter on line 302 the amount of state trust funds represented by the weeks compensated reported on line 301. Include amounts paid to correct previous underpayments or overpayments. Exclude Federal amount paid from UCFE or UCX program funds.

Exclude weeks and amounts reissued to replace lost, stolen, damaged or returned checks; these weeks and amounts have been reported previously.

b. Weeks Compensated, UCFE and UCX Programs.

1) Item 17. Total.

Enter on line 301 the total number of weeks compensated, either wholly from UCFE or UCX program funds or from a combination of these two programs. Include both intrastate and interstate payments. Exclude the number of weeks compensated partially from state trust funds combined with UCFE or UCX program funds (joint claims) as

UI REPORTS HANDBOOK NO. 401

ETA 5159 Claims and Payment Activities

these are reported in item 14 (state UI combined with UCFE and/or UCX) and item 17 (UCFE/UCX combination).

Enter on line 302 the amount of UCFE and UCX program funds represented by the weeks compensated that are reported on line 301. Exclude any amounts paid from state trust funds. Include the Federal portion (UCFE/UCX) paid for any joint weeks. This means that Federal amounts paid will be reported in line 302, item 17, for some weeks not reported in line 301, item 17, those weeks having been reported in line 301, item 14. Include adjustments made for overpayments or underpayments where weeks involved were previously reported.

Exclude weeks and amounts reissued to replace lost, stolen, damaged or returned checks; these weeks and amounts have been reported previously.

2) Item 18. UCFE - No UI.

Enter on line 301 that part of the entry in item 17 which represents weeks compensated wholly from the UCFE program and those weeks compensated for joint UCFE/UCX claims. Do not include weeks compensated partially from state trust funds (joint claims).

Enter on line 302 the amount of UCFE and UCX program funds represented by weeks compensated reported on line 301 which reflect wholly Federal claims.

Exclude weeks and amounts reissued to replace lost, stolen, damaged or returned checks; these weeks and amounts have been reported previously. Include adjustments made for overpayments underpayments where weeks involved were previously reported.

3) Item 19. UCX Only.

Enter on line 301 that part of the entry in item 17 which represents only those weeks compensated wholly from UCX program funds. Do not include weeks compensated partially from state trust funds nor weeks compensated partially from UCFE program funds.

Enter on line 302 the amount of UCX program funds represented by weeks compensated reported on line 301.

Exclude weeks and amounts reissued to replace lost, stolen, damaged or returned checks; these weeks and amounts have been

UI REPORTS HANDBOOK NO. 401

ETA 5159 Claims and Payment Activities

reported previously. Include adjustments made for overpayments or underpayments where weeks involved were previously reported.

- c. Item 20. Self Employment Assistance Program, All Programs. Enter in line 301, that part of item 14 and item 17 which represents weeks compensated for individuals in the Self Employment Assistance Program.

Enter on line 302 the amount of benefits paid for the weeks in line 301.

Exclude weeks and amounts reissued to replace lost, stolen, damaged or returned checks; these weeks and amounts have been reported previously.

- d. First Payments for All Unemployment.

- 1) Item 21. Total, State UI. Enter the number of payments representing first weeks compensated in the benefit year and compensated wholly or partially (joint claim) from state trust funds.
- 2) Item 22. Intrastate, State UI. Enter first payments for that part of item 21 which represent intrastate claims.
- 3) Item 23. Interstate, State UI. Enter first payments for that part of item 21 which represent interstate claims.
- 4) Item 24. UCFE, No UI. Enter the number of intrastate and interstate first payments representing first weeks compensated in the benefit year compensated wholly from the UCFE program and first payments representing first weeks compensated in the benefit year compensated from joint UCFE/UCX funds.
- 5) Item 25. UCX Only. Enter the number of intrastate and interstate first payments representing first weeks compensated in the benefit year compensated wholly from UCX program funds.

- e. Final Payments for All Unemployment.

- 1) Item 26. Total, State UI. Enter the number of final payments regardless of the source (intrastate and interstate) made to claimants wholly or in part from state trust funds. All final payments covering weeks compensated jointly from a state trust fund and UCFE or UCX program funds should be included in item 26 and excluded from items 27 and 28.
- 2) Item 27. UCFE, No UI. Enter the number of intrastate and interstate final payments made wholly from the UCFE program or UCFE/UCX

UI REPORTS HANDBOOK NO. 401

ETA 5159 Claims and Payment Activities

funds, and based solely on Federal civilian service or Federal civilian service in conjunction with Federal military service.

- 3) Item 28. UCX Only. Enter the number of intrastate and interstate final payments made wholly from UCX program funds, and based solely on Federal military service.
3. Comments. Explain in the comments area significant variations in volumes of activities or average benefit amounts from levels expected from previous experience or from levels in prior or same period one year ago. Since size and direction of changes in average weekly benefit amounts are generally affected by statutory provisions and seasonality, states should develop criteria based on past experience for commenting on such changes. Describe such criteria on the first report using new criteria.
 - a. Administrative Factors. Describe administrative factors, such as changes in operating procedures, issuance of rules and regulations, and staff turnover. These may affect data reported in such a way that they cannot be compared with data from prior reports or on current reports from other state agencies.
 - b. Legal Factors. Describe legal factors, such as new laws or interpretation thereof. These may affect data reported in such a way that they cannot be compared with data from prior reports or on current reports from other state agencies.
 - c. Economic Factors. Describe economic factors which may affect data reported in such a way that conditions will be reflected in any of the tabulations. Cover mass layoffs and seasonal declines in employment which increase claim loads beyond capacity of available personnel or result in unusual changes in volume of payment, weeks compensated, or in average weekly benefit amounts. Also, describe factors with opposite effect, such as large-scale reemployment and opening of new industries.

G. Special Program Reporting

1. Reporting Activities Under the EB Provisions.
 - a. Special Reporting Requirements. When a state begins an extended benefit period under the Extended Benefit (EB) provisions of its state law, electronically report activities under this program separately from regular UI activities. The report should contain the items listed below.

When a state is not in an extended benefit period, but takes an interstate initial claim for EB against another state, and/or when interstate continued weeks claimed are filed from the state, electronically report these claims

UI REPORTS HANDBOOK NO. 401

ETA 5159 Claims and Payment Activities

data on a separate EB report. This data is not to be included in the regular program counts nor is it to be put in the comments section of the regular report.

- b. Items to be Reported. Report the following items on each EB report. Except where otherwise stated, definitions are the same as those for the regular report.
- 1) Item 2, Lines 101-103. Report the first request for extended benefits under the EB intrastate program as a new claim. Count all such claims in this column, including new claims for EB filed immediately following exhaustion of regular benefits.
 - 2) Item 3, Lines 101-103. Enter the number of EB additional initial claims.
 - 3) Item 4, Lines 101-103. Enter the number of interstate new claims, as defined above, which represent initial interstate claims filed from the state agency acting as the agent state or from the state where a claimant resides but which is not liable for the claimants' benefits when interstate initial claims are filed directly with the liable state. Note that unlike the regular UI program, additional claims for EB are not included in this figure.
 - 4) Item 5, Lines 101-103. Enter the number of interstate new claims, as defined above, taken by the state agency acting as the agent state. Note that unlike the regular UI program, additional claims for EB are not included in this figure.
 - 5) Item 7, Lines 101-103. Enter the number of interstate new claims, as defined above, received in the central office of the liable state.
 - 6) Items 10-12, Lines 201-203. Instructions are the same as for the regular ETA 5159 report except that continued weeks claimed are for extended benefits under the EB program.
 - 7) Items 14 and 15, Lines 301-302. Enter on line 301 the number of state UI program weeks compensated under the EB program and on line 302 the amount associated with those payments taking into account adjustments.
 - 8) Items 17-19, Lines 301 and 302. Enter on line 301 the number of UCFE and UCX weeks compensated under the EB program and on line 302 the amount associated with those payments taking into account adjustments.

UI REPORTS HANDBOOK NO. 401

ETA 5159 Claims and Payment Activities

- 9) Item 21, Line 303. Enter the number of payments representing first weeks of extended benefits compensated wholly or partially (joint claims) from state funds.
- 10) Items 24 and 25, Line 303. Enter the number of payments representing first weeks of UCFE extended benefits compensated (item 24) and first weeks of UCX extended benefits compensated (item 25) under the EB program.
- 11) Item 26, Line 303. A final payment of extended benefits is defined as the last extended benefit payment which a claimant receives because no more benefits are available to him/her in his/her eligibility period.

Excluded from the definition is the last payment to an individual at the end of an extended benefit period if, such period had not ended, the individual would be entitled to further extended compensation. Also excluded is the last payment to an individual before establishing a new benefit year and thus reestablishing eligibility for regular UI, UCFE or UCX benefits if, he/she were not able to establish a new benefit year, he/she would have been entitled to further extended compensation.

Enter in item 26 the total number of such final extended benefit payments under the EB program compensated wholly or in part (joint claims) from state trust funds.

- 12) Items 27 and 28, Line 303. Enter the number of UCFE, no UI final extended benefit payments (item 27) and the number of UCX only final extended benefit payments (item 28) under the EB program.
- 13) Comments. Explain in the comments section or on the back of the form, significant variations in volumes of extended benefit activities for such factors as outlined in section F.3.

2. Reporting Activities Under Short-Time Compensation (STC).

- a. Special Reporting Requirements. When there is a Short-Time Compensation program, also known as worksharing (WS), in a state, electronically submit a separate report. Do not report STC activity on the regular ETA 5159 report. If no activity occurs in a report period, a report need not be submitted. Due dates and submittal instructions are the same as for the regular report. Unless otherwise noted, definitions are the same as for the regular report.
- b. Items to be Reported. Include in each STC report the following items:

UI REPORTS HANDBOOK NO. 401

ETA 5159 Claims and Payment Activities

- 1) Line 101, item 3. Enter STC state UI new intrastate initial claims excluding transitionals. Each new intrastate initial claim by an STC claimant is counted.
- 2) Line 101, item 4. Enter STC state UI additional intrastate initial claims. Each additional claim by an STC claimant is counted.
- 3) Line 201, item 10. Enter STC state UI intrastate continued weeks claimed. Each STC week claimed by an STC claimant is to be counted.
- 4) Line 301, item 14. Enter the number of STC state UI weeks compensated. All STC weeks compensated are to be counted.
- 5) Line 302, item 14. Enter the amount of benefits paid for all STC state UI weeks compensated.
- 6) Line 303, item 21. Enter the number of STC state UI intrastate first payments.
- 7) Line 303, item 26. Enter the number of STC state UI final payments.
- 8) Full-Time Equivalents. Enter the number of equivalent full time and weeks claimed in the appropriate cell. Compute by using the proportion of the week being claimed. As an example, if two STC claimants each claimed 1/5th of a week and another claimed 2/5ths of a week, the equivalent full weeks for the three would be 4/5ths or .8 weeks. Round the final accumulated number to whole weeks.

Also enter the number of equivalent full time initial claims computed based on the employers' agreement with the state as to the proportion of hours the STC claimant is being reduced. As an example, if the agreement is for a 20 percent or one day reduction in each STC claimant's hours, then each claimant's initial claim would represent 20 percent of an equivalent full-time layoff initial claim. Round the final accumulated number. Should an STC claimant become a regular claimant with no break in the claims series with intervening full-time employment, that is he would not be an additional initial, then the residual of the initial claim would become reportable on the regular program report in the comments section. In the example above, if the STC individual who was counted as 20 percent of an initial for economic measures becomes fully unemployed, then the residual amount, or 80 percent of an initial should be shown in the comments section of the regular report and identified as crossovers from STC to regular. Round the final

UI REPORTS HANDBOOK NO. 401

ETA 5159 Claims and Payment Activities

accumulated number. If these figures are reported on a paper form, they should be entered in the comments section.

UI REPORTS HANDBOOK NO. 401

ETA 5130 Benefit Appeals Report

CONTENTS

A. Facsimile of FormI-3-2

B. Purpose.....I-3-3

C. Due Date and TransmittalI-3-3

D. General Reporting InstructionsI-3-3

E. Definitions.....I-3-3

 1. Appeals AuthorityI-3-3

 2. Appeals Case.....I-3-4

 3. Single Claimant Appeals Case.....I-3-4

 4. Multi-Claimant Appeals CaseI-3-5

 5. Dispositions.....I-3-5

 6. ClaimantsI-3-6

 7. Status of AppealsI-3-6

F. Item by Item Instructions.....I-3-7

 1. Section A. Single-Claimant and Multi-claimant Appeals Case
 Decisions by Program and Other DispositionsI-3-7

 2. Section B. Claimants Involved in State UI Appeals Cases by
 Status of AppealsI-3-7

 3. Section C. State UI Appeals Decisions by Type of Appellant.....I-3-8

 4. Section D. Number of Lower Authority State UI Appeals
 Decisions by IssueI-3-8

 5. Comments.....I-3-8

G. Special Program ReportingI-3-9

UI REPORTS HANDBOOK NO. 401

ETA 5130 Benefit Appeals Report

A. Facsimile of Form

ETA 5130 - BENEFIT APPEALS REPORT

STATE	REGION	REPORT FOR PERIOD ENDING								
SECTION A. SINGLE and MULTICLAIMANT APPEALS CASE DECISIONS BY PROGRAM AND OTHER DISPOSITION										
Line No.	UI DECISIONS		UCFE-NO UI DECISIONS		UCX ONLY DECISIONS		Other Dispositions			
	Lower Authority	Higher Authority	Lower Authority	Higher Authority	Lower Authority	Higher Authority				
	(1)	(2)	(3)	(4)	(5)	(6)	(7)			
100										
SECTION B. CLAIMANTS INVOLVED IN STATE UI APPEALS CASES BY STATUS OF APPEALS										
Line No.	STATUS OF APPEALS		SINGLE-CLAIMANT APPEALS		MULTI-CLAIMANT APPEALS					
			Lower Authority	Higher Authority	Lower Authority	Higher Authority				
			(8)	(9)	(10)	(11)				
200	Filed During Month									
210	Disposed of During Month									
SECTION C. STATE UI APPEALS DECISIONS BY TYPE OF APPELLANT										
Line No.	APPEALS DECISIONS		ALL UI DECISIONS		CLAIMANT		EMPLOYER		OTHER	
			Lower	Higher	Lower	Higher	Lower	Higher	Lower	Higher
			(12)	(13)	(14)	(15)	(16)	(17)	(18)	(19)
300	Total									
310	In Favor of Appellant									
SECTION D. NUMBER OF LOWER AUTHORITY STATE UI APPEALS DECISIONS BY TYPE OF ISSUE										
Line No.	TOTAL UI DECISIONS	VOLUNTARY QUIT	MIS-CONDUCT	REFUSAL OF SUITABLE WORK	NOT ABLE or AVAILABLE	LABOR DISPUTE	OTHER			
	(20)	(21)	(22)	(23)	(24)	(25)	(26)			
400										

Comments

OMB No.: 1205-0172

OMB Expiration Date: 11/30/2010

OMB Burden Hours: 60 Minutes

O M B Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

B. Purpose

The ETA 5130 report is the basic source of information on the appeals case workload in each state under the regular programs of state unemployment insurance, unemployment compensation for Federal employees, and unemployment compensation for ex-service members (referred to as UI, UCFE, and UCX respectively). This report shall include appeals of determinations under any short time compensation (STC) program, also known as worksharing, where applicable. State Additional Benefits (AB) data will not be included in this report. The data on this report show how appeals are being handled, the issues involved, and the extent to which appeals authorities' decisions reverse or sustain determinations or decisions previously made. The report is used to evaluate the appeals function, to develop plans for remedial action when unreasonable backlogs develop, and to support and justify the allocation of funds to service this functional area.

A separate ETA 5130 report is required whenever appeals are filed relative to claims under extended benefit duration provisions of the Federal-State Extended Compensation Program (EB). See Section G.

C. Due Date and Transmittal

The report for each calendar month is due in the National Office the 20th day of the month following the month to which it relates. This report will be transmitted electronically for the regular program.

D. General Reporting Instructions

All entries are to include only those activities occurring during the month reported. Entries should be made for all items. If no activity corresponding to the items occurred during the report period, a zero should be entered. A report containing missing data can not be sent to the National Office but can be stored on the state's system. Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

E. Definitions

1. Appeals Authority. For purposes of this report:
 - a. A lower authority is the lower of two administrative authorities provided by the state unemployment insurance law to make decisions with respect to appealed determinations. A state agency with only one appeals authority should consider that as a lower appeals authority.

UI REPORTS HANDBOOK NO. 401

ETA 5130 Benefit Appeals Report

- b. A higher authority is the higher of two administrative authorities provided by the state unemployment insurance law to make decisions with respect to appealed decisions of the lower authority.
 2. Appeals Case. Count as an appeals case any of the instances listed below occurring with relation to a new, additional, or continued claim for benefits.
 - a. A request to either the lower or the higher appeals authority to review a determination or decision made by an authority other than the reviewing body, regardless of whether the review actually takes place, the manner in which the request is disposed of, or which appeals authority in the agency disposes of it.
 - b. A review by an appeals authority made at the request of or the direction of another appeals authority, of a decision made by an authority other than the reviewing body. For example: When the higher appeals authority remands a case to the lower appeals authority for a decision or a hearing and a decision, the lower appeals authority should count it as a new appeals case. Similarly, the higher appeals authority would count a case remanded to it by a court for a decision as a new higher authority appeals case.
 - c. A review by either the lower or the higher appeals authority of a decision made previously by the reviewing body but which has been reopened or remanded for a rehearing and decision.
 - d. A decision by either the lower or the higher appeals authority ruling on an issue not previously considered by a lower body.

Note: If state procedure permits recourse to the appeals authorities by employers or employer representatives desiring to appeal a state agency decision which did not directly affect the benefit rights of a specific claimant or claimants (e.g., appealing a benefit charge by a non-separating employer), such appeals should be excluded from this report. Hearings of interstate appeals held by agent states should not be counted as appeals case dispositions or decisions by the agent state.

3. Single-Claimant Appeals Case. A single-claimant appeals case is one which, at the time of reporting, involves only one claimant. A single-claimant appeals case should be reported for each claimant involved in an appeal and for whom a separate hearing may be scheduled. A "test" appeal is a single-claimant appeals case although the decision may affect many other claimants. The count of cases and claimants will generally be identical for single-claimant cases.

UI REPORTS HANDBOOK NO. 401

ETA 5130 Benefit Appeals Report

4. Multi-claimant Appeals Case. A multi-claimant appeals case is one which, at the time of reporting, involves more than one claimant. A multi-claimant case should be reported whenever a group hearing is held and the resulting decision is applicable to more than one claimant.
5. Dispositions. Section B requires information on the number of claimants involved in appeals cases. All dispositions of appeals cases should be reported on line 210. A disposition does not occur if the higher authority remands the appeals case to the lower authority for the taking of additional evidence which will be transmitted back to the higher authority for its decision. A disposition will occur when a decision is made. Below is an explanation of how to count dispositions, along with examples of situations that may occur.
 - a. Disposed of by Decision. Count as disposed of by decision an appeals case disposed of by a written ruling that is issued to one or more parties. In a multi-claimant case, only one disposition by decision would be counted regardless of the number of claimants to which it applies.
 - (1) A disposition by decision would occur in the case of an appellant's withdrawal if a hearing officer reviews the case and issues a written ruling to the interested parties allowing the withdrawal.
 - (2) A disposition by decision of an appeals case would occur if the appellant files an appeal after the allowable time period has elapsed; a hearing is scheduled on the issue of timeliness; the case is resolved; and a written ruling is issued to the interested parties. If the issue of timeliness is resolved in favor of the appellant and the merits of the appeals case are resolved on the basis of a single hearing, only one disposition may be counted and reported.
 - (3) A disposition by decision of an appeals case would occur if the appellant fails to appear at the scheduled hearing and a written ruling to dismiss the case is issued to the interested parties.
 - (4) A disposition by decision of an appeals case would occur when a higher authority issues a decision to the interested parties that remands the appeals case to the lower authority for a hearing and decision. The higher authority would count a disposition by decision at the time of the remand decision. The lower authority would count a disposition by decision when the appeals case is disposed of by a decision of the lower authority. Likewise, a disposition by decision would occur if the lower authority remands the appeals case to the agency for additional fact finding and a new determination or redetermination.

UI REPORTS HANDBOOK NO. 401

ETA 5130 Benefit Appeals Report

- b. Disposed of Other Than by Decision. Count as a disposition by other than decision an appeals case disposed of by other than by a decision as defined above.
- (1) A disposition by other than decision would occur in the case of withdrawal by the appellant if a hearing officer does not review the case and issue a written ruling allowing the withdrawal.
 - (2) A disposition by other than decision would occur if the appellant files an appeal after the allowable time period has elapsed and, without a hearing being scheduled, the appeal is denied by letter which shows the right to request a hearing, and no such request is made; or a clerical or appeals authority issued a written ruling which merely counts the number of days between the starting date of the appeal period and the filing date; or appellant requests the appeals authority to reopen or remand an appeals case and the request is disposed of by a written ruling denying the request without a hearing being scheduled.
6. Claimants. The number of claimants reported on this form should represent all claimants whose claim determinations or lower authority appeals decisions have been appealed, or whose claims are decided by an appeals authority when no previous decision has been made by a lower body. For instance, if an employer files an appeal from an initial determination or a lower authority decision involving the claims of 50 claimants, each of the 50 claimants should be reported. If, as in the case of a labor dispute, only one claimant appeals as a "test" appeal, only one claimant should be reported as a single-claimant case.
7. Status of Appeals.
- a. Status of Appeals is intended to reflect appeals caseload and how well states are able to keep up with it, the counts of claimants by status of appeals should include all appeals cases which have been filed with the appeals authorities in the month.
 - b. The designation of a case as multi-claimant at the time of filing may change at the time of disposition. A case is defined at the time of disposition in terms of the action taken. For instance, an appeal filed by an employer against the claims of 50 claimants may be considered one case at the time of filing. Later, the 50 claimants may be split into several groups and a decision made for each group. Accordingly, the single case at filing becomes several cases at disposition. On the other hand, in multi-claimant cases where units within an employing unit are broken out for separate consideration, what was originally classified as two employer appeals (one employer appealing cases involving two units of claimants) may later be reclassified as one case at the

UI REPORTS HANDBOOK NO. 401

ETA 5130 Benefit Appeals Report

time of disposition. A single-claimant case at the time of filing may be combined later with other cases and be a multi-claimant case at the time of disposition.

Because the case units for any specified workload of multi-claimant cases may vary between the time of filing and the time of disposition, no valid comparison of the count of multi-claimant cases between the two points of time can be made. While counts of cases decided are required in line 100, designation of claimants in a case at each stage is required for lines 200 and 210 even if that designation changes.

F. Item by Item Instructions

1. Section A. Single-Claimant and Multi-Claimant Appeals Case Decisions by Program and Other Dispositions.
 - a. Line 100. Report in items 1 through 6 the number of single-claimant and multi-claimant decisions, classified by program.
 - b. Line 100, Item 7. Cases Disposed of Other than by Decision. The entry in this item should include all state UI, UCFE, and UCX cases disposed of other than by decision during the month.
2. Section B. Claimants Involved in State UI Appeals Cases by Status of Appeals. The entries in items 8 through 11 should refer to the number of claimants (not the number of cases) involved in appeals under the state UI program. All claimants involved in appeals cases, including the cases which were later disposed of before reaching the appeals authority, should be included. A claimant involved in more than one case should be counted once for each case. Claimants appealing decisions involving "UCFE no UI", or "UCX only" benefit rights should not be included even though they may be represented by a multi-claimant case which also includes reportable UI claimants.
 - a. Line 200. Filed During Month. In columns 8 and 9, distribute by type of authority, the number of state UI claimants involved in single-claimant appeals cases received during the month. In columns 10 and 11, distribute by type of authority the number of claimants represented by the multi-claimant appeals cases filed. A claimant filing a "test" appeal should be classified as a "single-claimant" rather than a "multi-claimant."
 - b. Line 210. Disposed of by Decision During the Month. Distribute as in a. above, the number of state UI claimants involved in single and multi-claimant appeals cases which were disposed of by decision during the month.

UI REPORTS HANDBOOK NO. 401

ETA 5130 Benefit Appeals Report

3. Section C. State UI Appeals Decisions by Type of Appellant.
 - a. Line 300, Total. Enter in columns 12 and 13 the total number of state UI appeals cases decided during the month by authority level. Distribute these totals in columns 14 through 19 according to type of appellant and authority level. Entries for appellants other than claimants or employers (columns 18 and 19) should be explained in the comments section.
 - b. Line 310, in Favor of the Appellant. Enter in each of columns 12 through 19 the number of appeals decisions in the respective column for line 300 which were in favor of the appellant. These decisions will consist of all decisions which reverse the lower body's decisions or decrease the extent to which the decisions of the lower body were against the interest of the appellants. Decisions involving multi-claimant cases should be classified as in favor of appellant if the decisions are in favor of one or more of the appellants involved.
4. Section D. Number of Lower Authority State UI Appeals Decisions by Issue. Enter in item 20 the total number of decisions reported in line 100, column 1, and distribute that number by issue in the respective categories. A decision should be reported under only one of the issue categories, even though it involves multiple issues. If a decision involves separation (voluntary quit, misconduct, etc.) and another issue(s), the decision should be reported under the separation issue. If more than one separation issue is involved in the decision, only the most recent separation should be reported. If a decision does not involve a separation issue but does involve a refusal of suitable work and another issue(s), the decision should always be reported under the common issue which caused the case to be disposed of by one decision, without regard to corollary issues involving only a few claimants.
5. Comments. Comments are appropriate under the following circumstances:
 - a. Administrative Factors Affecting Data Reported. Describe any administrative factors, such as changes in operating procedures, issuance of rules and regulations, staff turnover, change in administrative policies, precedent decisions, and increase or decrease in initial determinations, which may affect the data reported in such a way that they will lack comparability with data submitted by other state agencies.
 - b. Legal Provisions Affecting Data Reported. Describe any legal factors, such as new laws or amendments or change in interpretation of existing laws, which may affect the data reported in such a way that they will lack comparability with data submitted on prior reports or on current reports submitted by other state agencies.

UI REPORTS HANDBOOK NO. 401

ETA 5130 Benefit Appeals Report

- c. Economic Factors Affecting Data Reported. Describe any economic factors which may affect data reported.

G. Special Program Reporting

Reporting Under EB Provisions. When a state begins an extended benefit period under the EB provision of its state law, appeals related to this program will be reported separately from regular UI appeals activities. A separate ETA 5130 report screen for EB should be keyed and transmitted each month in which the program is operative. Definitions are the same as those for the regular report. If one case involves both the regular program and the EB program, the case will be classified as regular, not EB.

UI REPORTS HANDBOOK NO. 401

ETA 207 Nonmonetary Determination Activities

CONTENTS

- A. **Facsimile of Form**I-4-2
- B. **Purpose**.....I-4-3
- C. **Due Date and Transmittal**I-4-3
- D. **General Reporting Instructions**I-4-3
- E. **Definitions**.....I-4-3
 - 1. Nonmonetary DeterminationI-4-3
 - 2. Present, Past, or Future Benefit RightsI-4-5
 - 3. Nonmonetary Determination IssuesI-4-5
 - 4. Nonmonetary RedeterminationI-4-11
 - 5. Single-Claimant Nonmonetary DeterminationI-4-12
 - 6. Multi-Claimant Nonmonetary Determination.....I-4-12
 - 7. Denial of BenefitsI-4-12
- F. **Item by Item Instructions**I-4-12
 - 1. Section A. Determinations, Redeterminations, and DenialsI-4-12
 - 2. Section B. Determinations Involving Separation Issues,
Single ClaimantI-4-13
 - 3. Section C. Determinations Involving Nonseparation Issues,
Single ClaimantI-4-13
 - 4. CommentsI-4-13
- G. **Special Program Reporting**I-4-14
 - 1. Reporting Under the Extended Benefits ProgramI-4-14
 - 2. Reporting Under the Short Time Compensation (STC) ProgramI-4-15

UI REPORTS HANDBOOK NO. 401

ETA 207 Nonmonetary Determination Activities

A. Facsimile of Form

ETA 207 – NONMONETARY DETERMINATION ACTIVITIES

STATE:		REGION:		REPORT FOR PERIOD ENDING:					
SECTION A. DETERMINATIONS, REDETERMINATIONS and DENIALS									
		Single Claimant Totals			Multi-Claimant Totals				
		Total Determinations and Redeterminations	Total Determinations	Total Redeterm- inations	Total Multi- claimant	Labor Dispute	Multi- claimant Other		
		(1)	(2)	(3)	(4)	(5)	(6)		
State UI	Determinations	101							
	Denials	102							
UCFE No UI	Determinations	103							
	Denials	104							
UCX Only	Determinations	105							
	Denials	106							
SECTION B. DETERMINATIONS INVOLVING SEPARATION ISSUES, SINGLE-CLAIMANT									
		Line No.	Total Separation Issues	Voluntary Leaving	Discharge	Other			
			(7)	(8)	(9)	(10)			
State UI	Determinations	201							
	Denials	202							
UCFE No UI	Determinations	203							
	Denials	204							
SECTION C. DETERMINATIONS INVOLVING NONSEPARATION ISSUES									
		Line No.	Total Nonsep- aration Issues	Able, Available, Actively Seeking	Disqualifying/ Deductible Income	Refusal of Suitable Work	Reporting Requirement Call-ins and Other	Refusal Profiling Referrals	Other (Aliens, Athlete School)
			(11)	(12)	(13)	(14)	(15)	(16)	(17)
State UI	Determinations	301							
	Denials	302							

Comments:

OMB No.: 1205-0150 **OMB Expiration Date:** 11/30/2010 **OMB Burden Hours:** 240 Minutes

OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

B. Purpose

The data reported on the ETA 207 provides current information on the volume and nature of nonmonetary determinations and denials under state, UCFE and UCX unemployment insurance programs. Agencies use the data to budget workloads, evaluate law changes, appraise disqualification processes and relate to benefit appeals. The National Office uses it to determine workload counts, to analyze the ratio of disqualifications to determinations, and to examine and evaluate the program effect of nonmonetary activities. The regular report will include data from the regular program and the Short Time Compensation (STC) Program also known as Workshare. The regular report will not include workload under the Additional Benefits (AB) program.

C. Due Date and Transmittal

The report is due in the ETA National Office on the 15th day of the month following the quarter to which it relates. Both the regular and EB versions will be submitted electronically. Each report should include only those determinations, redeterminations, and denials dated during that calendar quarter. For reporting purposes, the date of determination is defined as the date printed on the determination notice, or, if no notice is required, the date payment is authorized, waiting week credit is given, or an offset is applied.

D. General Reporting Instructions

Classify nonmonetary determinations by the eligibility issue involved. A count will be taken for each issue determined. Exclude conditions described in E.1.b.

Multiple issues may be raised and addressed by the same set of facts. The same or different facts may or may not be needed to resolve the issues. If the state issues multiple determinations based on the same set of facts, then each determination shall be reported because each one represents an official action taken by the state agency. (See E.5. Single Claimant Determination).

Entries must be made for all required items. Enter a zero when the item is not applicable or no activity corresponding to the items occurred during the report period. A report containing missing data cannot be sent to the National Office but can be stored on the state's system. See Handbook 402, Appendix C for detailed edits.

E. Definitions

1. Nonmonetary Determination. A determination of eligibility made by the initial authority based on facts related to an "issue" detected:

UI REPORTS HANDBOOK NO. 401

ETA 207 Nonmonetary Determination Activities

- which had the potential to affect the claimant's past, present, or future benefit rights; and
 - for which a determination of eligibility was made.
- a. The following situations constitute nonmonetary determinations and should be reported:

- (1) Determinations made because of misrepresentation or fraud reportable on form ETA 227, Overpayment Detection and Recovery Activities.

Note: Overpayment notices on uncontested earnings detected by any method (e.g., crossmatch) are not reportable.

- (2) A claimant's separation for any reason other than a genuine "lack of work" which results in a nonmonetary determination. "Other than lack of work" includes such reasons as "laid off-too slow" or "failed to perform" and should be reported.
- (3) A disagreement exists as to whether the claimant satisfied the conditions of an indefinite disqualification (i.e., until reemployed for a specific period or has earned a specific sum of money) that resulted in a nonmonetary determination.
- (4) Investigation of a claimant's explanation for late reporting that results in a nonmonetary determination.

- b. The following situations do not constitute nonmonetary determinations and should not be reported:

- (1) Determinations made solely for deciding whether charges should be made to an employer's experience-rating account.
- (2) Routine exploration of facts or questioning claimants in association with the claimstaking process except under circumstances of disagreement. Examples of routine questioning or decisions not giving rise to a nonmonetary count are:
- (a) Claimant's acceptance of the claimstaker's conclusion that the week's earnings require a reduction in the benefit amount for that week.
- (b) Claimant's acceptance of benefits for only a portion of a week claimed when the state law provides for reduced benefits in

UI REPORTS HANDBOOK NO. 401

ETA 207 Nonmonetary Determination Activities

cases where the claimant was ill or otherwise unavailable for work during part of the week.

- (c) A determination on whether or not a stated period of time elapsed since a disqualifying act, satisfying the disqualification. This is part of the function of taking claims.
- (d) A determination on whether or not the claimant meets the minimum wage and employment requalifying requirement to establish a benefit year. This is part of the monetary determination function and under no circumstances should be reported as a nonmonetary determination.
- (e) A determination on the existence of and/or number of dependents. This is part of the monetary determination function and under no circumstances should be reported as a nonmonetary determination.
- (f) A determination on whether the claimant meets state requirements for establishing a subsequent benefit year (e.g., 30 days of bona fide work since exhausting a benefit series). This is part of the monetary determination function.

2. Past, Present, or Future Benefit Rights. The following are examples explaining the requirement that the issue must have the potential to affect present, past, or future benefit rights.

- a. In response to a charge statement, an employer protests that the claimant recently refused a job. A determination is made on the issue of refusal of suitable work. This meets the criterion of affecting past, present, or future benefit rights if the maximum period of disqualification which could be imposed has not elapsed and/or the claimant has not exhausted benefit rights.
- b. The claimant states the reason for separation is "layoff" and the employer does not furnish any contradictory information on the separation notice. As a result, the claimant receives benefits for four weeks before ceasing to file. The employer protests the charge notice for the four weeks of benefits, stating that the claimant quit. The state agency determines that the claimant, in fact, voluntarily quit his/her job without good cause and is disqualified until reemployed for at least four weeks. This determination meets the requirement of affecting past, present, or future benefit rights whether or not the claimant was filing at the time.

3. Nonmonetary Determination Issues. The following situations constitute "issues" for the purpose of reporting nonmonetary determinations:

UI REPORTS HANDBOOK NO. 401

ETA 207 Nonmonetary Determination Activities

- a. Voluntary Leaving Work. Leaving work without good cause is reason for disqualification. There are two broad provisions for leaving work with good cause. In some states, good cause for leaving must be connected to the work. In other states, good cause for leaving may be either personal or work connected. For reporting purposes, include under this category all voluntary leaving issues including those involving marital, paternal, filial, or other domestic or personal circumstances, and attendance at school or training.
- b. Discharge. Employer initiated separations occurring for reasons other than lack of work must be adjudicated to determine if the claimant was discharged for reasons that constituted misconduct in connection with the work. Misconduct is defined as a willful or controllable breach of a claimant's duties, responsibilities or behavior that the employer has a right to expect. It is a deliberate or substantially negligent act or an omission which adversely affects the employer's legitimate business interests. Simple negligence with no harmful intent, inefficiency, unsatisfactory conduct beyond the claimant's control, or good faith errors of judgment or discretion are not misconduct. However, for reporting purposes, all determinations involving discharge including those resulting in a finding of no misconduct should be reported. Also include under this category issues involving a discharge for "gross" or "aggravated" misconduct, as defined under some state laws.
- c. Able - Available - Actively Seeking Work. Being able to work means that an individual has the physical and mental capacity to perform work. Being available for work means that an individual has potential for employment and is ready (e.g., has child care, transportation, necessary licenses, etc.) and is willing to accept employment. Each worker falls somewhere between available, that is, willing and able to perform any job, at any time, under any conditions and being unavailable, that is, being unwilling, not ready, or unable to accept or perform any job, under any conditions.

Availability is lessened by circumstances that decrease an individual's chances of becoming employed, and is increased by circumstances that enhance chances for becoming employed. Ineligibility occurs when there are undue problems, unreasonable or unrealistic restrictions regarding wages, hours of work or travel that are a barrier to accepting work or there is a lack of significant interest in employment.

Numerous states have specific provisions in their laws that require a search for work, while others consider a search for work as part of the availability consideration. Actively seeking work includes contacting potential employers and generally attempting to find work in ways that any reasonably prudent person attempts to secure work.

UI REPORTS HANDBOOK NO. 401

ETA 207 Nonmonetary Determination Activities

For reporting purposes, include under this category all able-available-actively seeking work issues including those involving marital, parental, filial or personal obligations and attendance at school or training. Only one nonmonetary count may be taken for a given week for an able/available issue.

- d. Disqualifying or Deductible Income. This category includes determinations relating to the effect upon benefit entitlement of payments such as workers' compensation, Old Age and Survivors Insurance (OASI) benefits, unemployment benefits under another state or Federal law, dismissal payments or wages in lieu of notice, vacation or holiday pay, and payments made under an employer's pension plan. This issue is reportable if properly documented.
- e. Suitable Work Refusals. A claimant's refusal of suitable work or an offer of referral to a job without good cause is reason for disqualification. For an issue to exist, it must first be established that a bona fide job offer or an offer of referral to a job existed.
- f. Reporting Requirements. Issues involving reporting requirements relate to requests for backdating of new or additional claims, late filing of continued claims, and failure to report as required to provide claims information.

Example: The claimant requested his initial claim be backdated to allow benefits for the prior four weeks. When questioned as to the reason for the delay in filing, the claimant stated he thought he would be recalled to work and would not need the benefits. The state determined the claimant had not established good cause for the delay in filing and issued a nonmonetary determination denying the request.

- g. Labor Disputes. These are issues arising from state law on unemployment resulting from labor disputes and are generally multi-claimant. Therefore, **all** labor dispute determinations should be reported in the multi-claimant category, even though some can be construed as single claimant determinations or the proper category is initially indiscernible (e.g., some interstate claims). In these cases, a notice issued to one claimant is usually based on a set of labor dispute facts which inherently has potential applicability to other claimants involved who may file later.

For reporting purposes, labor dispute issues are always reported as multi-claimant determinations in column 5.

- h. Refusal of Referral to Profiling Services. Section 4 of the Emergency Unemployment Compensation Amendments of 1993 established a program to profile UC claimants as to their likelihood of exhausting benefits and to refer to reemployment services those most likely to

UI REPORTS HANDBOOK NO. 401

ETA 207 Nonmonetary Determination Activities

exhaust benefits. Refusal to accept referral to services without justifiable cause is grounds for denial of benefits. Determinations made because of a claimant's refusal to be referred to services and any resulting denials will be reported in column 16 of the report. Failure to report to referred training, without evidence of refusal, should be counted in "Reporting Requirements," not in "Refusal of Profiling Referral to Services."

- i. Alien Legal Status. Section 3304(a)(14), FUTA, provides that compensation shall not be payable on the basis of services performed by an alien unless the alien was in one of three eligibility categories at the time such services were performed. The categories include aliens who were lawfully admitted for permanent residence at the time the services were performed, lawfully present for purposes of performing the services, or permanently residing in the U.S. under color of law at the time the services were performed.

An alien must also be "able and available" for work while claiming benefits. This means the claimant must have current work authorization during the claim series. This is a separate issue from legal status during the base period and such determinations should be reported in column 12, Able, Available, Actively Seeking.

Determinations concerning an alien's legal status during the base period will result in a nonmonetary determination which may affect the claimant's monetary determination. Report only the original monetary determination on the ETA 218, Benefit Rights and Experience report, and the nonmonetary determination in column 17, Other of the ETA 207. A monetary redetermination issued as a result of the nonmonetary determination is not reportable.

- j. Professional Athlete Claimant. Section 3304(a)(13), FUTA, requires that compensation shall not be payable to any individual on the basis of services, substantially all of which consist of participating in sports or athletic events (or training or preparing to participate), for any week between two successive sport seasons, if the individual performed services in the first season and there is reasonable assurance that the individual will perform services in the second season. The term "athlete" may include, at state option, ancillary personnel involved with the team or event such as managers, coaches, and trainers employed by professional teams, and referees and umpires employed by professional leagues or associations. This section of Federal law requires the state to determine whether substantially all the athlete's base period services were earned from participating in sporting events and whether the athlete is "between seasons." "Substantially all" is defined as 90% or more of the total base period wages.

UI REPORTS HANDBOOK NO. 401

ETA 207 Nonmonetary Determination Activities

Determinations concerning a professional athlete's status during the base period could result in a nonmonetary determination which may affect the claimant's monetary determination. Report only the original monetary determination on the ETA 218, Benefit Rights and Experience report, and the nonmonetary determination in column 17, Other, of the ETA 207. A monetary redetermination issued as a result of the nonmonetary determination is not reportable.

- k. Educational Employee Claimant "Between" and "Within" Terms. Section 3304(a)(6)(A), FUTA, requires that a state law provide that benefits be payable based on services performed for state and local government entities and certain nonprofit organizations in the same amount, on the same terms, and subject to the same conditions as benefits payable on the basis of other covered service. The only permitted exceptions to the "equal treatment" requirement are specified in clauses (i) through (v) of the same paragraph. These exceptions are referred to as the "between" and "within" terms denial provisions.

These exceptions provide that employees of educational institutions, educational service agencies, and certain other entities are ineligible for benefits based on such services between academic years or terms and during vacation periods and holiday recesses within terms if they have a "reasonable assurance" of performing in the same or similar capacity in the following year, term, or remainder of the term. This section of Federal law requires a state to apply these denial provisions also to employees of state and local governments and nonprofit organizations if they provide service to or on behalf of an educational institution.

In applying this section of Federal law, a state agency must first issue a monetary determination containing all the claimant's covered services during the base period. A nonmonetary determination must then be made as to whether the "between" and "within" terms educational denial provisions apply, and if so, the agency must also issue a monetary redetermination excluding such non-allowable services.

Therefore, determinations regarding whether the "between" and "within" terms educational denial provisions apply will result in a nonmonetary determination which may affect the claimant's monetary determination. Report only the original monetary determination on the ETA 218, Benefit Rights and Experience report, and the nonmonetary determination in column 17, Other, of the ETA 207. A monetary redetermination issued as a result of the nonmonetary determination is not reportable.

Separation and/or nonseparation issues which occur at times other than between academic years or terms, during vacation periods, or holiday recesses within terms involving employees of educational institutions, educational service agencies, and certain other entities should be

UI REPORTS HANDBOOK NO. 401

ETA 207 Nonmonetary Determination Activities

adjudicated under the regular provisions of state law and reported accordingly.

- I. Miscellaneous. Miscellaneous circumstances (unemployment status, seasonality and removal of all or part of a disqualification) are issues only when a disagreement arises on facts or application of the law. In the absence of disagreement, these situations generally only require action of a clerical nature such as reducing that particular week's benefit amount, noting earnings used to lift a disqualification, or changes in circumstances that might remove or satisfy a previous denial. In these cases, the claimant agrees to the facts and the situation does not constitute an issue.

If, however, after a discussion of the facts, benefits are denied through a written determination, then the resulting determination should be counted as a nonmonetary determination for the following issues:

- (1) Unemployment Status. A nonmonetary determination may be counted when there is a question on whether for a particular week: a) the claimant's activities or status constitutes "service" or "employment," or b) the claimant earns "wages" or receives "remuneration," resulting in ineligibility as "not unemployed," or only partially unemployed. Note, however, that determinations concerning the effect of payments such as worker's compensation, OASI benefits, unemployment benefits under another state or Federal law, dismissal payments or wages in lieu of notice, vacation or holiday pay, and payments made under an employer's pension plan come under the category of disqualifying or deductible income. See Section E.3.d.

Example: Based on the employer's statement of earnings, a claimant is awarded only partial benefits for a specified week. The claimant objects to the reduction in benefits on the grounds that the employer's statement is incorrect. Because of disagreement over the accuracy of the employer's statement, the state issues a nonmonetary determination based on the information obtained. The resulting determination is reportable (provided the other nonmonetary requirements in this section are met). If the claimant had agreed with the employer's information, a determination would not be needed and, therefore, not reportable.

- (2) Seasonality. A nonmonetary determination may be counted when there is a question on whether special statutory provisions under which seasonal workers may be denied benefits should apply.
- (3) Removal of All or Part of a Disqualification. A nonmonetary determination may be counted when there is a question on whether

UI REPORTS HANDBOOK NO. 401

ETA 207 Nonmonetary Determination Activities

specific requalifying requirements are met, e.g., until employed for a specified period of time or until specified amounts are earned.

Example: The claimant is required to earn \$500 to lift a disqualification, but presents evidence of earning \$450. The claimant contends there were more earnings, but has no evidence. A question exists; further inquiry with the employer and/or the claimant may be necessary. After resolving the issue and making the determination, the determination should be reported.

Nonmonetary determinations made under these circumstances are reported in column 17, "Other," of the ETA 207.

4. Nonmonetary Redetermination. A determination made under statute, regulation, or well defined policy specifically requiring reconsideration of a nonmonetary determination prior to the administrative appeal stage, and which affirms, reverses, or modifies a determination.

Nonmonetary Redeterminations are reportable under the following conditions: (All conditions must be met.)

- a. The need for reconsideration arises as the result of a protest by an interested party requiring actual review of all facts on which the determination was based or from the agency's own initiative based upon new or additional information;
- b. All pertinent evidence and records are actually re-examined; and
- c. A written redetermination notice is issued to the claimant and any other interested party and is recorded.

A redetermination will always relate to the benefit period applicable to the original determination. (Facts concerning a different period or different circumstances may raise new issues calling for a new nonmonetary determination).

Redeterminations do not include determinations which are changed due to periodic supervisory reviews in which errors may be corrected. These corrected determinations are not based on new or additional information or protest and should not be reported as redeterminations. Also, if the claimant objects to a nonmonetary determination, listening to a repeated earlier statement and explaining the determination does not constitute a redetermination. A redetermination can only be made as a result of either the receipt of new or additional information or a protest by the employer or claimant and must always result in a written determination upon reconsideration of the original determination which affirms, reverses, or modifies the original determination.

UI REPORTS HANDBOOK NO. 401

ETA 207 Nonmonetary Determination Activities

5. Single-Claimant Nonmonetary Determination. A nonmonetary determination based upon facts which relate to an individual situation and issued to a single claimant. If two or more issues were raised and determined, based on the same set of facts, report each determination as a separate single-claimant nonmonetary determination.

Example: A claimant voluntarily quits a job and files for unemployment. A statement is taken regarding the separation issue. During the interview, the claimant reveals that he/she quit due to a lack of transportation. Two issues have now been raised by the same set of facts. Two nonmonetary determinations, one separation issue and one nonseparation issue, may be reported based on the one set of facts if all the facts to support each determination are contained in the statement.

6. Multi-Claimant Nonmonetary Determination. A nonmonetary determination based upon a set of facts which apply to two or more similarly situated individuals and which may result in the issuance of one or more notices, depending upon the number of individual claimants involved.

Example: In a labor dispute involving 500 persons, three claims were filed each representing a different worker. Nonmonetary determination notices were issued disqualifying all three claims. One multi-claimant determination should be reported since identical notices were issued to, or applied to, two or more claimants in a labor dispute. Note: If different classes or grades of workers are involved in the same labor dispute, one multi-claimant count may be taken for the first notice issued for each class or grade of worker.

7. Denial of Benefits. Action imposed by a nonmonetary determination which cancels, reduces, or postpones a claimant's benefit rights. Under a multi-claimant determination, the count is reflective of the number of individuals impacted by the one multi-claimant determination. A denial is counted for each claimant whose claim is canceled, benefits reduced, or payments postponed. Therefore, the number of denials on line 102, columns 4, 5, and 6 can be greater than the number of determinations on line 101 for the same columns.

F. Item by Item Instructions

1. Section A. Determinations, Redeterminations, and Denials

- a. Single-Claimant Totals

- (1) Column 1 - Total Determinations and Redeterminations. Enter the total number of single-claimant nonmonetary determinations, redeterminations and denials by appropriate program (UI, UCFE, UCX). For UI claims, this is the sum of columns 2 and 3.

UI REPORTS HANDBOOK NO. 401

ETA 207 Nonmonetary Determination Activities

- (2) Column 2 - Total Determinations. Enter the number of single-claimant nonmonetary determinations as defined in section E. This total is the sum of columns 7 and 11.
 - (3) Column 3 - Total Redeterminations. Enter the number of single-claimant redeterminations, as defined in Section E. A redetermination of a single-claimant nonmonetary determination should be counted only once. The count of denials imposed in redeterminations should consist only of those imposed for the first time through the redetermination process. Thus, if a redetermination merely upholds a denial initially imposed in an initial determination, do not include the denial in the count in columns 1 and 3, line 102, or in the case of UCFE and UCX, column 1, lines 104 and 106.
- b. Multi-Claimant Totals
- (1) Column 4 - Total Multi-Claimant Determinations. Enter the number of determinations which actually or potentially involve benefit rights of more than one claimant as defined in section E. Count a denial for each claimant disqualified under a multi-claimant determination. This total is the sum of columns 5 and 6, Labor Dispute and Other.
 - (2) Columns 5 and 6 - Labor Dispute and Other. Enter the number of determinations which result from a labor dispute issue in column 5 (see section E.6.). Enter the number of multi-claimant determinations which do not involve a labor dispute issue in column 6.
2. Section B. Determinations Involving Separation Issues, Single Claimant.
- a. Lines 201 and 203. Enter the number of determinations for state UI and UCFE respectively for the appropriate issue.
 - b. Lines 202 and 204. Enter the number of denials for state UI and UCFE respectively for the appropriate issue.
3. Section C. Determinations Involving Nonseparation Issues, Single Claimant
- a. Line 301. Enter the number of determinations made for each of the various issue types. (See section E.)
 - b. Line 302. Enter the number of denials made for each of the various issue types. (See section E.)
4. Comments. Describe in the Comments section, any administrative, legal, or economic factors which may result in data that lack comparability with data submitted on prior reports. Include changes in procedure, administrative policies, precedent appeals determinations, or mass or prolonged

UI REPORTS HANDBOOK NO. 401

ETA 207 Nonmonetary Determination Activities

unemployment factors which may significantly increase or decrease the number of denials. For example, in describing mass unemployment or prolonged unemployment, give the cause, number, size of establishments, industry(s), and area(s) involved.

G. Special Program Reporting

1. Reporting Under the Extended Benefit Program. When a SWA begins an extended benefit period, submit separate electronic reports for nonmonetary determinations relating to claims filed under the EB provisions of the state law. Continue reporting for as long as activity is likely to occur. Due dates and submittal instructions are the same as for the regular report. Include in each EB report the following items:
 - a. Column 1, lines 101 through 106. Definitions are the same as for the regular report.
 - b. Column 7, lines 201 and 202. Enter the total number of determinations and the denials which involve separation issues under state provisions and the sum of columns 8, 9, and 10. Columns 8 plus 9 plus 10 should be equal to column 7.
 - c. Column 8, lines 201 and 202. Enter the total number of determinations and denials under the EB program, as appropriate, that resulted due to a disqualification during the regular benefit period for voluntary quit which was terminated for reasons other than employment. (i.e., state law did not require employment to remove the disqualification).
 - d. Column 9, lines 201 and 202. Enter the total number of determinations and denials under the EB program, as appropriate, that resulted due to a disqualification during the regular benefit period for discharge for misconduct which was terminated for reasons other than employment. (i.e., state law did not require employment to remove the disqualification).
 - e. Column 10, lines 201 and 202. Enter the total number of determinations and denials under the EB program, as appropriate, that resulted due to a disqualification during the regular benefit period for refusal of suitable work which was terminated for reasons other than employment. (i.e., state law did not require employment to remove the disqualification).
 - f. Column 11, lines 301 and 302. Enter the total number of determinations and denials which involve nonseparation issues under state provisions and the sum of columns 12, 14, and 17. Columns 12 plus 14 plus 17 should be less than column 11.

UI REPORTS HANDBOOK NO. 401

ETA 207 Nonmonetary Determination Activities

- g. Column 12, lines 301 and 302. Enter the number of determinations and denials under the PL 96-499 Federally required provisions for active search for work.
 - h. Column 14, lines 301 and 302. Enter the number of determinations and denials for refusal of work deemed suitable under the PL 96-499 Federally required definition of suitable work.
 - i. Column 17, line 302. Enter the total number of denials of EB due to the agent state of an interstate claim not being in an EB period.
2. Reporting Under the Short Time Compensation (STC) Program. Nonmonetary determination activity under the Short Time Compensation program, also known as Workshare, is not to be reported separately but is to be included on the regular version of this report.

UI REPORTS HANDBOOK NO. 401
ETA 218 Benefit Rights and Experience

CONTENTS

A. Facsimile of Form	I-5-2
B. Purpose	I-5-3
C. Due Date and Transmittal	I-5-3
D. General Reporting Instructions	I-5-3
1. Activities to be Reported	I-5-4
2. Treatment of Special Types of Claimants.....	I-5-4
3. Reporting Maximum WBA and Maximum Duration	I-5-4
4. Coverage of Report.....	I-5-5
5. Checking the Report	I-5-5
E. Definitions	I-5-5
1. Monetary Determinations	I-5-5
2. Final Payments	I-5-5
F. Item by Item Instructions	I-5-5
1. Section A. Monetary Determinations	I-5-5
2. Section B. Potential and Actual Duration	I-5-7
3. Comments.....	I-5-9
G. Special Program Reporting	I-5-9

UI REPORTS HANDBOOK NO. 401
ETA 218 Benefit Rights and Experience

A. Facsimile of Form

ETA 218 BENEFIT RIGHTS AND EXPERIENCE

STATE:		REGION:		REPORT FOR PERIOD ENDING:				
SECTION A. MONETARY DETERMINATIONS								
	DETERMINATIONS			NUMBER OF CLAIMANTS ESTABLISHING BENEFIT YEARS				
LINE NO.	Total (1)	Insufficient Wage Credits (2)	Sufficient Wage Credits (3)	Total (4)	Maximum Weekly Benefit (5)	Maximum Benefit and Duration (6)		
100								
SECTION B. POTENTIAL DURATION FOR DETERMINATIONS ESTABLISHING BENEFIT YEARS AND ACTUAL DURATION FOR CLAIMANTS WHO RECEIVED FINAL PAYMENTS								
LINE NO.	ITEM	NUMBER BY WEEKS OF DURATION						
		Total (7)	Less 10 Weeks (8)	10-14 Weeks (9)	15-19 Weeks (10)	20-21 Weeks (11)	22-23 Weeks (12)	24-25 Weeks (13)
101	Potential							
102	Actual							
LINE NO.	ITEM	NUMBER BY WEEKS OF DURATION					Number at Maximum Duration (19)	Average Weeks Duration (20)
		26-27 Weeks (14)	28-29 Weeks (15)	30-31 Weeks (16)	32-33 Weeks (17)	34WKS& Over (18)		
103	Potential							
104	Actual							

Comments:

OMB No.: 1205-0177 **OMB Expiration Date:** 05/31/2010 **OMB Burden Hours:** 30 Minutes
OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

UI REPORTS HANDBOOK NO. 401
ETA 218 Benefit Rights and Experience

B. Purpose

Data reported on the ETA 218 provides a means of evaluating state benefit formulas, as administered under the state unemployment insurance program. The number of monetary determinations on new claims is used as a base to which other items reported in section A of the report may be related. The number of new claims determined to have insufficient wage credits and the number with sufficient wage credits provide information on the effect of the monetary qualifying requirements in the state law. The number of new claims determined to have established benefit years is used on an annual basis to estimate the number of eligible claimants in each state.

The number of eligible claimants with potential maximum duration, the average potential duration for all eligible claimants, and their distribution by number of full weeks of potential duration show the extent of protection, in terms of weeks of benefits, available to potential beneficiaries. These figures permit computation of the maximum potential current liability of the fund, and they reflect on a reasonable, current basis the effect of changes and potential changes in benefit provisions of state laws. The number of claimants who exhaust benefits with maximum duration, the average actual duration of all claimants who exhaust benefits, and their distribution by number of full weeks of benefits drawn show the actual amount of protection provided by the program for claimants still unemployed on receipt of their final payment in a benefit year.

The number of eligible claimants who were entitled to the maximum weekly benefit amount (WBA) measures roughly the extent to which claimants are not receiving benefits in the same percent of past wages that is applicable to lower paid claimants. It indicates whether the existing maximum is curtailing the percentage of wage loss compensated for a high portion of claimants. The number of eligible claimants who were entitled to both the maximum benefit amount and the maximum duration indicates what proportion of claimants were eligible for the maximum annual benefit under the benefit formula in the state law.

C. Due Date and Transmittal

The ETA 218 report for each calendar quarter is due in the National Office on the 25th day of the first month following the quarter to which it relates. This report is to be transmitted electronically.

D. General Reporting Instructions

Reporting instructions for specific items are given in the following sections only to the extent considered necessary to supplement descriptions on the form itself.

UI REPORTS HANDBOOK NO. 401

ETA 218 Benefit Rights and Experience

1. Activities to be Reported. The count of monetary determinations (section A, items 1 and 4, and section B, line 101) should include monetary determinations (as defined in E below) which were made during the reported period. All other items should include only those activities occurring during the reported quarter.

The claimant's status, that is whether or not the claimant was monetarily eligible and what level of benefits the claimant was eligible for, should be reported as the most recent information available at the time the report is run. For example, a claimant may have a monetary determination (reported on the ETA 218) at the beginning of the quarter which found him/her ineligible. One or more monetary redeterminations (which are not reportable on the ETA 218) may be accomplished after that time which ultimately changes the status to eligible. When the state computer program is run to determine the status of individuals who had an original monetary determination accomplished during the report quarter, the most recent status on record will be the one reported. However, once the status of a monetary determination has been reported, subsequent changes due to further redeterminations (e.g., wage correction or alternative base period redeterminations) on the same new initial claim will not be reported on any ETA 218.

Note: A new claim filed in a subsequent quarter (e.g., subsequent to the filing of an initial claim determined to be monetarily ineligible) can be counted as a new monetary determination since the claim will have a new, that is different, benefit year.

2. Treatment of Special Types of Claimants.
 - a. The paying state should submit data relating to claims processed under the wage-combining plan.
 - b. The liable state should submit data relating to interstate claims.
3. Reporting Maximum WBA and Maximum Duration. When state law changes the maximum weekly benefit amount or duration during the reported period, entries for line 100, items 5 and 6, and lines 103 and 104, item 19, should represent the total at the maximum under the old law and under the new law. Also, if the law provides for more than one maximum, each applicable to a specified set of circumstances under which the claimant files, the entries should represent the total of individuals at all designated maximums, and the comments should explain the change. For example, the maximum in a state may vary according to 1) the number and type of claimant's dependents, 2) the claimant's previous history of employment and receipt of benefits, 3) the industry in which the claimant earned his/her wage credits, and 4) the type of claim, i.e., interstate or intrastate.

UI REPORTS HANDBOOK NO. 401

ETA 218 Benefit Rights and Experience

4. Coverage of Report. The ETA 218 report covers activities under the state UI program. This instruction applies to all items on the report. It should be interpreted in the following manner for the following specific items:
 - a. Item 1. All monetary determinations resulting from new claims for (**State UI only or joint State UI/Federal**). A monetary determination should be reported even though, in processing a new claim for UI benefits, no UI wage credits were found. Exclude monetary determinations with **only** Federal wages.
 - b. Line 100, columns 2-6, lines 101 and 102, items 7-13; and lines 103 and 104, items 14-20. Classification of monetary determinations or claimants for reporting in these items should all be on the basis of UI wage credits alone or UI wage credits in combination with Federal wage credits.
5. Checking the Report. Entries should be made for all items. If no activity corresponding to the items occurred during the report period, a zero should be entered. A report containing missing data can not be sent to the National Office but can be stored on the state's system. Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

E. Definitions

1. Monetary Determinations. Determinations as to whether a claimant, who has filed a new initial claim, has sufficient base period wages and/or employment to establish a benefit year under the state unemployment compensation program.
2. Final Payments. A final payment is the last regular benefits a claimant receives in a benefit year because the claimant has no further entitlement to payment, i.e., has exhausted entitlement by drawing the maximum amount of benefits. The last payment to a claimant whose regular program benefits are reduced through disqualifications, but who draws all the reduced benefits during the benefit year, should be considered a final payment. No claimant should be considered as having received a final payment if, because of the ending of his/her benefit year, he/she can not draw the full amount of benefits to which he/she is eligible.

F. Item by Item Instructions

1. Section A. Monetary Determinations.
 - a. Item 1, Total Determinations. Enter the total number of original monetary determinations (not redeterminations) issued during the report period.

UI REPORTS HANDBOOK NO. 401

ETA 218 Benefit Rights and Experience

This count should be roughly equal to the number of new initial claims during the same period for which appealable monetary determinations were issued. Exclude determinations on reopened claims (if the base period has not changed since the original determination), duplicate claims, claims returned to the local office for completion before they have been processed, claims disallowed before referral to the wage-record files, etc. Reconsiderations of wage credits and redeterminations on the basis of any available wage credits in the same benefit year should not be reported as monetary determinations. Thus, redeterminations resulting from a state's alternative base period(s) should not be reported. However, the status of the claim as a result of any redetermination made during the report period will be reported in items 2 through 20.

- b. Item 2, Determinations with Insufficient Wage Credits. Enter the number of monetary determinations accomplished during the quarter (item 1) for which, when the report is run, either no wage credits could be located or insufficient wage credits (or employment) were available to satisfy the eligibility requirements of the state law. Exclude determinations where insufficiency is due to credits having been canceled because of disqualification.
- c. Item 3, Determinations with Sufficient Wage Credits. Enter the number of monetary determinations accomplished during the quarter (item 1) for which, when the report is run, sufficient base-period wage credits (and employment) were located to make the claimant eligible regardless of all other eligibility requirements. This entry should reflect the results at the time of the report run of all determinations and redeterminations for which qualifying wage credits (and employment) were found, even though the claimant may be disqualified due to other circumstances.
- d. Item 4, Total Claimants Establishing Benefit Years. Enter the number of claimants for whom benefit years were established. The entry in item 4 will differ from that in item 3 for states in which the establishment of a benefit year is dependent on requirements in addition to the monetary determination of eligibility. For such states, the count should include all determinations establishing benefit years made during the quarter, even though, because of a lag in processing or delay due to additional requirements, the monetary determinations were in some instances reported in a previous quarter. Thus, a comparison between items 3 and 4 for any one quarter may not be valid, but cumulatively the difference between the two items will represent the number of determinations for individuals who meet the minimum wage and employment qualifications but who did not establish benefit years because the additional requirements were not met. For all other states, the entry in item 4 will be identical with the entry in column 3.

UI REPORTS HANDBOOK NO. 401

ETA 218 Benefit Rights and Experience

- e. Item 5, Claimants Establishing Benefit Years Entitled to Maximum Weekly Benefit Amount. Enter the number of claimants in item 4 whose regular weekly benefit amount (WBA) for a period of total unemployment is the maximum under the state law. This item should be based on the regular WBA rather than the actual amount of a particular weekly payment, since, in some cases, the regular WBA may be reduced because of part-total or partial unemployment.

In states which pay increased benefits because of dependents, this item should be reported on the basis of the augmented amount. For states which pay benefits according to a schedule of WBAs based on wages earned, and which supplement these with dependents' allowances, the number of such claimants entitled to the maximum augmented WBA will be identical to the number entitled to the maximum basic WBA. For states which pay benefits according to a schedule of WBAs based on the number and type of dependents, as well as on the amount of wages earned, (e.g., Ohio) the number of claimants will be the sum of those entitled to the maximum in each class, as determined by the number and type of dependents.

- f. Item 6, Claimants Establishing Benefit Years Entitled to Maximum Weekly Benefit Amount and Maximum Duration. Enter the number of claimants from item 5 who are entitled to benefits for the maximum number of weeks provided under state law. In a state which pays increased benefits because of dependents, a claimant should be considered as entitled to maximum duration if he/she is eligible for the maximum number of weeks of benefits available to him/her on the basis of the number and type of his/her dependents.

2. Section B. Potential and Actual Duration.

- a. Lines 101 and 103, Potential Duration for Determinations Establishing Benefit Years. Potential duration is the number of full weeks of benefits for which a claimant is eligible within a benefit year. Potential duration should be based solely on monetary determinations, without adjustment for periods of disqualification or wage credits canceled for specific disqualifying acts such as voluntary quitting, misconduct, etc.

Weeks of potential duration should be computed by dividing the total amount payable, from state trust funds during the benefit year, by the regular WBA for total unemployment. States in which the law provides that the WBA shall change during the benefit year should use the weekly benefit amount shown on the original determination to compute the potential duration.

UI REPORTS HANDBOOK NO. 401

ETA 218 Benefit Rights and Experience

States which provide for the payment of increased benefits because of dependents should use figures which include benefits payable as a result of dependents to compute potential duration.

- b. Lines 102 and 104, Actual Duration for Claimants Who Received Final Payments. Actual duration is derived by dividing the total amount of benefits received from state trust funds by the WBA for total unemployment. If the WBA for total unemployment is changed during the benefit year, the amount of the last payment made at the full benefit rate should be used rather than the amount shown on the original determination.

States which provide for the payment of increased benefits because of dependents should use the figures which include benefits paid as the result of dependents to compute potential duration.

The last payment to a claimant whose benefits are reduced through disqualifications but who draws all of the reduced benefits to which he/she is entitled during the benefit year should be included as a final payment. No claimant should be considered as receiving a final payment because the ending of a benefit year prohibits the claimant from drawing the full amount of benefits based on his/her monetary determination.

- c. Items 7-18, Number of Weeks of Duration.
- (1) The number of monetary determinations through which claimants established benefit years should be entered in line 101, item 7. The entry should be distributed in columns 8-18, lines 101 and 103, by the number of full weeks of potential duration. This distribution, for a state with uniform duration, will be represented by a single entry in the appropriate interval column.
 - (2) The number of claimants who receive final payments should be entered in line 102, item 7. This entry should be distributed in items 8-18, lines 102 and 104, by the number of full weeks of actual duration during the benefit year. This will include claimants who, because of disqualifying reductions in benefits, had actual durations less than state's uniform duration.
 - (3) In computing weeks of duration, a result with a decimal figure should be rounded to the next highest number of weeks.
- d. Item 19, Number with Maximum Duration. The entries in each of lines 103 and 104 should represent that part of the entries in item 7, lines 101 and

UI REPORTS HANDBOOK NO. 401

ETA 218 Benefit Rights and Experience

102, respectively, which represent claimants either entitled to or receiving benefits for the maximum number of weeks provided under the state law. In a state which pays increased benefits because of dependents, a claimant should be considered as either entitled to or receiving the maximum duration if he/she is eligible for or receives the maximum number of weeks of benefits available to him/her on the basis of the number and type of his/her dependents.

- e. Item 20, Average Weeks of Duration. The average weeks of duration to be reported in each of lines 103 and 104, should be computed by dividing the entries in column 7, lines 101 and 102, respectively, into the cumulative total of full weeks of duration represented by the distributions shown for each of these entries. The average should be computed from unrounded figures and then rounded to one decimal place.
3. Comments. Lines are provided on the screen for comments. Comments may be made for any of the following areas:
- a. Administrative factors affecting data reported on tabulations. Describe any administrative factors such as changes in operating procedures, issuance of rules and regulations, and staff turnover which may affect the data reported in such a way that they will lack comparability with data submitted on prior reports or on current reports submitted by other state employment security agencies in accordance with the above sections.
 - b. Legal factors affecting data reported on tabulations. Describe any legal factors such as amendments to the state unemployment insurance law, official interpretations of the law, or court decisions which may affect the data reported in such a way that they will lack comparability with data submitted on prior reports or on current reports submitted by other state employment security agencies in accordance with the above sections.
 - c. Economic factors affecting data reported on tabulations. Describe any economic factors such as seasonal employment, instances of mass partial employment, prolonged unemployment on an establishment, industry, or area basis, etc., which may affect the data reported in such a way that the conditions will be reflected in any of the tabulations prepared.

G. Special Program Reporting

States in which an extended benefit (EB) period is in effect under the EB provisions of the state law should report monetary determination activities relating to initial claims under the Federal/State Extended Benefit program. A separate electronic screen entry is used. These reports should be submitted as long as monetary determination activity occurs under the EB program. Due dates and

UI REPORTS HANDBOOK NO. 401
ETA 218 Benefit Rights and Experience

instructions are the same as for the regular report. The following items are to be reported:

1. Line 100, Item 1, Total Determinations. Enter the total number of monetary determinations under the EB program.
2. Line 100, Item 2, Determinations with Insufficient Wage Credits. Enter that part of item 1 which represents determinations for which insufficient base period wage credits and/or employment were available to satisfy the EB eligibility requirements of the state law.
3. Line 100, Item 3, Determinations with Sufficient Wage Credits. Enter that part of item 1 which represents determinations for which sufficient base period wage credits and/or employment were available to make the claimant eligible for EB.

UI REPORTS HANDBOOK NO. 401

ETA 538 Advance Weekly Initial and Continued Claims Report

CONTENTS

A. Facsimile of FormI-6-2

B. Purpose I-6-3

C. Due Date and TransmittalI-6-3

D. General Reporting InstructionsI-6-3

 1. Counts.....I-6-3

 2. Freezing of Data..... I-6-4

 3. Adjustment of Data.....I-6-4

E. Definitions.....I-6-5

F. Item by Item Instructions I-6-5

 1. Initial Claims, Intrastate and Interstate Taken DirectlyI-6-5

 2. Intrastate Continued Weeks ClaimedI-6-5

 3. Interstate Liable Continued Weeks ClaimedI-6-5

UI REPORTS HANDBOOK NO. 401

ETA 538 Advance Weekly Initial and Continued Claims Report

A. Facsimile of Form

ETA 538 – ADVANCE WEEKLY INITIAL AND CONTINUED CLAIMS REPORT

STATE	REGION	REPORT FOR PERIOD ENDING
Week Number:		
Reflected Week Ending:		
Initial Claims, Intrastate and Interstate Taken Directly:		
Intrastate Continued Weeks Claimed:		
Interstate Liable Continued Weeks Claimed:		

Comments:

OMB No.: 1205-0028

OMB Expiration Date: 08/31/2009

OMB Burden Hours: 30 Minutes

OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

B. Purpose

UI REPORTS HANDBOOK NO. 401

ETA 538 Advance Weekly Initial and Continued Claims Report

The ETA 538, Advance Weekly Initial and Continued Claims Report, allows the National Office to gather and report data on national weekly initial claims, a leading economic indicator, and national continued weeks claimed, another economic indicator, within one week of the week during which these claims are filed. This report provides for an advance national compilation and release of initial claims and weeks claimed data that, on a national basis, should conceptually be the same as the total of initial claims and weeks claimed data reported on the ETA 539, Weekly Claims and Extended Benefits Trigger Data. The quick release of this information benefits policy makers and the public and reduces the length of time security is needed on state claims data. The ETA 539 will continue to be the source for published state-by-state information about initial and weeks claimed.

With the increased use of direct filing of interstate claims with the liable state, a change in the source of the advance data is necessary to ensure that the counts of all initial claims taken during the reference week are available for advance reporting and that there is no duplication of count. The initial claim count for this report will be based on the total of all intrastate initials and the total of all interstate agent and liable claims taken directly by the state during the report week. These numbers, when aggregated to U.S. totals will produce an unduplicated count that should be very close to the more refined number that will be the U.S. figure compiled from the ETA 539 report.

C. Due Date and Transmittal

Weekly reports will be submitted electronically in time to reach the ETA National Office by the opening of business on the Tuesday following the close of the reference week. (See also section D.2. on freezing data.)

D. General Reporting Instructions

1. Counts. All data reported on the ETA 538 is to consist of data for the regular state UI program only. Counts of weeks compensated or counts of checks issued or counts of weeks claimed which are processed should not be substituted for any part of the count unless rigid processing scheduled are adhered to so that the count is not affected by administrative factors.

Initial claims should include all initial claims taken directly by the state during the week for which data is reported. This includes all intrastate, interstate agent initial claims taken in the week and all interstate liable initial claims taken directly from the claimant during the reference week. Claims taken by an agent state and received in the liable state during the reference weeks are not included in this report by the liable state. In order to report only those liable initial claims taken, states must clearly distinguished them from other initial claims received that were filed through an agent state. The figures should reflect, as closely as possible, the normal seasonal level of claims

UI REPORTS HANDBOOK NO. 401

ETA 538 Advance Weekly Initial and Continued Claims Report

activity influenced only by economic factors. They should be adjusted as much as possible for administrative factors as indicated in 3. below.

Continued weeks claimed should include a total of all weeks for which benefits were claimed, even though such benefits were not paid or payment status is uncertain or unknown, e.g., waiting weeks, partial weeks, weeks for which penalties are being served and weeks for which a monetary or nonmonetary issue is pending. The count of continued weeks claimed should not be a count of weeks compensated or a count of checks issued or of claims processed. They should be adjusted as much as possible for administrative factors as indicated in item 3. below.

2. Freezing of Data. Because these data are used to published advance national figures and any revisions in data will be picked up using the ETA 539 report, the data on the ETA 538 will be frozen at 1:15 p.m. Eastern time on the due date. Any corrections to data that cannot be received by that time should not be electronically transmitted and need only be reflected in the final numbers submitted on the ETA 539.
3. Adjustment of Data. The Data on this report is to represent the economic situation for the reference week. Because of the importance of accurate economic representation of the claims counts, only figures adjusted for non-economic distortions should e submitted.

For example, when claimants' filing dates for continued claims are rescheduled to a week other than their "normal" reporting week, or the state agency rescheduled claimants from weekly to biweekly reporting, the counts of continued weeks claimed will be affected and an adjustment should be made. When a natural disaster strikes or an administrative problem such as a computer failure affects the ability of the agency to receive or take a count of claims, and adjustment should be made. Estimates of initial claims and/or continued weeks should be made and reported on this report for each week the counts are thus affected. Particular care should be taken to adjust biweekly data to eliminate the application of judgmental factors. This is easily accomplished by relying upon the application of predetermined allocation or proration rules. Works sheet supporting these adjustments should be retained for future statistical audits.

For those weeks when initial claims or continued weeks claimed were adjusted, the unadjusted figures should not be reported. That is, for each report week, only the adjusted continued weeks claimed should be reported. Adjustments made to data on the ETA 538 should be the same as adjustments made to the same data on the ETA 539.

E. Definitions

UI REPORTS HANDBOOK NO. 401

ETA 538 Advance Weekly Initial and Continued Claims Report

Except as noted for interstate initial claims above, definitions will be the same as those found in the instructions for the ETA 5159, section I-2 and the ETA 539, section I-1 of this handbook.

F. Item by Item Instructions

1. Initial Claims, Intrastate and Interstate Taken Directly. Report all initial claims taken directly, including intrastate and interstate initial claims which the state took directly either as agent or liable state during the reference week. Claims taken directly refers to the number of claims filed in person, by mail, or by other direct means with the state under remote claims taking procedures. Claims directly taken does not include any claims filed through another state and sent to the liable state. This data differs from item "IC" on the ETA 539 report which uses all interstate agent claims, including those reported to the state via the interstate data exchange, plus intrastate counts.
2. Intrastate Continued Weeks Claimed. Report all intrastate continued weeks claimed filed by claimants within the state and by commuters filing under the intrastate program.
3. Interstate Liable Continued Weeks Claimed. Report all continued weeks claimed filed by claimants from another state under the interstate program. Exclude weeks claimed filed by claimants filing as commuters under the intrastate program.

UI REPORTS HANDBOOK NO. 401
ETA 2112 UI Financial Transaction Summary

CONTENTS

A. Facsimile of Form	II-1-2
B. Purpose.....	II-1-4
C. Due Date and Transmittal	II-1-4
D. General Reporting Instructions	II-1-4
E. Item by Item Instruction.....	II-1-4
1. Balance Brought Forward.....	II-1-4
2. Deposits	II-1-5
3. Disbursements	II-1-7
4. Balance at the Close of the Month	II-1-10
5. Withholding	II-1-10

UI REPORTS HANDBOOK NO. 401
ETA 2112 UI Financial Transaction Summary

A. Facsimile of Form

ETA 2112 UI FINANCIAL TRANSACTION SUMMARY

STATE:		REGION:		REPORT FOR PERIOD ENDING:	
ITEM	LINE NO	NET TOTALS (Sum of Cols. D, E & F)	CLEARING ACCOUNT	UNEMPLOYMENT TRUST FUND ACCOUNT	BENEFIT PAYMENT ACCOUNT
A	B	C	D	E	F
Balance Forward	01				
DEPOSITS					
Total Deposits	10				
Net UI Contributions	11				
Penalty/Interest	12				
U.S. Treasury Interest Credits	13				
Title IX Amortization	14				
Title IX Distribution	15				
Intra-Account Transfer	16				
Interstate Benefits	17				
UCX Advances/Reimbursements	18				
Reimb Local Govt/Indian Tribes	19				
Reimbursements State Govt	20				
Reimbursements Non-profit	21				
Federal Share (EB)	22				
Fed Emergency Compensation	23				
UCFE Advances/Reimbursements	24				
Other Sources #1	25				
Other Sources #2	26				
Other Sources #3	27				
Other Sources #4	28				
Other Sources #5	29				
DISBURSEMENTS					
Total Disbursements	30				
Net UI Benefits	31				
Net State Share (EB)	32				
Reimb. Local Govt/Indian Tribes	33				
Reimbursements State Govt	34				
Reimbursements Non-profit	35				

UI REPORTS HANDBOOK NO. 401
ETA 2112 UI Financial Transaction Summary

UCX Net Payments	36				
Federal Share (Regular)	37				
Federal Share (EB)	38				
EUC 2008 Activity	39				
EUC Activity	40				
TEUC Activity	41				
Fed Emergency Compensation	42				
Interstate Benefits	43				
Title IX (Reed)	44				
To Special Funds	45				
UCFE Net Payments	46				
Intra-Account Transfer	47				
Other (Explain)	48				
Balance Close Month	49				
OTHER INFORMATION					
Withholding	50				

Comments:

OMB No.: 1205-0154 OMB Expiration Date: 04/30/2009 Average Estimated Response Time: 30 Minutes

OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is required to obtain or retain benefits under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

UI REPORTS HANDBOOK NO. 401

ETA 2112 UI Financial Transaction Summary

B. Purpose

Form ETA 2112 is a monthly summary of transactions in a state unemployment fund which consists of the Clearing Account, Unemployment Trust Fund (UTF) Account, and Benefit Payment Account. All payments by employers (and employees where applicable) into a state unemployment fund for contributions, payments in lieu of contributions, and special assessments should be accounted for in the report. Penalty and interest should be reported if deposited into the clearing account **and** transferred to the UTF. Funds received from the Federal Employees Compensation Account (FECA) and the Extended Unemployment Compensation Account (EUCA) as advances or reimbursements for Federal benefit obligations paid through the benefit payment account should be identified and reported in appropriate line items. All funds deposited into, transferred, or paid from the state unemployment fund (the state clearing account, the state account in the UTF, and the state benefit payment account) should be reflected on the ETA 2112 except for payments/benefits paid under the Alternative Trade Adjustment Assistance (ATAA) and Trade Adjustment Assistance (TAA) programs. Form ETA 2112 provides a summary of data pertaining to state unemployment insurance (UI) tax collections, regular benefits paid, Federal and state shares of extended benefits paid, Federal temporary program benefits paid, and other transactions affecting the UTF. In addition, it reflects specific areas where adjustments are indicated to determine the adequacy of resources available for regular unemployment benefit payments. Data from this form are also used with data from other statistical reports to study trends in financial aspects of the UI program and as a basis for solvency studies.

C. Due Date and Transmittal

This report is due the 1st day of the second month following the month of reference and will be transmitted electronically.

D. General Reporting Instructions

The data used in preparing the ETA 2112 must be obtained from the books of the state. A properly completed ETA 2112 will accurately show the net result of all transactions in the three accounts comprising the state unemployment fund as they appear in each state's records.

Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports Users Manual, Appendix C.

E. Item by Item Instructions

1. Balance Brought Forward. Line 1. Enter in the appropriate column the balance at the beginning of the month. The amounts will be those reported as Balance at the Close of the Month, line 49, on the previous month's report.

UI REPORTS HANDBOOK NO. 401
ETA 2112 UI Financial Transaction Summary

2. Deposits.

- a. Line 10. Total Deposits. Enter the sum of lines 11 through 29 for each column.
- b. Line 11. Net UI Contributions. Enter in columns C and D, the net contribution collections for the month. Net contribution collections are the amount of total remittances deposited for the month including employee contributions used for unemployment compensation (ETA 8405 total of column III) less the amounts for refunds to employers, dishonored checks, and amounts received during the month for reimbursable benefit payments, penalty and interest, and Title IX (Reed Act) Funds.
- c. Line 12. Penalty/Interest. Enter in columns C and D the net collections of penalty, interest, and fines deposited during the month if transferred to the UTF.
- d. Line 13. U.S. Treasury Interest Credits. Enter in columns C and E the amount of interest earned on the state's account in the UTF and credited quarterly by the U.S. Treasury. Report actual credits, not monthly accrued interest. *There should be entries only for the months of March, June, September, and December.*
- e. Line 14. Title IX Funds (Reed Act Amortization). Enter in columns C and D the amount of Reed Act expenditures recovered during the month through amortization or depreciation and use allowances permitted in OMB Circular A-87 with Title III grant funds to be redeposited in the Unemployment Trust Fund.
- f. Line 15. Title IX Funds (Reed Act Distribution). Enter in columns C and E the amount received through a standard Reed Act distribution (from the ESAA to the state account in the UTF) or under a special distribution.
- g. Line 16. Intra - Account Transfer. Enter in column E the amount transferred during the month to the UTF from the clearing account. Enter in column F the amount transferred during the month from the UTF to the benefit payment account. Enter in column C the sum of the entries made in columns E and F. Include on line 16F all amounts transferred to the IRS for withholding on benefits *regardless whether that transfer was made from the state account in the UTF or from the state benefit payment account.* **Line 16F must equal line 47E.**
- h. Line 17. From Other States --- Interstate Benefits. Enter in columns C, E and F the total amount received from other states as reimbursement of benefits paid under combined wage plans.

UI REPORTS HANDBOOK NO. 401

ETA 2112 UI Financial Transaction Summary

- i. Line 18. FECA Advances/Reimbursements-UCX. Enter in columns C and E amounts received as advances or reimbursements from FECA for benefit payments made under applicable Federal provisions to Ex-service Members (UCX).
- j. Line 19. Reimbursable Benefit Payments (Local Government and Other Political Subdivisions). Enter in columns C and D the amount received as reimbursement for benefit payments made to former employees of local governments and political subdivisions including those to former employees of Indian tribes.
- k. Line 20. Reimbursable Benefit Payments (State Government Including State Hospitals and State Institutions of Higher Learning). Enter in columns C and D the amount received as reimbursement for benefit payments made to former employees of state governments, including state hospitals and state institutions of higher education.
- l. Line 21. Reimbursable Benefit Payments (Nonprofit Organizations). Enter in columns C and D the amount received as reimbursement for benefit payments made to former employees of reimbursing nonprofit organizations.
- m. Line 22. Federal Share Extended Benefits. Enter in columns C and E Federal funds received as advances or reimbursements for the 50 percent Federal share of extended benefit payments under PL 91-373.
- n. Line 23. Federal Emergency Compensation. Enter in columns C and E Federal funds received as advances or reimbursements for temporary Federal extensions of benefits (not Disaster Unemployment Assistance).
- o. Line 24. FECA Advances/Reimbursements UCFE. Enter in columns C and E amounts which have been received as advances or reimbursements from FECA for payment of benefits to Federal civilians (including Postal employees).
- p. Lines 25 - 29. From Other Sources. Enter on line 25 transactions for the Disaster Unemployment Assistance program. Enter on line 26 transactions for Title XII loan and repayment transactions. Enter on line 27 reimbursements from the EUCA . Enter on line 28 receipts from other sources (e.g., recovery of Federal emergency compensation overpayments, penalty and interest going through the clearing and benefit payment accounts) and detail in the "Comments" section. Enter on line 29 any transactions involving non-Title XII loans/advances. These may be debt issuances (bonds, notes), short-term loans (from private sources or other state sources), lines of credit, or any other loans not funded by the Federal Unemployment Account. Enter in column C the sum of such transactions.

UI REPORTS HANDBOOK NO. 401

ETA 2112 UI Financial Transaction Summary

3. Disbursements.
- a. Line 30. Total Disbursements. Enter the sum of lines 31 through 48, inclusive, for each column.
 - b. Line 31. Net UI Benefits. Enter in columns C and F the amount of regular unemployment benefits paid to claimants during the month, including the net state portion of benefits paid former Federal employees, and ex-military personnel. Include benefit checks issued and cash benefits paid to all regular claimants eligible under state law. In computing the net amount of regular unemployment benefits paid, reduce the total benefits paid by the amount of benefit refunds received from claimants during the month, also, adjustment for credit or recharge of checks by banks, or for cancellation or reissuance of benefit checks previously issued. *NOTE: Amounts withheld from benefits and transferred to the IRS are not netted.* Report in column F all benefits paid, including amounts transferred to the IRS for Federal income tax withholding, regardless whether paid from the state account in the UTF of the state benefit payment account.
 - c. Line 32. Net State Share --- Extended Benefits. Enter in columns C and F the net state share of extended benefits paid. This represents (plus or minus adjustments) 50 percent of any sharable extended benefits including combined wage claims, 50 percent of sharable regular benefits, and 50 percent of EB attributable to the state portion of joint UI/UCFE/UCX extended payments. Include EB payments attributable to former employees of state and local governments for which the employer is not liable for reimbursement to the state unemployment fund. On combined wage claims, an adjustment will be made on charges to transferring states to omit the Federal share of amounts attributed to transferred wages. Report in column F all benefits paid, including amounts transferred to the IRS for Federal income tax withholding, regardless whether paid from the state account in the UTF or the state benefit payment account.
 - d. Line 33. Net Reimbursable Benefit Payments (Local Government and Other Political Subdivisions and Indian Tribes.) Enter in columns C, E, and F the net amount of benefits paid which were attributable to local governments and political subdivisions subject to reimbursement. Benefits attributable to Indian tribes are included in this section. In computing the net amount, include any extended benefits for which the employer is liable for reimbursement to the state unemployment fund but exclude EUC08 benefits. Report in column F all benefits paid, including amounts transferred to the IRS for Federal income tax withholding, regardless whether paid from the state account in the UTF or the state benefit payment account.
 - e. Line 34. Net Reimbursable Benefit Payments (State Government Including State Hospitals and State Institutions of Higher Education). Enter in columns

UI REPORTS HANDBOOK NO. 401

ETA 2112 UI Financial Transaction Summary

C, E, and F the net amount of benefits paid former employees of state government including state hospitals and state institutions of higher learning subject to reimbursement. In computing the net amount, include any extended benefits paid for which the employer is liable for reimbursement to the state unemployment fund but exclude EUC08 benefits. Report in column F all benefits paid, including amounts transferred to the IRS for Federal income tax withholding, regardless whether paid from the state account in the UTF or the state benefit payment account.

- f. Line 35. Net Reimbursable Benefit Payments (Nonprofit Organizations). Enter in columns C, E and F the net amount of benefits paid former employees of reimbursing nonprofit organizations. In computing the net amount, do not include the 50 percent Federal share of any extended benefits paid or EUC08 benefits. The 50 percent Federal sharable portion should be included in line 38. Report in column F all benefits paid, including amounts transferred to the IRS for Federal income tax withholding, regardless whether paid from the state account in the UTF or the state benefit payment account.
- g. Line 36. FECA Net Federal Benefits - UCX. Enter in columns C and F the net Federal portion of unemployment compensation paid to former members of the armed services from funds in the benefit payment account. The total payments should be adjusted for refunds deposited during the month, credits and recharges, and cancellations and reissuances and exclude EUC08 benefits. Report in column F all benefits paid, including amounts transferred to the IRS for Federal income tax withholding, regardless whether paid from the state account in the UTF or the state benefit payment account.
- h. Line 37. Net Federal Benefits (Federal Share Regular Benefits). Enter in columns C and F the net Federal share of regular compensation paid, including combined wage claims and benefit payments subject to reimbursement by nonprofit employers. This applies to those states whose regular duration of benefits exceeds 26 weeks. Report in column F all benefits paid, including amounts transferred to the IRS for Federal income tax withholding, regardless whether paid from the state account in the UTF or the state benefit payment account.
- i. Line 38. Net Federal Benefits (Federal Share Extended Benefits). Enter in columns C and F the net Federal share of extended compensation paid, including combined wage claims and payments subject to reimbursement by nonprofit employers. States without a noncompensable waiting week for regular benefits should not include the first week of the Federal share of extended benefit payments on this line. The first week of the Federal share of extended benefits should be reported on line 45, columns C and F. Do not include any other transactions on this line. Report in column F all benefits paid, including amounts transferred to the IRS for Federal income tax

UI REPORTS HANDBOOK NO. 401

ETA 2112 UI Financial Transaction Summary

withholding, regardless whether paid from the state account in the UTF or the state benefit payment account.

- j. Line 39. EUC 2008 Activity. Enter in columns C and F the net amount for which the Federal government is liable for EUC08, including UCFE and UCX. Break out all disbursements by program in the "Comments" section as follows:
 - (A) Billable to EUCA - EUC08 benefits based on services for employers, except those listed in (B).
 - (B) Billable to General Revenues - EUC benefits paid based on services performed for the Federal government (UCFE and UCX), state and local government (contributory and non-contributory), Section 501(c)(3) non-profit employers (contributory or non-contributory employers to which Section 3309(a)(1) of the Internal Revenue Code applies), and Federally recognized Indian Tribes (contributory or non-contributory).
- k. Line 40. EUC Activity. Enter in columns C and F the amount disbursed for Emergency Unemployment Compensation. Since this program has expired, there will be minimal activity, e.g. overpayment recoveries. There will be no amounts transferred to the IRS for Federal income tax withholding.
- l. Line 41. TEUC Activity. Enter in columns C and F the amounts paid for the Temporary Emergency Unemployment Compensation program, including payments made to displaced airline workers. Report in column F all benefits paid, including amounts transferred to the IRS for Federal income tax withholding, regardless whether the taxes are paid from the state account in the UTF or the state benefit payment account.
- m. Line 42. Federal Emergency Compensation. Enter in columns C and F the net Federal Emergency Compensation, for programs other than those reported on lines 39-41, paid for which the Federal government is liable. Examples are benefits authorized and financed by Congress during extended periods of high unemployment rates. Identify the payment by program and amount in the "Comments" section. Report in column F all benefits paid, including amounts transferred to the IRS for Federal income tax withholding, regardless whether paid from the state account in the UTF or the state benefit payment account.
- n. Line 43. To Other States-Interstate Benefits. Enter in columns C, E and F the amount transferred to other states as reimbursement for benefits paid under combined wage plans. Report in column F all benefits paid, including amounts transferred to the IRS for Federal income tax withholding, regardless whether paid from the state account in the UTF or the state benefit payment account.
- o. Line 44. Title IX Funds Withdrawn (Reed Act). Enter in columns C and E the total amount of Title IX funds withdrawn from the UTF pursuant to Section

UI REPORTS HANDBOOK NO. 401

ETA 2112 UI Financial Transaction Summary

903(c)(2) of the Social Security Act, as amended, and/or under special legislation such as under the Balanced Budget Act.

- p. Line 45. To Special Funds. Enter in columns C and D the amount transferred from the clearing account to special administration or contingent funds established under state law, and explain in the "Comments" section. Funds withdrawn to pay the principal on non-Title XII debt should be reported.
- q. Line 46. FECA Net Benefit Payments-UCFE. Enter in columns C and F net benefit payments made during the month to former Federal civilian (including postal) employees, excluding EUC 2008, with funds from the FEC account. Report in column F all benefits paid, including amounts transferred to the IRS for Federal income tax withholding, regardless whether paid from the state account in the UTF or the state benefit payment account.
- r. Line 47. Intra-Account Transfer. Enter in column D the amount transferred during the month to the UTF from the clearing account. Enter in column E the amount transferred during the month from the UTF to the benefit payment account. Enter in column C the sum of the entries made in columns D and E. These entries should correspond with the entries made on line 16 in the "Deposits" section. **Line 47E must equal Line 16F.**
- s. Line 48. Other (Explain). Enter in columns D, E, and F, as applicable, amounts disbursed for other purposes not included in lines 31 through 44 and explain in the "Comments" section (i.e., repayments of Title XII loans, DUA benefits, return of outstanding Extended and Federal Supplemental Benefits balances to EUCA, CETA/PSE and non-reimbursable Federal share of extended benefits). Enter in column E, transfers to FECA of penalties, fines, and/or interest collected resulting from the recovery of overpayments of UCFE/UCX claims. Do not include payments of benefits for ATAA or TAA.

Transfers of amounts collected as principal, penalties, fines, and/or interest resulting from the recovery of UCFE/UCX overpayments from the state's accounts in the UTF to FECA should be executed through the Treasury Automated Standard Application for Payments (ASAP). The Department of Labor, ETA should be notified of any of those transfers.

Column C is the sum of columns D, E, and F.

- 4. Balance at the Close of the Month. Line 49. Enter in the appropriate column the balance at the close of the month. The amount to be entered for each column will be the sum of item 1 plus item 10 minus item 30. The amount entered in column D should agree with the clearing account balance at the end of the month as reported on form ETA 8405. The amount entered in column F should agree with the benefit payment account balance at the end of the month as reported on form ETA 8401.

UI REPORTS HANDBOOK NO. 401

ETA 2112 UI Financial Transaction Summary

5. Withholding. Line 50. Enter in columns C, E, and F the amount withheld from benefits sent to the IRS for Federal income tax liabilities.

CONTENTS

A. Facsimile of Form	II-2-3
B. Purpose.....	II-2-5
C. Due Date and Transmittal	II-2-5
D. General Reporting Instructions	II-2-5
E. Definitions.....	II-2-5
1. Report Quarter	II-2-5
2. Active Employer	II-2-5
3. Inactive Employer.....	II-2-5
4. Annual-reporting Employer.....	II-2-6
5. Contributions	II-2-6
6. Subject Employer	II-2-6
7. Contributory Employer	II-2-6
8. Reimbursing Employer	II-2-6
9. Delinquency Cutoff Date	II-2-6
10. Wage Item.....	II-2-7
11. Due Date.....	II-2-7
12. Secured Report.....	II-2-7
13. Resolved Report	II-2-7
14. Status Determination.....	II-2-7
15. Newly Established Account.....	II-2-7
16. Successor	II-2-7
17. Terminated Employer.....	II-2-7
18. Receivables.....	II-2-7
19. Estimate - Contributions Due	II-2-8
20. Assessment.....	II-2-8
21. Final Assessment.....	II-2-8
22. Liquidated Amount	II-2-8
23. Declared Uncollectible.....	II-2-8
24. Aging of Receivables.....	II-2-8
25. Audit.....	II-2-8
26. Large Employer Audit.....	II-2-9
27. Change Audit	II-2-9
F. Item by Item Instructions.....	II-2-9
1. Employer Count	II-2-9
2. Delinquency Cutoff Date, Wage Items	II-2-10
3. Employer Reports Preceding Quarters-Contributory Employers	II-2-10
4. Employer Reports Preceding Quarters-Reimbursing Employers	II-2-12
5. Outstanding Quarters and Estimated Contributions Due	II-2-13
6. Status Determinations.....	II-2-14
7. Receivables - Contributory Employers	II-2-16
8. Age of Receivables - Contributory Employers.....	II-2-17
9. Receivables - Reimbursing Employers.....	II-2-18
10. Age of Receivables - Reimbursing Employers	II-2-19

UI REPORTS HANDBOOK NO. 401

ETA 581 Contribution Operations

11. Audit Activity.....II-2-20
12. Comments.....II-2-22

UI REPORTS HANDBOOK NO. 401

ETA 581 Contribution Operations

A. Facsimile of Form

ETA 581 - CONTRIBUTION OPERATIONS

STATE	REGION	REPORT FOR PERIOD ENDING						
Employer Count	Line 101	End Quarter Employers			Delinquency Cutoff Date	Total Number Wage Items Received		
		Contributory	Reimbursement	Total				
		(1)	(2)	(3)	(4)	(5)		
Employer Reports for Preceding Quarters	201	Contributory Employers			Reimbursing Employers			
		Filing Timely	Secured	Resolved	Filing Timely	Secured	Resolved	
		(6)	(7)	(8)	(9)	(10)	(11)	
		Number Outstanding Quarters Prior to Report Quarter			Total Estimated Contributions Due			
		(12)			(13)			
Status Determinations	301	Newly Established Employers			Successor Employers			
		Number	Time Lapse <=90	Time Lapse <=180	Number	Time Lapse <=90	Time Lapse <=180	
		(14)	(15)	(16)	(17)	(18)	(19)	
		Inactivations/Terminations						
		(20)						
Contributory Employers Receivables	401	Total Beginning Period	Determined Receivable	Liquidated	Declared Uncollectible	Removed End Period	Total End Period	
		(21)	(22)	(23)	(24)	(25)	(26)	
		Number Employers Owing Receivables in (26)						
		(27)						
Age of Contributory Receivables	402	6 Months or Less	9 Months	12 Months	15 Months	Over 15 Months		
		(28)	(29)	(30)	(31)	(32)		
Reimbursing Employers	403	Total Beginning	Determined	Liquidated	Declared Uncol-	Removed End	Total End	

UI REPORTS HANDBOOK NO. 401

ETA 581 Contribution Operations

Receivables		Period	Receivable		lectible	Period	Period
		(33)	(34)	(35)	(36)	(37)	(38)
		Number Employers Owing Receivables in (38)					
		(39)					
Age of Reimbursing Receivables	404	6 Months or Less	9 Months	12 Months	15 Months	Over 15 Months	
		(40)	(41)	(42)	(43)	(44)	
Audit Activity	501	Number of Audits				Calendar Quarters Audited	
		Large Employers	Change Audits	Total Audits			
		(45)	(46)	(47)		(48)	
		Total Wages Audited			Hours Spent Auditing	Number of Employees Misclassified as Independent Contractors	
		Pre-Audit	Post-Audit				
		(49)	(50)		(51)	(52)	
	502	Amount Underreported					
		Total Wages			Taxable Wages		Contributions
		(53)			(54)		(55)
		Amount Overreported					
Total Wages			Taxable Wages		Contributions		
(56)			(57)		(58)		

Comments:

OMB No.: 1205-0178 **OMB Expiration Date:** 12/31/2011 **OMB Burden Hours:** 510 Minutes
OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

B. Purpose

The ETA 581 report provides information on volume of work and state agency performance in determining the taxable status of employers and the processing of wage items; in the collection of past due contributions and payments in lieu of contributions, and delinquent reports; and in field audit activity. The data provide measures of the effectiveness of the tax program.

C. Due Date and Transmittal

The ETA 581 report for each calendar quarter is due in the Employment and Training Administration National Office on the 20th day of the second month following the quarter to which it relates, i.e., May 20, August 20, November 20, and February 20. This report will be transmitted electronically.

D. General Reporting Instructions

Checking the Report. Entries should be made for all items. If no activity corresponding to the items occurred during the report period, a zero should be entered. A report containing missing data can not be sent to the National Office but can be stored on the state's system. Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

E. Definitions

1. Report Quarter. A calendar quarter (3 months) referenced on ETA reports covering a state's activities and transactions occurring within or existing as of the end of the quarter specified.
2. Active Employer. An "employer" (single or multi-unit) who has met a specific threshold or condition of liability contained in the state's unemployment compensation law, is currently registered and required to file contribution and wage reports (CWRs), and (except for new employers establishing liability within the 581 report quarter) has reported wages during one or more of the eight consecutive calendar quarters immediately preceding the ETA 581 report quarter.
3. Inactive Employer. An employer who does not qualify for termination of coverage by reason of no longer meeting the state's definition of "Employer" but:
 - a. has notified the agency it is no longer paying wages and has been granted permission to suspend filing of quarterly reports, or

UI REPORTS HANDBOOK NO. 401

ETA 581 Contribution Operations

- b. has been administratively granted permission to suspend filing quarterly reports by reason of no longer paying wages, or
- c. has not reported wages for any of the eight consecutive calendar quarters immediately preceding the ETA 581 report quarter. For these employers the effective date for inactivation shall be the last day of the eighth no wage quarter (or the first day of the ninth quarter depending on state specific inactivation procedures).

Example: Consider an employer who was issued a determination of liability during the fourth quarter of 2000 and reported some wages in the fourth quarter of 2000. However, no wages were reported for the first quarter 2001 through the fourth quarter of 2002 (either because of failure to file required CWRs, "No Payroll" reports, or any combination of these). Assume that a fourth quarter 2002, No-Payroll CWR was received and processed timely on January 31, 2003. Under part "c" of the definition of Inactive Employer the employer would become inactive as of 12/31/2002 (or 1/1/2003 depending on state-specific inactivation procedures) and therefore would not be included in the active employer count made on 3/31/2003. This employer would be counted in Item 20, Inactivations/Terminations for the 3/31/2003 ETA 581 report.

- 4. Annual-reporting Employer. An employer who is permitted to file contribution and wage reports on an annual basis.
- 5. Contributions. The amount of state unemployment taxes, including voluntary payments, paid or payable into a state unemployment fund by an employer based on the taxable wages paid to an employee.
- 6. Subject Employer. An employing unit which has met a threshold or condition of liability under state unemployment compensation law; also a liable employer or a covered employer.
- 7. Contributory Employer. An employer who is required by the state unemployment compensation law to pay contributions into the state unemployment fund. Employers of certain classes who are not required to pay contributions but elect to do so and employers with a 0.0% contribution rate are included in the definition of "contributory employer."
- 8. Reimbursing Employer. Certain nonprofit organizations, state or local government and political subdivisions which elect or are required to pay into the state unemployment fund a sum in lieu of contributions as provided in the state unemployment compensation law (usually an amount equal to unemployment benefits drawn against such an employer account).

UI REPORTS HANDBOOK NO. 401

ETA 581 Contribution Operations

9. Delinquency Cutoff Date. The date on which employers who have not submitted contribution and wage reports for a specific quarter are notified of such by the mailing of first delinquency notices.
10. Wage Item. A statement of wages for which, as the result of regular processing, a separate record is kept in a wage record file by employee name or Social Security Account Number.
11. Due Date (Contribution Report). The date, after which the state can impose penalty and/or interest, whichever is first applicable.
12. Secured Report. A contribution report which has been received. Unless received a report is not considered secured even if a final assessment or a ruling of non-liability has been made.
13. Resolved Report. A contribution report which has been received or resolved by a final assessment of tax that is legally due and collectible or by a determination of non-liability.
14. Status Determination. Any recorded administrative action that establishes, modifies, changes, inactivates or terminates an employing unit's liability as an employer under the state unemployment compensation law.
15. Newly Established Account. An account for an employing unit which is determined, for the first time, as meeting the definition of "EMPLOYER" in the state unemployment compensation law or a previously terminated employing unit which again is determined as meeting the definition of employer.
16. Successor. An employing unit which has acquired the organization, trade, or business, in whole or in part, of another employer, and is declared subject as a successor as of the day on which it meets the requirements of the state unemployment compensation law for successorship.
17. Terminated Employer. An employer, who may or may not have previously been granted permission to suspend filing quarterly reports (made inactive), but has requested and been granted termination of coverage or has administratively been granted termination of coverage by reason of not meeting the definition of "EMPLOYER" in the state unemployment compensation law.
18. Receivables.
 - a. Contributory employers: past due contributions (state unemployment taxes), not including penalty and interest, which were due and payable with the employer's contribution report. Receivables include assessments and final assessments which are legally collectible and enforceable.

UI REPORTS HANDBOOK NO. 401

ETA 581 Contribution Operations

- b. Reimbursing employers: past due amounts for reimbursable benefit payments that were charged and billed to reimbursing employers.
19. Estimate - Contributions Due. A calculation of contributions due for which a quarterly report has not yet been received. Estimates are usually based on past experience of an employer's account, and may be a "best reasonable calculation". An estimate may or may not be legally collectible and enforceable under the state unemployment compensation law. Estimates for purposes of item 13 are not receivables for purposes of lines 401 and 402.
20. Assessment. A liability established administratively for contributions due, usually based on an estimate and charged to an employer account with the expectation that it will be paid by the employer. For purposes of lines 401 and 402, an assessment is a receivable only if it is legally collectible and enforceable. It is no longer an estimate for statistical purposes of item 13.
21. Final Assessment. The same as assessment but requires completion of some due process (e.g., employer notification and expiration of an appeal period) to be legally collectible under the state unemployment compensation law.
22. Liquidated Amount. An amount received or an adjustment which cancels a previously established receivable.
23. Declared Uncollectible (Write off). A receivable amount for which all reasonable collection efforts have been exhausted and which has been officially written off and/or authorized for removal from the active accounts receivable file and transferred to suspense (no further action to be taken).
24. Aging of Receivables. The process of identifying and classifying receivable amounts according to the length of time such amounts have remained unpaid, e.g., 6 months or less, 9 months, 12 months, 15 months, over 15 months.
25. Audit. A systematic examination of an employer's books and records, using generally accepted auditing standards and procedures, covering a specified period of time during which the employer is liable for reporting under the law or, is found to be liable as a result of the examination. An audit must:
- Include an opening interview,
 - Cover a minimum of four calendar quarters (except as specified in ES Manual, Part V, Section 3675),
 - Verify the business entity as a sole proprietor, partnership, corporation, joint venture, or other,

UI REPORTS HANDBOOK NO. 401

ETA 581 Contribution Operations

- d. Document records examined and evidence obtained in tests used to verify payroll procedure, accuracy and completeness,
 - e. Document records available and examined and the evidence obtained in the search for misclassified workers and payments,
 - f. Conclude with a close-out conference with the employer or designated representative or include an explanation if not conducted; and
 - g. Include a written report stating the auditor's final determination and all facts contributing to or supporting that final determination.
26. Large Employer Audit. An audit of an employing unit:
- a. Reporting wages paid to 100 or more individuals during the current or preceding calendar year, or
 - b. Reporting at least \$1,000,000 in taxable payroll for the calendar year preceding the first quarter being audited.
27. Change Audit. An audit resulting in the discovery of wages or taxes not previously reported or reported incorrectly by the employer. Note: Delinquent employer reports obtained at the same time an audit is conducted, but are not related to any quarter covered by the audit, must not be considered in determining if the audit is a change audit.

F. Item by Item Instructions

1. Employer Count. Items 1, 2, and 3 relate to the count of active employers only. Do not include inactive or terminated employers. If an annual-reporting employer becomes inactive or is terminated, such an employer is immediately excluded from the count of active employers at the end of the quarter in which the inactivation or termination is effective, as opposed to at the end of the calendar year in which the inactivation or termination is effective.

Note: To obtain an accurate count of the number of employers at the end of the ETA 581 report quarter, a computer program (or other reliable tool) must be used which identifies and counts employers who meet the definitions of active contributory employer (item 1) and active reimbursing employer (item 2).

Example: For the ETA 581 report quarter ending 3/31/2003, the state must count the active employers as of 3/31/2003. Employers who either report 'no wages' or fail to file reports or any combination of these, for eight consecutive CWR quarters (see the definition for Inactive Employer) should be excluded from the count. The computer run to make the employer count must be set to count

UI REPORTS HANDBOOK NO. 401

ETA 581 Contribution Operations

all active contributing and all active reimbursing employers (separately) at the end of the ETA 581 report quarter.

- a. Item 1. Contributory. Enter the number of active contributory employers subject to the state unemployment compensation law at the end of the report quarter. Include employers with a 0.0% contribution rate and employers from certain classes who are not required to pay contributions but have elected to do so.
- b. Item 2. Reimbursing. Enter the number of active reimbursing employers subject to the state unemployment compensation law at the end of the report quarter.
- c. Item 3. Total. Enter the total number of active employers (sum of items 1 and 2) subject to the state unemployment compensation law at the end of the report quarter.

2. Delinquency Cutoff Date and Wage Items Received.

- a. Item 4. Delinquency Cutoff Date. Enter the date on which employers, whose CWRs have not been submitted for the quarter immediately preceding the ETA 581 report quarter, were notified of such by the mailing of first delinquency notices.
- b. Item 5. Total Number of Wage Items Received. Enter the number of wage items received and processed during the quarter.

Count "Wage Items" after initial data entry or before or during the quarterly update of the Wage Record Master File. The quarterly count should be made consistently at the same point every quarter.

If a wage record is incomplete, e.g., some elements are omitted, count only those records containing a dollar amount and another element which positively identifies the worker either by name or Social Security number; or by employer name or account number. A wage item is counted only once. Corrected wage items are counted only if they were not previously included. The percent of change in the number of wage items from the preceding quarter should be computed. If the percent of change (either increase or decrease) exceeds the criteria below, data should be checked further and explained under "Comments."

<u>Number of Wage Items</u>	<u>Percent Change</u>
5,000,000 or more	7%
3,000,000 - 4,999,999	10%
Less than 3,000,000	20%

UI REPORTS HANDBOOK NO. 401

ETA 581 Contribution Operations

3. Employer Reports for Preceding Quarters - Contributory Employers

- a. Item 6. Filing Timely. Enter the number of contributory employers who, as of the due date, had submitted contribution reports for the quarter preceding the report quarter. For annual-reporting employers: If the report quarter is not the quarter in which annual reports are due, include the total number of annual-reporting employers as of the end of the preceding quarter in the count of “filing timely” since such employers are considered to have met that quarter’s reporting requirements, i.e., no reports required. If the report quarter is the quarter in which annual reports are due, include the number of annual-reporting employers who, as of the due date for annual reports, had submitted such reports.
- b. Item 7. Secured. Enter the number of contributory employers who, as of the last day of the report quarter, had submitted contribution reports for the preceding quarter. If annual reports were not due during the report quarter, include the number of annual-reporting employers as of the end of the preceding quarter. If annual reports were due during the report quarter, include the number of annual-reporting employers who, as of the last day of the report quarter, had submitted annual reports. This number includes all employers whose reports were actually secured (report in hand). Employers whose report delinquencies were resolved by the issuance of an assessment or estimate as well as employers found to be no longer liable are not counted as secured reports, and, therefore, are not counted in this item. This count includes the number of reports filed timely in item 6.
- c. Item 8. Resolved. Enter the number of contributory employers who, as of the last day of the report quarter, had resolved reports for the second quarter preceding the report quarter. If annual reports were not due during the second quarter preceding the report quarter, include the total number of annual-reporting employers as of the end of the second quarter preceding the report quarter. If annual reports were due during the second quarter preceding the report quarter, include the number of annual-reporting employers who, as of the last day of the report quarter, had resolved reports for the second quarter preceding the report quarter. Employers whose report delinquencies were cleared by the issuance of an assessment or estimate, as well as employers found to be no longer liable are counted as resolved reports, and therefore, are counted in this item.

Example: For items 6, 7, and 8 assuming that annual reports are due January 31 of the following year:

For the report quarter ending March 31, 2002;

UI REPORTS HANDBOOK NO. 401

ETA 581 Contribution Operations

Timely - Enter in item 6, the number of contributory employers who, as of the due date, had submitted contribution reports for the quarter ending December 31, 2001, and the number of annual-reporting employers who had submitted annual reports for the year ending December 31, 2001, by January 31, 2002,

Secured - Enter in item 7, the number of contributory employers who, as of March 31, 2002, had submitted contribution reports for the quarter ending December 31, 2001, and include the number of annual-reporting employers who, as of March 31, 2002, had submitted annual reports for the year ending December 31, 2001. Do not include employers to whom assessments have been issued, or for whom determinations of non-liability have been made.

Resolved - Enter in item 8, the number of contributory employers who, as of March 31, 2002, had resolved reports for the quarter ending September 30, 2001, and include the total number of annual-reporting employers as of September 30, 2001. Include employers to whom assessments have been issued, or for whom determinations of non-liability have been made.

For the report quarter ending June 30, 2002;

Timely - Enter in item 6, the number of contributory employers who, as of the due date, had submitted contribution reports for the quarter ending March 31, 2002. Include the total number of annual-reporting employers as of March 31, 2002,

Secured - Enter in item 7, the number of contributory employers who, as of June 30, 2002, had submitted contribution reports for the quarter ending March 31, 2002. Include the total number of annual-reporting employers as of March 31, 2002. Do not include employers to whom assessments have been issued, or for whom determinations of non-liability have been made.

Resolved - Enter in item 8, the number of contributory employers who, as of June 30, 2002, had resolved reports for the quarter ending December 31, 2001 and the number of resolved reports for annual-reporting employers for the year ending December 31, 2001. Include employers to whom assessments have been issued, or for whom determinations of non-liability have been made.

4. Employer Reports for Preceding Quarters - Reimbursing Employers.
 - a. Item 9. Filing Timely. Enter the number of reimbursing employers who, as of the due date, had submitted required reports for the quarter preceding the report quarter.

UI REPORTS HANDBOOK NO. 401

ETA 581 Contribution Operations

- b. Item 10. Secured. Enter the number of reimbursing employers who, as of the last day of the report quarter, had submitted required reports for the immediately preceding quarter. Do not include those employers whose delinquency was resolved because they were found to be no longer liable.
- c. Item 11. Resolved. Enter the number of reimbursing employers who, as of the last day of the report quarter, had submitted required reports for the second quarter preceding the report quarter. Include those employers whose delinquency was resolved because they were found to be no longer liable.

Example - For items 9, 10, and 11:

For the report quarter ending June 30, 2002;

Timely - Enter in item 9, the number of reimbursing employers who, as of the due date, had submitted required reports for the quarter ending March 31, 2002,

Secured - Enter in item 10, the number of reimbursing employers who, as June 30, 2002, had submitted required reports for the quarter ending March 31, 2002. Do not include employers, for whom determinations of non-liability have been made,

Resolved - Enter in item 11, the number of reimbursing employers who, as of June 30, 2002, had resolved reports for the quarter ending December 31, 2001. Include employers for whom determinations of non-liability have been made.

5. Outstanding Quarters and Estimated Contributions Due.

- a. Item 12. Number of Outstanding Quarters Prior to Report Quarter. Enter the total number of quarters represented by contribution reports outstanding for all quarters prior to the report quarter. For each outstanding annual report, include a count of 4 quarters. Item 12 must include quarters attributable to all delinquent contribution reports for the immediately preceding quarter, regardless of whether or not the employer has been issued an assessment. Do not include reports due from reimbursing employers.
- b. Item 13. Total Estimated Contributions Due. Enter an estimate of the total amount of contributions due attributable to the number of outstanding quarters in item 12.

The estimate of contributions due should be based on:

UI REPORTS HANDBOOK NO. 401

ETA 581 Contribution Operations

- (1) the amount of taxable wages for the same quarter in the preceding year adjusted to the employer's contribution rate for the quarter being estimated, or
- (2) a method which results in a "best reasonable calculation."

The estimate for item 13 should not include intentionally inflated amounts assigned to employers for enforcement purposes, or any assessments based on outstanding reports in item 12 for which a receivable has been established and is included on line 401. Item 13 should represent the "truest picture" of the actual amount of contributions due.

Note: Item 13 is related only to item 12 and is not to be included in any other items or calculations on this report.

6. Status Determinations - Status Determinations Made During Report Quarter.

- a. Item 14. Number, Newly Established Employers. Enter the number of status determinations made during the report quarter based on an employer having met a specific threshold or condition of liability contained in the state's unemployment compensation law, which resulted in the establishment of a new account. Do not include those determinations which resulted in the establishment of a new account for a successor employer. Also exclude status determinations for employers who have been assigned account numbers in advance of having met a threshold or conditions of liability. Include status determinations which re-established accounts for previously inactivated and/or terminated employers.
- b. Item 15. Time Lapse - 90 Days or Less, Newly Established Employers. Enter the number of status determinations in item 14 that were made in 90 days or less from the end of the quarter in which liability occurred. Count the number of calendar days from the end of the quarter in which liability occurred to the date that the status information was officially entered into the state's system. For previously inactivated and/or terminated employers, count the number of days from the end of the quarter in which liability re-occurred. If the status information is entered before the end of the quarter in which liability occurred or re-occurred, the determination is automatically counted in the 90 days or less time lapse category.
- c. Item 16. Time Lapse - 180 Days or Less, Newly Established Employers. Enter the number of status determinations in item 14 that were made in 180 days or less from the end of the quarter in which liability occurred. Count the number of calendar days from the end of the quarter in which liability occurred to the date that the status information was officially entered into the state's system. For previously inactivated and/or terminated employers, count the number of days from the end of the quarter in which liability re-

UI REPORTS HANDBOOK NO. 401

ETA 581 Contribution Operations

occurred. This count includes the number of status determinations reported for the 90 days or less time lapse in item 15.

- d. Item 17. Number, Successor Employers. Enter the number of status determinations made during the report quarter in which the state's legal definition of successorship was met and the employer was, thus, classified as a successor. Include full and partial successorships. Include status determinations which resulted in the establishment of new accounts for successor employers, as well as those employers who already had an existing account and acquired all or a part of the business of another employer with an existing account.

Example: Employer B, who previously has not been a subject employer, acquires and continues the business of Employer A. Employer B is determined to be a successor and is counted in item 17 as a successor rather than in item 14 as a newly established account.

Employer X, who is registered as an active subject employer, acquires and continues the business of Employer Y. Employer X is determined to be the successor to Employer Y and should also be counted in item 17.

- e. Item 18. Time Lapse - 90 Days or Less, Successor Employers. Enter the number of status determinations in item 17 that were made in 90 days or less from the end of the quarter in which liability as a successor occurred. Count the number of calendar days from the end of the quarter in which liability occurred to the date that the status information was officially entered into the state's system. If the status information is entered before the end of the quarter in which liability occurred, the determination is automatically counted in the 90 days or less time lapse category.
- f. Item 19. Time Lapse - 180 Days or Less, Successor Employers. Enter the number of status determinations in item 17 that were made in 180 days or less from the end of the quarter in which liability as a successor occurred. Count the number of calendar days from the end of the quarter in which liability occurred to the date that the status information was officially entered into the state's system. This count includes the number of status determinations reported for the 90 days or less time lapse in item 18.
- g. Item 20. Inactivations/Terminations: Enter the number of status determinations made during the report quarter that resulted in the inactivation or termination of an account, whether made by a person or automatically made by the system. This number should include all accounts rendered inactive or terminated during the report quarter because no wages were reported for eight consecutive quarters. Annual-reporting employers that are terminated should be counted in the quarter in which the inactivation or

UI REPORTS HANDBOOK NO. 401

ETA 581 Contribution Operations

termination is effective, as opposed to at the end of the calendar year in which the inactivation or termination is effective. Refer to F.1. Employer Count. Do not include terminations of employers previously inactivated.

7. Receivables - Contributory Employers. Line 401 shows accounting control activities during the report quarter in regard to receivables due from contributory employers. Line 401 covers (as of the last day of the report quarter) all known receivables due for all calendar quarters prior to the report quarter.
 - a. Item 21. Total Receivables at the Beginning of Period. Enter the total amount of known past due contributions at the beginning of the period. This amount should be equal to item 26 on the previous report.
 - b. Item 22. Amount Determined Receivable During Report Period. Enter the amount of contributions determined to be past due during the report quarter based on contribution reports received without full payment of taxes, audit findings, adjustments, legally enforceable estimates and assessments and final assessments. Include all such receivables even though they are paid later in the quarter, otherwise liquidated or declared uncollectible. Do not include estimates and assessments which are not legally collectible or enforceable. Do not include interest and penalties.
 - c. Item 23. Receivables Liquidated During Report Period. Enter amounts which were liquidated during the report quarter, other than by being declared uncollectible, which reduced the amounts in items 21 and 22. Do not include timely contributions received during the report quarter.
 - d. Item 24. Receivables Declared Uncollectible During Report Period. Enter amounts reported in items 21 and 22 that were declared uncollectible and/or transferred to suspense status during the report quarter. Do not include amounts previously reported in item 25 (receivables removed from active file at end of report period) if such amounts were later declared uncollectible.
 - e. Item 25. Receivables Removed from Active File at End of Report Period. Enter amounts included in item 21 (total receivables at beginning of period) that were reported in item 32 (over 15 months - age category) for the two immediately preceding ETA 581 report periods, but because of state policy, have not been declared uncollectible.

Example: A receivable amount of \$500 attributable to the quarter ending June 30, 2000 was included in total receivables at the end of report period (item 26) and, for the first time, reported in the "over 15 months" age category (item 32) on the ETA 581 report for the quarter ending December 31, 2001. The \$500 was not collected or declared uncollectible during the quarter ending March 31, 2002, and, therefore, was included in total receivables at the end of report period (item 26) and the "over 15 months"

UI REPORTS HANDBOOK NO. 401

ETA 581 Contribution Operations

age category (item 32) for a second report quarter. Since item 26 (total receivables at the end of report period) on the report for the quarter ending March 31, 2002, is the same as item 21 (total receivables at beginning of report period) on the report for the quarter ending June 30, 2002, the \$500 was included in item 21 on the report for the quarter ending June 30, 2002. The \$500 was not collected or declared uncollectible during the quarter ending June 30, 2002, and had already been reported in the "over 15 months" age category (item 32) on reports for quarters ending December 31, 2001 and March 31, 2002. Therefore, on the report for the quarter ending June 30, 2002, the \$500 is reported in item 25, receivables removed at end of report period.

- f. Item 26. Total Receivables at End of Report Period. Enter the total amount of past due contributions as of the last day of the report quarter. This amount should equal Item 21 plus Item 22 minus items 23, 24, and 25 and should be carried forward to Item 21, Total Receivables at the Beginning of Period, for the following report.
 - g. Item 27. Number of Employers Owing Receivables. Enter the number of employers who owe the amount reported in item 26.
8. Age of Receivables - Contributory Employers. Line 402 separates total receivables in item 26 by amount and age. The age of receivable amounts should be calculated from the end of the quarter for which contributions are due, i.e.: March 31, June 30, September 30, December 31, not the date on which the amount was established as past due. Negative amounts cannot be entered in the age categories on this line.
- a. Item 28. 6 Months or Less. (2 quarters or less) Enter that part of the amount in item 26 which, as of the end of the report quarter, was past due for 2 report quarters or less. Example: On the report for quarter ending June 30, 2002, enter in item 28 amounts that were past due for quarters ending March 31, 2002 and December 31, 2001.
 - b. Item 29. 9 Months. (3 quarters) Enter that part of the amount in item 26 which, as of the end of the report quarter, was past due for 3 report quarters. Example: On the report for the quarter ending June 30, 2002, enter in item 29, amounts that were past due for the quarter ending September 30, 2001.
 - c. Item 30. 12 Months. (4 quarters) Enter that part of the amount in item 26 which, as of the end of the report quarter, was past due for 4 report quarters. Example: On the report for the quarter ending June 30, 2002, enter in item 30, amounts that were past due for the quarter ending June 30, 2001.

UI REPORTS HANDBOOK NO. 401

ETA 581 Contribution Operations

- d. Item 31. 15 Months. (5 quarters) Enter that part of the amount in item 26 which, as of the end of the report quarter, was past due for 5 report quarters. Example: On the report for the quarter ending June 30, 2002, enter in item 31, amounts that were past due for the quarter ending March 31, 2001.
- e. Item 32. Over 15 Months. (6 quarters or more) Enter that part of the amount in item 26 which, as of the end of the report quarter, was past due for more than 15 months; i.e., 6 or more report quarters. Example: On the report for the quarter ending June 30, 2002, enter in item 32, amounts that were past due for the quarter ending December 31, 2001, and all prior quarters.

Note: The sum of amounts in items 28 through 32 must equal total receivables in item 26.

- 9. Receivables - Reimbursing Employers. Line 403 shows accounting control activities during the report quarter for past due payments in lieu of contributions. Line 403 covers (as of the last day of the report quarter) all known past due payments in lieu of contributions for all calendar quarters prior to the report quarter.
 - a. Item 33. Total Receivables at the Beginning of Period. Enter the total amount of payments in lieu of contributions known to be past due at the beginning of the period. This figure should be equal to item 38 of the previous report.
 - b. Item 34. Amount Determined Receivable During Report Period. Enter the amount of payments in lieu of contributions determined as past due during the report quarter based on current billings to reimbursing employers which are unpaid. Do not report amounts already included in item 33.
 - c. Item 35. Receivables Liquidated During Report Period. Enter the amount liquidated during the report quarter which reduced amounts in items 33 and 34 (other than by being declared uncollectible). Do not include timely payments in lieu of contributions received during the report quarter.
 - d. Item 36. Receivables Declared Uncollectible During Report Period. Enter amounts reported in items 33 and 34 that were declared uncollectible and transferred to suspense status during the report quarter. Do not include amounts previously reported in item 37 (receivables removed from active file at end of report period) if such amounts were later declared uncollectible.
 - e. Item 37. Receivables Removed from Active File at End of Report Period. Enter amounts included in item 33 (total receivables at beginning of period) that were reported in item 44 (over 15 months - age category) for the two

UI REPORTS HANDBOOK NO. 401

ETA 581 Contribution Operations

immediately preceding ETA 581 report periods, but because of state policy, have not been declared uncollectible.

Example: An amount of \$600, which was determined receivable during the quarter ending June 30, 2000, was included in total receivables at the end of report period (item 38) and, for the first time, reported in the "over 15 months" age category (item 44) on the ETA 581 report for the quarter ending December 31, 2001. The \$600 was not collected or declared uncollectible during the quarter ending March 31, 2002, and, therefore, was included in total receivables at the end of report period (item 38) and the "over 15 months" age category (item 44) for a second report quarter. Since item 38 (total receivables at the end of report period) on the report for the quarter ending March 31, 2002, is the same as item 33 (total receivables at beginning of report period) on the report for the quarter ending June 30, 2002, the \$600 was included in item 33 on the report for the quarter ending June 30, 2002. The \$600 was not collected or declared uncollectible during the quarter ending June 30, 2002, and it had already been reported in the "over 15 months" age category (item 44) on reports for quarters ending December 31, 2001 and March 31, 2002. Therefore, on the report for the quarter ending June 30, 2002, the \$600 is reported in item 37, receivables removed at end of report period.

- f. Item 38. Total Receivables at End of Report Period. Enter the total amount of payments in lieu of contributions that were past due as of the last day of the report quarter. This amount should equal Item 33 plus Item 34 minus Items 35, 36, and 37 and should be carried forward to Item 33, figure should be the result of the addition of items 33 and 34 minus items 35, 36, and 37 and should be carried forward to Item 33, Total Receivables at the Beginning of Period for the following report.
 - g. Item 39. Number of Employers Owing Receivables. Enter the number of employers who owe the amount reported in item 38.
10. Age of Receivables - Reimbursing Employers. Line 404 separates total receivables in item 38 by amount and age. The age of receivable amounts for reimbursing employers should be calculated from the date payment was due, not the date on which the amount was determined to be past due. Negative amounts cannot be entered in the age categories on this line.
- a. Item 40. 6 Months or Less. Enter that part of the amount in item 38 which, as of the end of the report quarter, was past due for 6 months or less.
 - b. Item 41. 9 Months. Enter that part of the amount in item 38 which, as of the end of the report quarter, was past due for 9 months or less but more than 6 months.

UI REPORTS HANDBOOK NO. 401

ETA 581 Contribution Operations

- c. Item 42. 12 Months. Enter that part of the amount in item 38 which, as of the end of the report quarter, was past due for 12 months or less but more than 9 months.
- d. Item 43. 15 Months. Enter that part of the amount in item 38 which, as of the end of the report quarter, was past due for 15 months or less but more than 12 months.
- e. Item 44. Over 15 Months. Enter that part of the amount in item 38 which, as of the end of the quarter, was past due for more than 15 months.

Note: The sum of amounts in items 40 through 44 must equal total receivables in item 38.

- 11. Audit Activity. Lines 501 and 502 show transactions resulting from activities which meet the definition of "audit" as specified in Section E. 25. of these instructions and the requirements of the Field Audit Function in ES Manual, Part V, Sections 3670-3693. With the exception of item 49, total wages audited: pre-audit, do not include in amounts underreported or overreported, any wages or contributions that were reported by an employer before an audit assignment or that were obtained without resorting to an audit. Wages and contributions attributed to a delinquent employer report which were obtained through a field assignment other than an audit, or were obtained at the same time an audit was conducted but were not within the scope of the audit, should not be reported on line 502 but should be included in items 22 and/or 23 (contributions), as appropriate.
 - a. Item 45. Large Employer Audits. Enter the total number of completed large employer audits. Item 45 can not be greater than item 47.
 - b. Item 46. Change Audits. Enter the number of audits in item 46 that were change audits. Item 46 can not be greater than item 47.
 - c. Item 47. Total Audits. Enter the total number of audits completed during the report quarter.
 - d. Item 48. Calendar Quarters Audited. Enter the total number of quarters audited as the result of audits reported in item 47. Count only quarters actually audited. Do not include quarters in which adjustments were made without auditing.
 - e. Item 49. Total Wages Audited: Pre-Audit. Enter the amount of pre-audit total wages originally reported by employers for quarters audited in item 48.

UI REPORTS HANDBOOK NO. 401

ETA 581 Contribution Operations

Estimates and/or assessments processed to an employer's account in lieu of actual reports should be included in this amount.

- f. Item 50. Total Wages Audited: Post Audit. Enter the amount of total wages recorded in audit summaries as the result of auditing quarters in item 48.
- g. Item 51. Hours Spent in Auditing. Enter the total number of hours (rounded to the nearest full hour) spent conducting the audits reported in item 47. Do not include time spent traveling to and from audit sites.
- h. Item 52. Number of Employees Misclassified as Independent Contractors. Enter the total number of employees discovered through audits in item 47 that were previously misclassified by the employer as independent contractors. Count only employees discovered in quarters that were actually audited as reported in item 48.

Employees who were improperly misclassified in categories other than independent contractor can not be counted in item 52. Example: Under the state law, newspaper carriers age 18 years old or younger are classified as “excluded employees” for UI purposes. In an audit of the City Times Newspaper Co., it was discovered that all newspaper carriers, including 30 carriers over 18 years old, were being classified as “excluded employees.” The 30 carriers can not be counted in item 52 because they were improperly classified as “excluded employees” not “independent contractors.”

- i. Item 53. Underreported Total Wages. Enter the total amount of underreported gross wages discovered as a result of quarters audited in item 48. Do not include amounts resulting from adjustments for quarters that were not actually audited.
- j. Item 54. Underreported Taxable Wages. Enter the total amount of underreported taxable wages discovered as a result of quarters audited in item 48. Do not include amounts resulting from adjustments for quarters that were not actually audited.
- k. Item 55. Underreported Contributions. Enter the total amount of underreported contributions discovered as a result of quarters audited in item 48. Do not include penalty and interest. Do not include amounts resulting from adjustments for quarters that were not actually audited.
- l. Item 56. Overreported Total Wages. Enter the total amount of overreported gross wages discovered as a result of quarters audited in item 48. Do not include amounts resulting from adjustments for quarters that were not actually audited.

UI REPORTS HANDBOOK NO. 401

ETA 581 Contribution Operations

- m. Item 57. Overreported Taxable Wages. Enter the total amount of overreported taxable wages discovered as a result of quarters audited in item 48. Do not include amounts resulting from adjustments for quarters that were not actually audited.
- n. Item 58. Overreported Contributions. Enter the total amount of overreported contributions discovered as a result of quarters audited in item 48. Do not include amounts resulting from adjustments for quarters that were not actually audited.

Note: Amounts reported in items 53 through 58 must represent total amounts discovered as underreported and overreported for all audits without regard to the net effect for each individual audit.

Example: The following audit differences were discovered in Audit A:

	<u>Underreported</u>	<u>Overreported</u>	<u>Net</u>
Total Wages	\$850,000	\$1,000,000	\$150,000/over
Taxable Wages	500,000	50,000	450,000/under
Contributions	25,000	10,000	15,000/under

To report audit differences from audit A on ETA 581, \$850,000 should be included in item 53, \$500,000 in item 54, \$25,000 in item 55, \$1,000,000 in item 56, \$50,000 in item 57 and \$10,000 in item 58. The net differences for audit A are not to be included on the ETA 581.

12. Comments. Four lines are available on the electronic submittal system for comments. Comments are appropriate under the following circumstances:
- Administrative Factors Affecting Data Reported. Describe any administrative factors, such as rules and regulations, which may affect the information reported in such a way that it lacks comparability with data submitted on prior reports or on current reports submitted by the state agency.
 - Legal Factors Affecting Data Reported. Describe any legal factors, such as new laws or amendments to the state unemployment compensation law, which may affect the information reported in such a way that it lacks comparability with data submitted on prior reports or on current reports submitted by other state agencies.
 - Economic Factors Affecting Data Reported. Describe any economic factors which substantially affect the data reported by increasing or reducing the number of status determinations, subject employers, field audits, and amount of receivables in such a way that the conditions will be reflected in any of the tabulations prepared.

UI REPORTS HANDBOOK NO. 401

ETA 581 Contribution Operations

UI REPORTS HANDBOOK NO. 401

**ETA 191 Statement of Expenditures and Financial Adjustments of Federal Funds
for Unemployment Compensation for Federal Employees and Ex-Servicemembers**

CONTENTS

A. Facsimile of FormII-3-2

B. Purpose.....II-3-4

C. Due Date and TransmittalII-3-4

D. General Reporting InstructionsII-3-5

 1. Requisitioning Funds from Federal Employees
 Compensation AccountII-3-5

 2. Providing Information to Federal (Civilian) and Military AgenciesII-3-5

 3. Identifying Federal AgenciesII-3-5

 4. Correcting Errors Made in a Prior QuarterII-3-5

E. Definitions.....II-3-6

 1. Assigned ChargesII-3-6

 2. Unassigned Charges.....II-3-6

F. Item by Item Instruction.....II-3-6

 1. Section A. Summary Statement of Expenditures and AdjustmentsII-3-6

 2. Section B. Detailed ExpendituresII-3-8

G. Federal Agency Codes.....II-3-8

UI REPORTS HANDBOOK NO. 401

ETA 191 Statement of Expenditures and Financial Adjustments of Federal Funds for Unemployment Compensation for Federal Employees and Ex-Servicemembers

A. Facsimile of Form

1. Page 1 of Form

ETA 191 STATEMENT OF EXPENDITURES & FINANCIAL ADJS OF FEDERAL FUNDS FOR UC FOR UCFE-UCX

STATE:	REGION:	REPORT FOR PERIOD ENDING:	
SECTION A: SUMMARY STATEMENT OF EXPENDITURES AND ADJUSTMENTS			
		UCFE	UCX
1.	Benefit Expenditures		
2.	Adjustments Assigned to Agencies:		
	(a) Cancellations		
	(b) Restoration of Overpayments		
	(c) Other - Explain in Comments		
3.	Total Assigned Expenditures and Adjustments (Items 1 and 2; these totals must match the totals reported in Section B.)		
4.	Expenditures and Adjustments Not Assigned to Agencies:		
	(a) Penalties and Interest		
	(b) Other - Explain in Comment		
5.	Total Expenditures and Adjustments Not Assigned to Agencies (Items 4a and 4b)		
6.	Grand Total - All Expenditures and Adjustments (Items 3 and 5)		

UI REPORTS HANDBOOK NO. 401

ETA 191 Statement of Expenditures and Financial Adjustments of Federal Funds for Unemployment Compensation for Federal Employees and Ex-Servicemembers

2. Page 2 of Form

SECTION B: DETAILED STATEMENT OF EXPENDITURES AND ADJUSTMENTS BY FEDERAL (CIVILIAN) AND MILITARY AGENCIES			
Agency Code	Agency Title	Expenditures and Adjustments	
		UCFE	UCX
(1)	(2)	(3)	(4)

Comments:

OMB No.: 1205-0162

OMB Expiration Date: 08/31/2009

OMB Burden Hours: 360 Minutes

OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

UI REPORTS HANDBOOK NO. 401

ETA 191 Statement of Expenditures and Financial Adjustments of Federal Funds for Unemployment Compensation for Federal Employees and Ex-Servicemembers

B. Purpose

Public Law 96-499, Omnibus Reconciliation Act of 1980, required Federal agencies to pay the cost of unemployment compensation for Federal employees (UCFE) when the benefit payment was based on Federal services performed after December 31, 1980. It was not until the passage of the Miscellaneous Revenue Act of 1982 that military departments were required to reimburse the unemployment compensation expenditures for ex-servicemembers (UCX).

Public Law 96-499 also established within the Unemployment Trust Fund the "Federal Employees Compensation (FEC) Account." The FEC Account operates as a revolving account and, therefore, is dependent upon state agencies, the Department of Labor, and Federal and military agencies to maintain its solvency.

The Form ETA 191, Statement of Expenditures and Financial Adjustments of Federal Funds for Unemployment Compensation for Federal Employees and Ex-Servicemembers is used by each State Workforce Agency (SWA) to report to the National Office (NO): 1) the quarterly summary of UCFE and UCX expenditures and adjustments, and 2) the total amount of benefits paid by the SWA to claimants of specific agencies. Section B of the ETA 191 report is the only source document used by the Office of Workforce Security (OWS) to bill Federal and military agencies for the recovery of UCFE and UCX benefit payments.

Each SWA withdraws resources from the FEC Account to cover the necessary UCFE and UCX benefit payments. OWS bills the Federal and military agencies quarterly, based on the data contained in Section B of the ETA 191 report. Each Federal and military agency deposits into the FEC Account, on a quarterly basis, reimbursements for benefits that have been paid to their former employees.

After receipt of each quarterly ETA 191 report, OWS aggregates the benefit payments by state for individual Federal agencies and bills each accordingly. Quarterly, the NO certifies to the U.S. Department of the Treasury the total amounts due from each department and agency.

In order for the FEC Account to operate successfully, it is dependent upon two of its major components--the state agency and the Federal agency. The Federal agency is responsible for reimbursing the FEC Account in a timely manner to ensure that there are adequate funds available for the states to withdraw. The state agency, in turn, is responsible for paying UCFE and UCX benefits to the claimant, reporting these quarterly benefit payments to the NO in a timely manner, and providing detailed benefit payment data to Federal agencies as requested.

C. Due Date and Transmittal

The ETA 191 should be submitted electronically to the National Office by the 25th of the month following the close of the quarter.

UI REPORTS HANDBOOK NO. 401

ETA 191 Statement of Expenditures and Financial Adjustments of Federal Funds for Unemployment Compensation for Federal Employees and Ex-Servicemembers

D. General Reporting Instructions

1. Requisitioning Funds from the Federal Employees Compensation Account. SWAs are required to requisition funds from the FEC Account using the Automated Standard Application for Payments (ASAP) System to cover anticipated benefit payment needs for all UCFE and UCX claimants. These electronic requests are received by the U.S. Department of the Treasury. To prevent the build up of excessive balances in local banks, requisitions and transfers of funds should be made on a daily basis.
2. Providing Information to Federal (Civilian) and Military Agencies. Pursuant to the Secretary's authority in 5 U.S.C. 8509 (f), SWAs will continue to, for purposes of this Act, provide appropriate payroll offices of Federal and military agencies with a copy of all determination notices, including appeals, that are now provided to a private employer, as instructed by Sections 6662 and 8692, Part V of the ES Manual.

The SWA should be prepared to furnish the civilian and military agencies, upon their request, with detailed benefit payment data, which support the charges contained in Section B of the report. The benefit payment data are to be forwarded to those agencies by the 25th day after the end of the reporting quarter. Since many Federal agencies rely heavily upon this data to verify the accuracy of their benefit charges, it is important for states to supply this information timely and for the detailed benefit payment data to equal the agency charges submitted in Section B of the report.

SWAs will provide the certified documentation directly to those Federal civilian and military agencies that have requested the benefit payment data. These agencies are listed in the Training Employment Notice (TEN) entitled, "Directory of Federal (Civilian) and Military Agencies requesting Quarterly UCFE and UCX Detailed Benefit Payment Data."

3. Identifying Federal Agencies. SWAs should consider providing the list of Federal employers and their respective codes found in section F below to local office initial intake, adjustment, and overpayment personnel for the purposes of identifying the appropriate Federal agency (or agencies) to be charged. Prior to transmittal of claims forms to the central office, the Federal employer code should be recorded on all pertinent documents, i.e., Form ES 931, UCFE Request for Wage and Separation Information, Form ES 935, Claimant Affidavit of Federal Civilian Service Wage and Separation Information, etc.
4. Correcting Errors Made in a Prior Quarter. Corrections should be reported to OWS on the ETA 191 as soon as possible. Errors, such as use of incorrect three-digit agency codes, can create significant problems for the Federal agency, the NO, and, eventually, the SWA. The electronic submittal system automatically displays the name of the agency associated with an entered three-digit code. This name should be checked to be sure that the benefits being

UI REPORTS HANDBOOK NO. 401

ETA 191 Statement of Expenditures and Financial Adjustments of Federal Funds for Unemployment Compensation for Federal Employees and Ex-Servicemembers

entered are being assigned to the appropriate agency. When errors in coding occur, it usually takes anywhere from three months to one year to correct them.

From the time that the error occurred, a two-year grace period has been established as sufficient time for adjustment to be made. SWAs are instructed to correct improper charges made to Federal and military agencies by increasing or decreasing the agency's charges in the next quarterly ETA 191 report.

In cases where there may not be charges in a following quarter, only the corrective entry should be reported. SWAs are not to submit more than one ETA 191 report per quarter.

E. Definitions

1. Assigned Charges. Charges are classified as "assigned" to a Federal agency when expenditures and/or adjustments can be positively identified in Section B of the report. As a result, totals that are assigned to Federal agencies reported in Section A (item 3) must equal the totals generated from the assigned charges listed in Section B.
2. Unassigned Charges. Charges are classified as "unassigned" by a Federal agency when expenditures and/or adjustments can not be positively identified in Section B of the report. Unassigned charges should be infrequent.

F. Item by Item Instructions

1. Section A. Summary Statement of Expenditures and Adjustments.
 - a. Item 1. Benefit Expenditures. Include in the appropriate columns all UCFE and UCX unemployment compensation benefits paid to eligible (as based on title 5 U.S. Code) Federal civilian claimants and ex-servicemen during the reported quarter. (These expenditures should include only that portion of benefit paid from UCFE and UCX funds.)
 - b. Item 2. Adjustments Assigned to Agencies.
 - (1) Cancellations. Enter in the appropriate UCFE or UCX columns the total amount of any checks canceled during the quarter which were reported as expenditures in prior quarters. Cancellations of checks drawn in the current quarter are to be reflected in item 1. Check cancellations are subtracted when computing subtotals and totals.
 - (2) Restoration of Overpayments. Enter in the appropriate UCFE or UCX columns the total amount of restorations made during the current quarter of overpayments made in prior quarters. Restorations of overpayments received during the current quarter and based on expenditures in this current quarter should be reflected in item 1.

UI REPORTS HANDBOOK NO. 401

ETA 191 Statement of Expenditures and Financial Adjustments of Federal Funds for Unemployment Compensation for Federal Employees and Ex-Servicemembers

Restoration of overpayments is subtracted when computing subtotals and totals. A negative sign should not be entered. Restorations resulting from the recoupment of overpayments are credited to an agency's account only after the funds have been recovered from a claimant.

- (3) Other. Enter the total of other adjustments in the appropriate UCFE or UCX columns that were not included in item 2(a) and 2(b). These adjustments could include, for example, an over- or under-statement of UCFE or UCX expenditures reported in prior quarters. It is imperative that SWAs submit an explanation of these items in the comments section. These explanations should include the three-digit agency codes, name of agencies, and a brief statement describing the adjustment. If this figure is negative, a negative sign should be entered.
- c. Item 3. Total Assigned Expenditures and Adjustments. Enter in the appropriate columns, the total amounts of UCFE and UCX expenditures and adjustment that are being charged to Federal and military agencies during this reporting period. The figures entered in this item for both UCFE and UCX are the results of items 1, 2(a), 2(b), and 2(c). These totals must match the totals reported in Section B.
- d. Item 4. Expenditures and Adjustments Not Assigned to Agencies. Enter the total for UCFE and the total UCX expenditures in the appropriate columns.
 - (1) Penalties and Interest. Enter the total amount of penalty and interest (P&I) received by the SWA which results from prior UCFE or UCX payments. Penalties and interest are subtracted when computing subtotals and totals. A negative sign should not be entered. All recoupments resulting from P&I's drawn from FEC Account are to be returned to the FEC Account.
 - (2) Other--Explain in Comments. Enter in the appropriate UCFE or UCX columns any adjustments that were not included in item 4(a). For example, list adjustments relating to a UCFE or UCX charge that occurred more than two years after the quarter in which the initial payment was made, or to an agency for which a three-digit code has not been assigned.

In the latter case, include in the comments section the agency name and total amount of benefits for each agency "not assigned" a three-digit code. The NO will then use this information to properly identify the responsible Federal agency and will assign a three-digit code to each of those agencies listed in comments and reported in item 4(b).

Once the NO has assigned the three-digit code for the charge in question, the state will officially be informed of the change. The state

UI REPORTS HANDBOOK NO. 401

ETA 191 Statement of Expenditures and Financial Adjustments of Federal Funds for Unemployment Compensation for Federal Employees and Ex-Servicemembers

will first use this information to reclassify the charge from "not assigned" to "assigned" by recording the adjustment in Section A, item 2(c), and in Section B of the next quarterly ETA 191 report.

The state will then enter the negative amount of the identified charge in Section A, item 4(b). The purpose of this entry is to "zero out" the amount of the "not assigned" charge from the previous reporting quarter, so that the charge does not get counted twice against the FEC Account.

Finally, the state will close the adjustment by explaining the reclassification in the comments section. The state should enter the following items in comments for the reclassification: 1) the reporting quarter of the "not assigned" charge, 2) the name of the Federal agency, 3) the three-digit code of the agency (as provided by the NO), and (4) the amount of the newly-assigned charge.

2. Section B. Detailed Expenditures.

- a. Enter in the first column the three digit code of the Federal agency being charged as found in section G.
- b. When reporting electronically, this column will default to the name of the agency being charged that is associated with the code in column one. Check to be sure that the name on the screen matches the name expected for the agency number. If it does not, check that the agency number was entered correctly.
- c. Enter in the third column the total amount of benefit charges to that Federal agency indicated in the first column during the reported quarter. Charges to a Federal agency will include adjustments for restoration of Federal funds resulting from cancellation of checks, recoupment of overpayments, etc. Therefore, the sum of UCFE and UCX benefit charges should equal the amount in item 3 of Section A.

G. Federal Agency Codes

A three digit numerical code identifying each Federal agency will be assigned from the list below. Additional agencies with their corresponding codes will be added to the list as necessary. Agencies which have been out of existence for more than 10 quarters will generally be removed from the list. SWAs will use these codes to identify all claim records and claim forms of claimants who performed Federal service in his/her base period.

**ETA 191, Statement of Expenditures and Financial Adjustments of Federal Funds
for Unemployment Compensation for Federal Employees and Ex-Servicemembers**

Identification Codes for Federal Departments and Agencies

<u>Code</u>	<u>Title</u>
001	U.S. Senate
002	U.S. House of Representatives
003	Commission on Security and Cooperation in Europe
006	U.S. Capitol Police
010	Architect of the Capitol
015	U.S. Botanic Garden
020	Government Accountability Office
025	U.S. Government Printing Office
030	Library of Congress
032	Office of Compliance
035	United States Tax Court
040	Congressional Budget Office
111	Supreme Court
112	Administrative Office of the United States Courts
113	U.S. Court of Veterans Appeals
205	White House Office
207	Office of Vice President of the US
210	Office of Management and Budget
215	Office of Administration
220	Council of Economic Advisers
221	Council on Environmental Quality
224	Executive Residence at the White House
225	Office of Policy Development
230	National Security Council
235	Office of Science & Technology Policy
238	Office of the U.S. Trade Representative
239	Office of Special Counsel
240	Office of National Drug Control Policy
250	Regulatory Information Service Center
301	Architectural & Transp. Barriers Compliance Board
302	Arctic Research Commission
303	Barry Goldwater Scholarship & Excellence Education Foundation
308	Corporation for National and Community Service
310	Defense Nuclear Facilities Safety Board
312	James Madison Memorial Fellowship Foundation
321	National Council on Disability
323	Nuclear Waste Technical Review Board
324	Medicare Payment Advisory Commission
326	U.S. Institute of Peace
401	DHS/Departmental Operations
405	Department of State

UI REPORTS HANDBOOK NO. 401

**ETA 191, Statement of Expenditures and Financial Adjustments of Federal Funds
for Unemployment Compensation for Federal Employees and Ex-Servicemembers**

406	International Broadcasting Bureau
410	Department of the Treasury
421	Defense w/o Army, Navy, & Air Force
422	Army (Civilian), Department of the
423	Navy (Civilian), Department of the
424	Air Force (Civilian), Department of the
425	Army, Department of the/ Nonappropriated Fund
427	Air force, Department of the / Nonappropriated Fund
429	Army & Air Force Exchange Service
430	Department of Justice
432	Drug Enforcement Agency
440	Interior, Department of the
445	Department of Agriculture
450	Department of Commerce
455	Department of Labor
460	Health and Human Services, Dept. of
465	Department of Housing and Urban Development
466	HUD- Office of the Inspector General
467	Office of Fed. Housing Enterprise Oversight
470	Department of Transportation
475	Department of Energy
480	Department of Education
481	DHS/U.S Secret Service
482	DHS/Federal Law Enforcement Training Center
483	DHS/Customs & Border Protection
484	DHS/Transportation Security Administration
485	DHS/State & Local Government Coordination
486	DHS/Science & Technology Directorate
487	DHS/Directorate for Border & Transportation Security
488	DHS/Info. Analysis & Infrastructure Protection
489	DHS/Citizenship & Immigration Services
490	DHS/Immigration & Customs Enforcement
491	DHS/United States Coast Guard (Civilian)
492	DHS/Office of Inspector General
504	African Development Foundation
506	U.S. Agency for International Development
507	Advisory Council on Historic Preservation
509	Appalachian Regional Commission
510	American Battle Monuments Commission
512	Arms Control & Disarmament Agency
520	Board of Governors of the Fed Reserve System
531	Committee for Purch. From People who are Blind or Severely Disabled
532	Delaware River Basin Commission
533	Denali Commission

**ETA 191, Statement of Expenditures and Financial Adjustments of Federal Funds
for Unemployment Compensation for Federal Employees and Ex-Servicemembers**

535	Office of Personnel Management
538	Commission of Fine Arts
539	Commission on Civil Rights
540	Office of Government Ethics
541	Consumer Product Safety Commission
543	Commodity Futures Trading Commission
552	Environmental Protection Agency
554	Equal Employment Opportunity Commission
555	Export-Import Bank of the U.S.
557	Farm Credit Administration
570	Federal Communications Commission
572	Federal Election Commission
574	DHS/ EP&R, Federal Emergency MNGT agency
575	Federal Deposit Insurance Corporation
576	Office of Thrift Supervision
577	Federal Labor Relations Authority
578	Federal Maritime Commission
579	Federal Housing Finance Board
580	Federal Mediation and Conciliation Service
583	Federal Mine Safety and Health Review Commission
584	Federal Retirement Thrift Investment Board
590	Federal Trade Commission
600	General Services Administration
601	Harry S. Truman Scholarship Foundation
602	Japan-U.S. Friendship Commission
603	U.S. Chemical Safety and Hazard Investigation Board
618	Institute of Museum & Library Services
619	JFK Center for the Performing Arts
621	Inter-American Foundation
622	International Boundary and Water Commission
623	U.S. International Trade Commission
624	International Boundary Commission
625	Surface Transportation Board
626	Interagency Council on the Homeless
627	Marine Mammal Commission
628	Merit Systems Protection Board
629	Valles Caldera Trust
630	Millennium Challenge Corporation
631	National Aeronautics & Space Administration
633	National Archives & Records Administration
634	National Credit Union Administration
639	Nat'l Comm. On Libraries & Information Science
640	National Capitol Planning Commission
642	National Gallery of Art

**ETA 191, Statement of Expenditures and Financial Adjustments of Federal Funds
for Unemployment Compensation for Federal Employees and Ex-Servicemembers**

645	National Labor Relations Board
646	National Endowment for the Arts
647	National Endowment for the Humanities
650	National Mediation Board
652	National Railroad Adjustment Board
655	National Science Foundation
657	Office of Navajo & Hopi Indian Relocation
659	U.S. Nuclear Regulatory Commission
660	National Transportation Safety Board
663	Occupational Safety and Health Review Commission
664	Overseas Private Investment Corp.
667	Pension Benefit Guaranty Corporation
668	Postal Rate Commission
669	Public Defender Service for the D.C.
670	Railroad Retirement Board
677	U.S. Peace Corps
687	Social Security Administration
690	Security & Exchange Commission
695	Selective Service System
697	Susquehanna River Basin Commission
698	U.S. Commission on International Religious Freedom
700	Small Business Administration
701	U.S. Holocaust Memorial Council
705	Smithsonian Institution
710	Armed Forces Retirement Home (AFRH)
730	Tennessee Valley Authority
732	U.S. Postal Service
735	Veterans Affairs, Department of
801	U.S. Army (Military)
802	Department of Navy (Military)
803	U.S. Department of Air Force (Military)
804	U.S. Marine Corp (Military)
805	United States Coast Guard (Military)
806	National Oceanic & Atmospheric Administrative (Military)
807	Navy Exchange Service Command
808	Navy Club & Recreation System
809	U.S. Marine Corps Morals, Welfare, & Recreation
811	U.S. Coast Guard Exchange Systems
902	Central Intelligence Agency
911	The Presidio Trust
912	U.S. Trade and Development Agency
913	Bureau of Census-2010 decennial census

CONTENTS

A. Facsimile of Form	II-4-2
1. Sections A and B.....	II-4-2
2. Section C, Reserve Ratio.....	II-4-4
3. Section C, Benefit Ratio	II-4-6
B. Purpose.....	II-4-7
C. Due Date and Transmittal	II-4-7
D. General Reporting Instructions	II-4-7
E. Definitions.....	II-4-8
1. All Subject Accounts	II-4-8
2. Total Payroll	II-4-8
3. Taxable Payroll	II-4-8
4. Eligible Accounts.....	II-4-9
5. Ineligible Accounts	II-4-9
6. Benefits (or Benefit Wages) Charged.....	II-4-9
7. Benefits (or Benefit Wages) Not Charged	II-4-9
8. Active Employers	II-4-9
9. Inactive Employers.....	II-4-9
10. Amount of Account Balances (Reserve Ratio States Only).....	II-4-9
11. Tax Rates.....	II-4-9
12. Regularly Rated Accounts.....	II-4-10
13. Specially Taxed Accounts	II-4-10
14. Computation Date	II-4-10
15. Rate Year Ending.....	II-4-10
16. Experience Factor	II-4-10
F. Item by Item Instructions.....	II-4-10
1. Section A. Item 3 and Item 4. Subject Accounts with Positive Balance and Subject Accounts with Negative Balance.....	II-4-10
2. Section B. Summary of Benefits Paid, Charged, and Noncharged	II-4-10
3. Section C. All Taxable Subject Accounts: Selected Data.....	II-4-11
4. Comments.....	II-4-12

UI REPORTS HANDBOOK NO. 401

ETA 204 Experience Rating Report

A. Facsimile of Form

1. Sections A and B

ETA 204 EXPERIENCE RATING

STATE:		REGION:		REPORT FOR PERIOD ENDING:		
RATE YEAR ENDING		COMPUTATION DATE		RATING SYSTEM		
SECTION A. ALL SUBJECT ACCOUNTS: NUMBER & AMOUNTS OF TOTAL & TAXABLE PAYROLL						
Number As Of:			Payroll 12 Months Ending:			
		Line No.	Accounts	Total	Taxable	
			(1)	(2)	(3)	
1.	Taxable Accounts, Total	101				
	a. Eligible	102				
	b. Ineligible	103				
2.	Reimbursable Account	104				
RESERVE RATIO STATES ONLY:						
3.	Subject Accounts (Positive Or Zero Balance)	201				
	a. Eligible	202				
	b. Ineligible	203				
4.	Subject Accounts (Negative Balance)	204				
	a. Eligible	205				
	b. Ineligible	206				
SECTION B. SUMMARY OF BENEFITS PAID, CHARGED, AND NONCHARGED						
		Line No.	Amount			
5.	Total Benefits (Or Benefit Wages) Paid During 12 Months Ending:	301				

UI REPORTS HANDBOOK NO. 401

ETA 204 Experience Rating Report

6. Taxable Employer Accounts	302	
a. Charged	303	
1. Active	304	
2. Inactive	305	
b. Noncharged	306	
7. Reimbursable Employer Accounts	307	
a. Charged	308	
b. Noncharged	309	

Comments:

OMB No.: 1205-0164 **OMB Expiration Date:** 03/31/2009 **Average Estimated Response Time:** 15 Minutes
OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is required to retain or obtain benefits under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

UI REPORTS HANDBOOK NO. 401

ETA 204 Experience Rating Report

2. Section C. Reserve Ratio

ETA 204 EXPERIENCE RATING

STATE:		REGION:		REPORT FOR RATE YEAR ENDING:			
SECTION C. RESERVE RATIO METHOD OF TAXATION							
Experience Factor		Average Tax Rate (1)	Number of Accounts (2)	Total Payroll (000) (3)	Taxable Payroll (000) (4)	Benefits Charged (000) (5)	Estimated Contributions (000) (6)
Greater than	Less Than Or Equal To						
ELIGIBLE – REGULARLY RATED BY FACTOR							
	-80.0						
-80.0	-60.0						
-60.0	-40.0						
-40.0	-20.0						
-20	-19						
-19	-18						
-18	-17						
:	:						
-6.0	-5.0						
-5.0	-4.5						
-4.5	-4.0						
:	:						
-0.5	0.0						
0.0	0.5						
:	:						
14.5	15.0						
15	16						
16	17						
:	:						
19	20						
20	25						
25	30						
:	:						
45							

UI REPORTS HANDBOOK NO. 401

ETA 204 Experience Rating Report

SUBTOTAL						
ELIGIBLE-SPECIALLY TAXED						
TOTAL ELIGIBLE						
TOTAL INELIGIBLE						
TOTAL ALL SUBJECT ACCOUNTS						

Comments:

OMB No.: 1205-0164 **OMB Expiration Date:** 03/31/2009 **OMB Burden Hours:** 15 Minutes
OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

UI REPORTS HANDBOOK NO. 401

ETA 204 Experience Rating Report

3. Section C. Benefit Ratio

ETA 204 EXPERIENCE RATING

STATE:		REGION:		REPORT FOR RATE YEAR ENDING:			
SECTION C. BENEFIT RATIO METHOD OF TAXATION							
Experience Factor		Average Tax Rate (1)	Number of Accounts (2)	Total Payroll (000) (3)	Taxable Payroll (000) (4)	Benefits Charged (000) (5)	Estimated Contributions (000) (6)
Greater than	Less Than Or Equal To						
ELIGIBLE – REGULARLY RATED							
0.0	0.1						
0.1	0.2						
0.2	0.3						
:	:						
7.9	8.0						
8.0	8.5						
8.5	9.0						
:	:						
15.0							
SUBTOTAL							
ELIGIBLE-SPECIALLY TAXED							
TOTAL ELIGIBLE							
TOTAL INELIGIBLE							
TOTAL ALL SUBJECT ACCOUNTS							

Comments:

OMB No.: 1205-0164 **OMB Expiration Date:** 03/31/2009 **OMB Burden Hours:** 15 Minutes
OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

B. Purpose

The data submitted annually on the ETA 204 will enable the Employment and Training Administration (ETA) to project revenues for the Unemployment Insurance (UI) program on a state by state basis and to measure the variations in assigned contribution rates which result from different experience rating systems. When used in conjunction with data from the ES 202, Employment Wages, and Contributions report, the ETA 204 data will assist in determining the effects of various factors (e.g., seasonality, stabilization, expansion, or contraction in employment and payroll, etc.) on the employment experience of various groups of employers.

The data will also provide to states and the National Office an early signal for potential solvency problems, be useful in analyzing factors which give rise to the potential problems, and permit an evaluation of the effectiveness of the various approaches available to correct the problems detected. Moreover, the data are required as a basis for estimating state average tax rates for the rate year. Finally, the data are key components to the Significant Tax Measures Report. The Significant Tax Measures Report provides the information necessary to evaluate and compare state U.I. tax systems

Thus, the foregoing information is of value to ETA in analyzing statutory provisions regarding experience rating, in preparing recommendations or advising states on proposed legislation involving experience rating, and in responding to inquiries from state agencies, employer groups, unions and others. Further, the data are a vital part of a state's management information system and a tool for the administrator and legislators to enhance the state experience rating system.

C. Due Date and Transmittal

All states permitting rate variations based on experience rating (i.e., have an experience rating system in place) should submit ETA 204 reports. If experience rating is suspended for a given year, only sections A and B need be submitted. Notification of the suspension should be indicated in the comments section.

This report is due in the National Office on the 30th day of the fifth month of the rate year to which the report relates. All sections of the ETA 204 report, including Section "C", must be reported electronically.

D. General Reporting Instructions

Sections A, B, and C of the report should follow the format prescribed in these instructions. States that use a combination of experience rating methods should decide which system is the predominant system, and report as if the state used the predominant system. In the absence of significant changes in state UI laws from

year to year, it is important that states in this situation should be consistent in choosing which experience rating system predominates.

Alaska, with a Payroll Decline system of experience rating, and Delaware and Oklahoma with Benefit Wage Ratio systems of experience rating, are exempt from filing section C of this report.

For Section C, columns 3 through 6 should be expressed in thousands. Subtotals and totals are required for all columns, and they are calculated by summing the appropriate column. The sum of Section C, Column 5 (Benefits Charged) should equal or be very close to the total benefits charged reported in Section B.6.a.1.

Entries should be made for all items. If no activity corresponding to the items occurred during the report period, a zero should be entered. A report containing missing data cannot be sent to the National Office. Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

E. Definitions.

1. All Subject Accounts. Subject Accounts, for purposes of the ETA 204 report, should consist only of the accounts of those active employers who were declared accountable or subject prior to either the beginning of the new rate year or the date designated by law as the computation date. Accounts of state or local governments, or their instrumentalities, or other units which make payments in lieu of contributions on a reimbursable basis should be included only in sections A.2., B.5., and B.7 of the report. These reimbursable accounts should be excluded from all other entries. Thus, all accounts for employers who were declared accountable or subject to the state law prior to the date chosen, and who were active in all or part of the 12-month period covered by the report and were charged or chargeable for benefits (or benefit wages) during that period, are included. All subject accounts for active employers declared accountable or subject on or subsequent to the date chosen are excluded.
2. Total Payroll. Total payroll is the total amount of wages paid or payable (depending on the wording of the state law) to covered workers by employers subject to the provisions of the state unemployment insurance law for services performed during the 12 months ending with the computation date. Total wages include both taxable wages, defined below, and the amount of wages which are in excess of the wages subject to the contribution provisions of the state law.
3. Taxable Payroll. Taxable payroll is the part of total payroll which is subject to the contribution provisions of the state unemployment insurance law (i.e., wages up to and including the state's taxable wage base).

UI REPORTS HANDBOOK NO. 401

ETA 204 Experience Rating Report

4. Eligible Accounts. An account is termed eligible if it has had a sufficient period of experience as of the computation date to qualify for an experience rating computation under state law. In addition to accounts for which rates are assigned under the regular experience rating provisions of state law, this category includes: accounts delinquent in paying contributions to which the maximum rate or another special rate has been assigned, accounts which have been suspended from coverage (but not inactivated) because of temporary cessation of operations, and seasonal employers who qualify for special rates.
5. Ineligible Accounts. An account that does not meet the definition for eligible accounts is considered ineligible. Therefore, an ineligible account is one that has had an insufficient period of experience as of the computation date to qualify for an experience rating computation.
6. Benefits (or Benefit Wages) Charged. The total amount of benefit payments (or benefit wages) charged to employer accounts (before voluntary contributions are applied).
7. Benefits (or Benefit Wages) Not Charged. The total amount of benefit payments (or benefit wages) not charged to the account of any employer.
8. Active Employers. An active employer is one that meets the definition of an active employer for the ETA 581 report.
9. Inactive Employers. An inactive employer is one who does not meet the definition of an active employer.
10. Positive/Negative Balance Accounts (Reserve Ratio States Only). The balance shown for each employer's account, i.e., total contributions minus total benefit charges, is termed a positive balance if the figure is positive or zero, or a negative balance if the figure is negative.
11. Tax Rates. The rates used in section C should be the final assigned rates upon which contributions will be paid (including solvency and other rate adjustments, where applicable, but excluding employee contributions) after all adjustments, both individual and overall, have been made, and which 1) reflect the effect of employer voluntary contributions on tax rates, and, 2) were effective at the beginning of the rate year (if rates change during the rate year).

Section C requires that employers be grouped according to specific experience factor categories. The average tax rates for these categories are calculated by dividing the sum of estimated contributions (see F.3.c) of employers in each category by total taxable wages of employers in that same category. Show tax rates in percentages.

12. Regularly Rated Accounts. An eligible account is termed "regularly rated" in section C if the rate assigned to the account resulted from a formula computation (of an experience factor) under regular experience-rating provisions of the state law.
13. Specially Taxed Accounts. An eligible account is considered specially taxed for section C if the rate assigned to the account did not result directly from a formula computation under regular experience-rating provisions of the state law. Examples are: 1) an account of a seasonal employer which has been given a special rate provided by law or regulation, 2) a state or local government entity taxed according to a special rate schedule, or 3) a delinquent employer assigned a special rate.
14. Computation Date. The date as of which employer's experience is measured for the purpose of determining tax rates.
15. Rate Year Ending. The ending date of the period for which tax rates are being assigned based on the computation date. As an example; assuming the computation date is June 30, 2005, and the rates are being calculated to be applied on January 1, 2006, the rate year end date would be 12/31/2006.
16. Experience Factor. Reserve ratio or benefit ratio, as appropriate.

F. Item by Item Instructions

Specific instructions are given only to the extent necessary to supplement the titles of the items.

1. Section A. Item 3 and Item 4. Subject Accounts with Positive Balance and Subject Accounts with Negative Balance. These items should be filled in only by states using Reserve Ratio systems.
2. Section B. Summary of Benefits Paid, Charged, and Noncharged.
 - a. Item 5. Benefits (or Benefit Wages) Paid, During 12 Months Ending: Enter the ending date (usually the computation date) of the last 12-month period used in the formula to measure benefit charges, and the total amount paid (both charged and noncharged) during the period. Include any benefits paid which impact the state trust fund accounts, (e.g., benefits under regular state UI, the state portion of Extended Benefits, and the state's liability for combined wage claim (CWC) payments). Exclude benefits paid under any program other than the state unemployment insurance program (e.g., benefits paid to Puerto Rican sugar workers). Exclude CWC payments for which other states are liable. In states using the benefit wage ratio system of experience rating, total benefit wages are entered instead of total benefits. This entry should be equal to the sums of items 6

UI REPORTS HANDBOOK NO. 401

ETA 204 Experience Rating Report

and 7. It also should be approximately equal to total state benefits during the corresponding period as shown on the ETA-2112 report (sum these items: Net U.I Benefits, Net State Share EB, Reimbursable Local Government, Reimbursable State Government, Reimbursable Non-profit, and Interstate Benefits).

- b. Item 6(a). Charged. Enter the amount of benefits (or benefit wages) included in item 6 which were shown as a charge to any taxable employer's account. Exclude amounts which were charged during the 12-month period but removed before computing the experience rate. Benefit Charges should not reflect any reduction for voluntary contributions.
 - c. Item 6(b). Noncharged. Enter the amount of benefits (or benefit wages) included in item 6 which is attributable to taxable employer accounts but is not charged to such accounts. Exclude CWC payments for which other states are liable.
3. Section C. All Taxable Subject Accounts: Selected Data.
- a. Column 1. Average Tax Rate. Enter the final assigned employer tax rate that corresponds with the experience factor shown in the Experience Factor column. If more than one tax rate falls into an experience factor category, an average tax rate should be computed by dividing the sum of estimated contributions, column 6, for those employers by the sum of taxable wages, column 4, attributable to those same employers. Tax rates should be shown as percentages.

Estimated contributions for an employer are equal to taxable wages for the 12 months ending on the computation date multiplied by the employer's final assigned tax rate in the current rate year.

- b. Column 5. Benefits Charged (Adjusted Benefit Wages Charged). In reserve ratio and benefit ratio states, for each experience factor category and for ineligible accounts and specially taxed accounts, enter actual benefits charged (before voluntary contributions are applied) during the 12-month period ending with the computation date. The sum of this column should equal or be very close to the total benefits charged reported in Section B.6.a.1
- c. Column 6. Estimated Contributions. Contributions for the rate year of this report are not yet known and must be estimated. Estimated contributions for the group are the sum of estimated contributions for all employers in the rate group. Estimated contributions for an employer are equal to taxable wages for the 12 months ending on the computation date multiplied by the employers final assigned tax rate in the current rate year.

4. Comments. Comments should be provided to explain any significant administrative, legal, or economic factors that may affect the data reported. In particular, states should explain significant changes from the prior year in noncharges (Sections B.6.b and B.7.b) and charges to inactive accounts (Section B.6.a.2). Electronic reporting allows for four screen lines of comments.
 - a. Administrative Factors Affecting Data Reported on the Tabulation. Describe any administrative factors such as rules and regulations which may affect the data reported in such a way that they will lack comparability with data submitted on prior reports.
 - b. Legal Factors Affecting Data Reported on Tabulations. Describe any legal factors such as new laws or amendments to the state unemployment insurance law which may affect the data reported in such a way that they lack comparability with the data submitted on prior reports. For example, changes in tax schedules, either legislated or automatic, should be explained.
 - c. Economic Factors Affecting Data Reported on Tabulations. Describe any economic factors, such as recession in key industries or major plant closings, which may affect the data reported.

UI REPORTS HANDBOOK NO. 401

ETA 205 Preliminary Estimates of Average Employer Contribution Rates

CONTENTS

A. Facsimile of FormII-5-2
B. Purpose.....II-5-3
C. Due Date and TransmittalII-5-3
D. General Reporting InstructionsII-5-3
E. Definitions.....II-5-3
 1. Average Taxable Employer Tax Rate for Total WagesII-5-3
 2. Average Taxable Employers Tax Rate for Taxable Wages.....II-5-3
 3. Employee Tax Rate for Total WagesII-5-3

UI REPORTS HANDBOOK NO. 401

ETA 205 Preliminary Estimates of Average Employer Contribution Rates

A. Facsimile of Form

ETA 205 - PRELIMINARY ESTIMATES OF
AVERAGE EMPLOYER CONTRIBUTION RATE

State _____ Report for Tax Year Ending: _____

Taxable

Total

Comments

OMB No.: 1205-0228 **OMB Expiration Date:** 02/28/2007 **OMB Burden Hours:** 15 Minutes
OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

UI REPORTS HANDBOOK NO. 401

ETA 205 Preliminary Estimates of Average Employer Contribution Rates

B. Purpose

The Average Employer Tax Rate report collects annual information about the taxing efforts in states relative to both taxable and total wages and allows comparison between states. It is of use to the National Office, state agencies and the public. For those states which have an employee tax, the amount of those taxes collected should be shown in the comments section of the report.

C. Due Date and Transmittal

The report and the tax schedule are due in the ETA National Office on April 1 of each year to represent estimated taxes in that same year as well as any updates to the two previous years.

D. General Reporting Instructions

Only one year of data is required to be entered at a time. However, the entry screen will display not only blanks for the current year, but also the stored data for the prior two years. The prior years may be updated on the same screen as entry for the current year if desired. If prior years are updated, each year must be transmitted separately. Transmitting the current year's data will not automatically transmit updates to prior years.

Additionally, all states are expected to ensure that the estimated average tax rate for the current year is consistent with the annual ETA 204 – Experience Rating report.

The estimated average tax rate submitted for the current year tax data will be used for the annual publication while the prior two year's data will be retrieved from the ES-202 – Employment, Wages and Contributions report submitted by the state to the Bureau of Labor Statistics.

E. Definitions

1. Average Taxable Employer Tax Rate for Total Wages. Compute by dividing the sum of all contributions collected for all taxable employers by the sum of total wages for all taxable employers.
2. Average Taxable Employers Tax Rate for Taxable Wages. Compute by dividing the sum of all contributions collected for all taxable employers by the sum of taxable wages for all taxable employers.
3. Employee Tax Rate for Total Wages. For those states which have an employee tax in place, report in the comments section, the employee tax rate for total wages by dividing the sum of all employee contributions collected by the sum of total wages for all employees.

UI REPORTS HANDBOOK NO. 401

ETA 8401 Monthly Analysis of Benefit Payment Account

CONTENTS

A. Facsimile of FormIII-1-2

B. Purpose.....III-1-3

C. Due Date and Transmittal.....III-1-3

D. General Reporting InstructionIII-1-3

E. DefinitionsIII-1-3

 1. Account NumberIII-1-3

 2. Commingled/Separate.....III-1-4

F. Item by Item InstructionsIII-1-4

 1. Beginning BalanceIII-1-4

 2. Total DepositsIII-1-4

 3. Total Checks Issued.....III-1-4

 4. Ending BalanceIII-1-4

 5. Total of Daily Ledger BalancesIII-1-4

 6. Average Daily BalanceIII-1-4

 7. Percent of Average Daily Balances.....III-1-4

 8. UI Trust FundsIII-1-4

 9. Reimbursable FundsIII-1-4

 10. Federal FundsIII-1-5

 11. Refunds.....III-1-5

 12. Checks Issued (UI Trust Funds).....III-1-5

 13. Checks Issued (Reimbursable Funds)III-1-5

 14. Checks Issued (Federal Funds)III-1-5

UI REPORTS HANDBOOK NO. 401

ETA 8401 Monthly Analysis of Benefit Payment Account

A. Facsimile of Form

ETA 8401 - MONTHLY ANALYSIS OF BENEFIT PAYMENT ACCOUNT

STATE	REGION	REPORT FOR PERIOD ENDING
Bank Name:		Bank City:
Account Number:		Commingled/Separate:
LEDGER		
1.	Beginning Balance	
2.	Total Deposits	
3.	Total Checks Issued	
4.	Ending Balance	
5.	Total of Daily Ledger Balances	
6.	Average Daily Balance	
7.	Percent Average Daily Balance to Checks Issued	
DEPOSITS		
8.	UI Trust Funds	
9.	Reimbursable Funds	
10.	Federal Funds	
11.	Refunds	
CHECKS ISSUED		
12.	UI Trust Funds	
13.	Reimbursable Funds	
14.	Federal Funds	

Comments:

OMB No.: 1205-0154

OMB Expiration Date: 04/30/2009

OMB Burden Hours: 30 Minutes

OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

UI REPORTS HANDBOOK NO. 401

ETA 8401 Monthly Analysis of Benefit Payment Account

B. Purpose

State Workforce Agencies (SWAs) should withdraw from the Unemployment Trust Fund only amounts sufficient to pay benefit checks or warrants actually issued in accordance with the Treasury-State Agreement executed under the Cash Management Improvement Act of 1990. The electronic funds transfer system used by the Trust Funds Branch in the U.S. Treasury permits fund requests received by noon eastern time to be deposited and available in the state's benefit payment account usually by the following day. The ETA 8401 is a record of benefit payment account transactions recorded in the books of each state. The ETA 8401 allows the National Office and the SWAs to monitor the amount of monies kept in the benefit payment account.

C. Due Date and Transmittal

This report will be submitted electronically and is due in the National Office the 1st day of the second month after the month reported. January reports are due the 1st of March.

D. General Reporting Instructions

All transactions in the benefit payment account are to be reported through the ETA 8401 except for benefits/payments made for Trade Readjustment Assistance (TRA) and Alternative Trade Adjustment Assistance (ATAA) programs. Data used in preparing the ETA 8401 report must be obtained from the books of the state employment security agency. If benefit payment accounts are maintained in more than one bank, a separate report is to be prepared for each account.

The beginning balance, item 1, should agree with the ETA 2112 balance brought forward, line 1, column F. The ending balance should agree with line 46, column F (see instructions for the ETA 2112). If there is more than one benefit payment account, the sum of all ETA 8401 information should be used to compare with ETA 2112 information. The ETA National Office will compare balances reported on the ETA 8401 with the balances reported on the ETA 2112. All differences must be reconciled timely.

Only whole dollar figures should be reported.

Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports Users Manual, Appendix C.

E. Definitions

1. Account Number. The last 5 digits of the account number will be used. No spaces, letters, or characters will be used. Each account's last 5 digits will be unique thereby enabling tracking of separate accounts.

UI REPORTS HANDBOOK NO. 401

ETA 8401 Monthly Analysis of Benefit Payment Account

2. Commingled/Separate. A separate benefit payment account is an account which contains only unemployment funds, both state and Federal (withdrawals from EUCA and FECA). Commingled accounts contain other, non-unemployment state or Federal funds. A 'C' is entered for commingled accounts and an 'S' is entered for separate accounts.

F. Item by Item Instructions

Instructions are given only when clarification beyond the title of the item is needed.

1. Beginning Balance. Enter on this line the closing balance for the previous month.
2. Total Deposits. Enter the total dollar amount of deposits made to the benefit payment account during the month reported.
3. Total Checks Issued. Enter the total dollar amount of checks/warrants issued from the benefit payment account during the month reported.
4. Ending Balance. (Item 1 + item 2) minus item 3.
5. Total of Daily Ledger Balances. Enter the sum of daily closing ledger balances.
6. Average Daily Balance. The average daily balance is computed by adding the daily ledger balances for each day in the month, including Saturdays, Sundays and Holidays, and dividing the total by the total number of calendar days in the month.
7. Percent of Average Daily Balances to Checks Issued. Enter the percent of Average Daily Balance in item 6., to total checks issued in item 3. This percentage figure shall be carried to two decimal places; for example, 17.77 or 0.23. These percentage figures are not to be rounded.
8. UI Trust Funds. In item 8, show total amount received from the state account in the Unemployment Trust Fund pursuant to Section 904(f), Social Security Act and deposited in the benefit payment account to pay regular UI, 100% of state and local government EB, the 50% state share of EB under PL 91-373. In item 12, show the total amount disbursed for regular unemployment compensation, EB for state and local governments, and the state share of EB under the Federal/State Extended Unemployment Compensation Act (PL 91-373).
9. Reimbursable Funds. In item 9, show the total amount received as advances or reimbursements and deposited in the benefit payment account for Federal share regular UI and EB under PL 91-373, and emergency compensation if Federal reimbursements are deposited directly to the benefit payment account. Also, show amounts received from other states and deposited directly into the benefit payment account. In item 13, show the total amount disbursed from reimbursable funds.

UI REPORTS HANDBOOK NO. 401

ETA 8401 Monthly Analysis of Benefit Payment Account

10. Federal Funds. In item 10, show the total amount of funds received and deposited in the benefit payment account for the payment of benefits attributable to UCFE (including Postal Workers) and UCX. In item 14, show total amount disbursed through the benefit payment account for UCFE (including Postal Workers) and UCX.
11. Refunds. In item 11, show the total amount of recoveries to the benefit payment account during the month under the regular unemployment insurance program. If there are any other refunds such as UCFE (including Postal Workers) and UCX, they should be broken down and explained in the comments section.
12. Check Issued (UI Trust Funds). Enter the amount of line 3 (Total Checks Issued) attributable to check issued for regular UI (line 12).
13. Check Issued (Reimbursable Funds). Enter the amount of line 3 (Total Checks Issued) attributable to check issued for reimbursable payment (line 13).
14. Check Issued (Federal Funds). Enter the amount of line 3 (Total Checks Issued) attributable to check issued for UCFE/UCX (line 14).

UI REPORTS HANDBOOK NO. 401

ETA 8403 Summary of Financial Transactions - Title IX Funds

CONTENTS

- A. Facsimile of FormIII-2-2
- B. Purpose.....III-2-3
- C. Due Date and TransmittalIII-2-3
- D. General Reporting InstructionsIII-2-3
- E. Definitions.....III-2-3
 - 1. Allocation.....III-2-3
 - 2. Appropriation.....III-2-3
 - 3. Enactment DateIII-2-4
 - 4. Expiration Date.....III-2-4
 - 5. ObligationIII-2-4
 - 6. ExpenditureIII-2-4
 - 7. DisbursementIII-2-4
 - 8. AmortizationIII-2-4
 - 9. Redeposit.....III-2-4
- F. Item by Item Instructions.....III-2-4
 - 1. Column I - Credited to Unemployment Trust Fund Account.....III-2-4
 - 2. Column II - Redeposits to Trust FundIII-2-5
 - 3. Column III - Appropriations.....III-2-5
 - 4. Column IV - Withdrawals.....III-2-6
 - 5. TotalsIII-2-6
- G. Checking the ReportIII-2-6

UI REPORTS HANDBOOK NO. 401

ETA 8403 Summary of Financial Transactions - Title IX Funds

A. Facsimile of Form

ETA 8403, SUMMARY OF FINANCIAL TRANSACTIONS
 Title IX Funds ("Reed Act" Money)

State: _____ Agency: _____ Month Ended: _____ OMB Approval No. 1205-0154

I		II	III				IV			
CREDITED TO UNEMP. TRUST FUND ACCT.		REDEPOSITS TO TRUST FUND	APPROPRIATIONS				WITHDRAWALS			
DATE	AMOUNT		(a) ENACTED		(b) OBLIGATED		(c) UNOBLIGATED BALANCE	(a) FROM TRUST FUND	(b) EXPENDED	(c) UNEXPENDED BALANCE
		DATE	AMOUNT	DATE	AMOUNT					
TOTAL										

Signed _____ Title _____
 Date _____

OMB No.: 1205-0154 **OMB Expiration Date:** 04/30/2009 **OMB Burden Hours:** 30 Minutes

OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

UI REPORTS HANDBOOK NO. 401

ETA 8403 Summary of Financial Transactions - Title IX Funds

B. Purpose

Form ETA 8403 provides a cumulative summary of expenditures of state unemployment funds pursuant to Section 903(c)(2) of the Social Security Act (SSA), the "Reed Act" as amended. The information reported is used for cash flow monitoring and financial accounting and is the basis for certifying the amount of Reed Act obligations set aside in a Reed Act "sub-account" in a State Unemployment Trust Fund (UTF) account as described in UIPL No. 5-90.

C. Due Date and Transmittal

Report data will **not** be submitted electronically but by mail or facsimile of ETA 8403, to be received no later than the 1st day of the second month following the month for which activity is reported. January reports are due by the 1st of March. (See Introduction and General Reporting Instructions, Section I for the address.) A Form ETA 8403 should be submitted only for those months in which Reed Act transactions have occurred, however, an updated report for the last month of the Federal fiscal year (September) is required from **all** States.

D. General Reporting Instructions

Form ETA 8403 is to be submitted for each month in which there is a legislative action and/or an unemployment fund transaction, e.g., an appropriation enacted, funds obligated, withdrawn from the UTF account, or expended, amortization amounts redeposited to the UTF account, or restoration of amounts used to pay benefits. **Each** state must submit the form updated and made current as of the close of each Federal fiscal year (September 30), even if no activity occurred during the year. The heading of the form includes the state name, the state agency name, and the report date, which will be completed using the last day of the month, e.g., 1/31/94. The form must be signed by the Administrator of the agency, the Unemployment Insurance Director, or other official designated by the agency administrator as responsible for the data provided. Machine generated forms may be used but must not exceed 82 by 11 inches.

E. Definitions

1. **Allocation.** A transfer of funds from the employment security administration account to a state account in the UTF pursuant to Section 903(a), SSA.
2. **Appropriation.** An action by the legislative body of a state, authorizing the use of Reed Act funds for employment security administration under conditions set out in Section 903(c)(2), SSA. The legislative action must be specific as to the purpose(s) for which funds are appropriated, the amount appropriated, and include a 2-year limit, beginning with the date of enactment, after which the appropriation expires and such funds may not be obligated.

UI REPORTS HANDBOOK NO. 401

ETA 8403 Summary of Financial Transactions - Title IX Funds

3. Enactment Date. The date on which a legislative action appropriating Reed Act funds becomes law. In some states, a legislative action becomes law on the effective date stated in the legislation; in other states, the date on which the legislation is approved or signed by the governor of the state.
4. Expiration Date. The date, 2 years after the enactment date, upon which an appropriation expires and after which funds may not be obligated. For example: Enactment date 4/1/94, Expiration date 3/31/96.
5. Obligation. Pursuant to a legislative appropriation, the costs of orders placed, contracts and subcontracts awarded, goods and services received, or any similar transaction which occurs on a specific date that requires the disbursement of funds on the same date or on a future date.
6. Expenditure. Obligated funds which have been withdrawn from a state's account in the UTF for disbursement.
7. Disbursement. Funds withdrawn from a state's account in the UTF and used for the payment of a mature obligation.
8. Amortization. The scheduled repayment of a Reed Act expenditure with Title III grant funds or other fund source. Repayment with Title III grant funds is allowable only for recovery of expenditures used in the acquisition or major renovation of state-owned buildings or the acquisition of automated data processing installations.
9. Redeposit. The deposit to a state account in the UTF of a scheduled amortization payment or the recovery of an expenditure from sales proceeds or the disposition of Reed Act property and equipment. All other recoveries are treated as reductions in the amount of disbursements and obligations.

F. Item by Item Instructions

1. Column I-Credited to Unemployment Trust Fund Account. Enter the effective date and the amount of the following three types of transactions in this column:
 - a. Allocations to the State's UTF account pursuant to Sections 903(a) and 903(b), SSA, including adjustments. (Some states will also have adjusting entries as one or more allocations were changed).
 - b. Any amount(s) of Reed Act funds used to pay benefits, must be entered as a negative figure in column I. The total allocation is reduced accordingly.
 - c. When Reed Act funds previously used to pay benefits are restored to availability as provided in Section 903(c)(3), SSA, such amount shall be entered as a positive figure in column I. The total allocation is increased accordingly.

UI REPORTS HANDBOOK NO. 401

ETA 8403 Summary of Financial Transactions - Title IX Funds

Note: Interest credited to a State account in the Unemployment Trust Fund by the U.S. Treasury may not be apportioned to or otherwise credited to "Reed Act" funds.

2. Column II-Redeposits to Trust Fund. Enter amounts resulting from the following types of transactions in this column:
 - a. Amounts redeposited from amortization of authorized expenditures for real estate and ADP acquisitions and the major renovation of State-owned buildings.
 - b. Recoveries from the sale of Reed Act property, not to exceed the amount of the original expenditure.

No other returns of funds may be entered in this column. The return of undisbursed amounts previously withdrawn from the UTF account must be entered as a negative amount, as appropriate, in column IV(a). Redeposits of funds are also reported on line 14, in columns C and D of Form ETA 2112, UI Financial Transaction Summary for the same month as reflected on Form ETA 8403.

Note: Rents received on the use of Reed Act properties and interest earned or profits realized on the sale or disposition of real estate or other property acquired with Reed Act funds, must be paid into the state's UTF account but cannot be apportioned or credited to "Reed Act" funds.

3. Column III-Appropriations.
 - a. Enacted. Enter in these columns the exact date and amount of each appropriation enacted by the state legislature. If an appropriation expires (2 year limit) or is otherwise invalidated or reduced before being obligated, enter the invalidated, reduced, or expired amount as a negative entry directly below the original appropriation amount. The total amount of appropriations is reduced accordingly.
 - b. Obligated. Enter in these columns the exact date and amount of an appropriation actually obligated on the same line as the relevant appropriation amount in column III(a). If more than one obligation is made against the same appropriation, the date and amount of each subsequent obligation is shown in chronological order. Obligated funds which are not expended are entered as a negative figure directly below the original obligation amount, thereby reducing the original obligation. The total amount of obligations made against the same appropriation cannot exceed the total appropriation amount.
 - c. Unobligated Balance. For each appropriation, enter the difference between the total amount appropriated in column III(a) and the total amount obligated

UI REPORTS HANDBOOK NO. 401

ETA 8403 Summary of Financial Transactions - Title IX Funds

in column III(b). When the entire appropriation is obligated, enter "0" in this column (c). The amount of any unobligated balance in this column, upon expiration of the appropriation or completion of a contract, should be shown as a negative figure directly below the appropriate obligation amount in column III(b).

4. Column IV-Withdrawals.

- a. From Trust Fund. For each obligation amount in column III(b), enter the cumulative amount of funds withdrawn from the State's UTF account for payment as of the end of the report month. Each entry should be shown on the same line as the corresponding obligation amount in column III(b). The cumulative amount withdrawn must not exceed the total amount of the related obligation.

Amounts withdrawn must also be reported on line 41, in columns C and E of Form ETA 2112 for the appropriate month. Withdrawn amounts which are not disbursed within 1 week must be returned to the state's UTF account and shown as a negative figure below the original cumulative amount. Withdrawals should be limited to the amount of currently payable obligations, therefore, negative entries should be minimal.

- b. Expended. For each amount withdrawn in column IV(a), enter the cumulative amount of funds that were actually disbursed as of the end of the report month. Each entry should be made on the same line as the related amount withdrawn in column IV(a). Amounts disbursed should equal corresponding amounts withdrawn since withdrawals should be made only for payments due within 1 week.
- c. Unexpended Balance. On the same line, enter the difference between each set of related amounts withdrawn and disbursed shown in columns IV(a) and IV(b). Since only currently payable obligations are withdrawn, entries in column IV (c) should be minimal and should not be shown on two successive report months. When undisbursed withdrawals are returned to the Trust Fund, enter "0" in column IV (c).

5. Totals. For each monetary column, enter the sum of amounts reported in spaces provided at the foot of the column.

G. Checking the Report

- The total amount reported for each monetary column should equal the sum of the entries in the column.
- The total of column I cannot exceed the total amount of allocations made to the state.

UI REPORTS HANDBOOK NO. 401

ETA 8403 Summary of Financial Transactions - Title IX Funds

- The total of column II cannot exceed the total of column IV(b).
- The total of column III(a) may exceed the combined totals of columns I and II since appropriations may be enacted in anticipation of funds becoming available.
- The total of column III(b) cannot exceed the total of column III(a).
- The total of column III(b) plus the total of column III(c) should equal the total of column III(a).
- The total of column IV(a) cannot exceed the total of column III(b).
- The total of column IV(b) cannot exceed the totals of columns III(b) and IV(a).

UI REPORTS HANDBOOK NO. 401

ETA 8405 Monthly Analysis of Clearing Account

CONTENTS

A. Facsimile of FormIII-3-2

B. Purpose.....III-3-3

C. Due Date and TransmittalIII-3-3

D. General Reporting InstructionsIII-3-3

E. Definitions.....III-3-3

 1. Account NumberIII-3-3

 2. Commingled/Separate.....III-3-3

F. Item by Item Instructions.....III-3-4

 1. Beginning BalanceIII-3-4

 2. Total DepositsIII-3-4

 3. Total Transfers to Trust Fund.....III-3-4

 4. Total Deductions for Other PurposesIII-3-4

 5. Ending BalanceIII-3-4

 6. Average Daily BalanceIII-3-4

 7. Percent of Average Daily Balances to Total DepositsIII-3-4

UI REPORTS HANDBOOK NO. 401

ETA 8405 Monthly Analysis of Clearing Account

A. Facsimile of Form

ETA 8405 - MONTHLY ANALYSIS OF CLEARING ACCOUNT

STATE	REGION	REPORT FOR PERIOD ENDING
Bank Name:		Bank City:
Account Number:		Commingled/Separate:
LEDGER		
1.	Beginning Balance	
2.	Total Deposits	
3.	Total Transfers to Trust Fund	
4.	Total Deductions Other Purposes	
5.	Ending Balance	
6.	Total of Daily Ledger Balance	
7.	Average Daily Balance	
8.	Percent Average Daily Balance to Total Deposits	
DEDUCTIONS FOR OTHER PURPOSES		
9.	Employer Refunds	
10.	Dishonored Checks	
11.	Interest and Penalty Fund	
12.	Other - Benefits	

Comments

OMB No.: 1205-0154

OMB Expiration Date: 04/30/2009

OMB Burden Hours: 30 Minutes

OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

UI REPORTS HANDBOOK NO. 401

ETA 8405 Monthly Analysis of Clearing Account

B. Purpose

All employer contributions and payments in lieu of contributions must be deposited into a Clearing Account established for unemployment funds and transferred immediately upon availability to the Unemployment Trust Fund. The ETA 8405 report is a record of clearing account transactions recorded in the books of each state.

C. Due Date and Transmittal

This report will be submitted electronically and is due in the National Office the 1st day of the second month after the month reported. January reports are due the 1st of March.

D. General Reporting Instructions

All account balance information for the clearing account is reported on the ETA 8405 report. Data used in preparing the ETA 8405 must be obtained from the books of the state workforce agency. If clearing accounts are maintained in more than one bank, separate reports are to be prepared for each bank account.

Only whole dollar figures should be reported. The beginning balance should agree with the ETA 2112 balance brought forward, line 01, column D. The beginning balance should also agree with the ending balance on the preceding month's 8405 for each account. If there is more than one clearing account, the sum of 8405 beginning balances are used to compare to the ETA 2112. The ending balance should agree with the ETA 2112, line 46, column D (see instructions for the ETA 2112). If there is more than one clearing account, the sum of 8405 ending balances is used to compare ending balances.

Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

E. Definitions

1. Account Number. The last 5 digits of the account number will be used. No spaces, letters, or characters will be used. Each account's last 5 digits will be unique thereby enabling tracking of separate accounts.
2. Commingled/Separate. A separate clearing account is an account which contains only unemployment funds, i.e., employer contributions and other funds for transfer to the Unemployment Trust Fund. Commingled accounts contain other, non-unemployment state or Federal funds.

UI REPORTS HANDBOOK NO. 401

ETA 8405 Monthly Analysis of Clearing Account

F. Item by Item Instructions

Instructions are given only when clarification beyond the title of the item is needed.

1. Beginning Balance. Enter on this line the closing balance for the previous month.
2. Total Deposits. Enter the total dollar amount of deposits made to the clearing account(s) during the month reported.
3. Total Transfers to Trust Fund. Enter total dollar amount of transfers from the clearing account to the Unemployment Trust Fund.
4. Total Deductions for Other Purposes. Enter the total dollar amount of other payments from the clearing account, e.g., refunds.
5. Ending Balance. (Item 1 + item 2) minus (item 3 + item 4).
6. Average Daily Balance. The average daily balance is computed by adding the daily ledger balances for each day in the month, including Saturdays, Sundays, and Holidays, and dividing by the total number of calendar days in the month.
7. Percent of Average Daily Balances to Total Deposits. Enter the ratio of Average Daily Balance in item 7, to Total Deposits in item 2. This percentage figure shall be carried to two decimal places, for example, 17.77 or 0.23. These percentage figures are not to be rounded.

UI REPORTS HANDBOOK NO. 401

ETA 8413 Income-Expense Analysis UC Fund Benefit Payment Account

CONTENTS

A. Facsimile of FormIII-4-2

B. Purpose.....III-4-4

C. Due Date and TransmittalIII-4-4

D. General Reporting InstructionsIII-4-4

E. Item by Item Instructions.....III-4-4

 1. Account NumberIII-4-4

 2. Beginning BalanceIII-4-4

 3. Total DepositsIII-4-4

 4. Total Withdrawals.....III-4-4

 5. Ending BalanceIII-4-4

 6. Income AnalysisIII-4-5

 7. Expense Analysis.....III-4-5

UI REPORTS HANDBOOK NO. 401

ETA 8413 Income-Expense Analysis UC Fund Benefit Payment Account

A. Facsimile of Form

ETA 8413 - INCOME-EXPENSE ANALYSIS, UNEMPLOYMENT COMPENSATION FUND BENEFIT PAYMENT ACCOUNT

STATE	REGION	REPORT FOR PERIOD ENDING
Bank Name:		Bank City:
Account Number:		
LEDGER		
1.	Beginning Balance	
2.	Total Deposits	
3.	Total Withdrawals	
4.	Ending Balance	
INCOME ANALYSIS		
5.	Total Daily Ledger Balance	
6.	Average Daily Ledger Balance	
7.	Average Daily Float	
8.	Average Daily Collected Balance (Line 6 - Line 7)	
9.	Reserves at 0%	
10.	Average Daily Loanable Balance (Line 8 - Line 9)	
11.	Earning Value at 4.068%	
EXPENSE ANALYSIS		
12.	Checks Deposited: Number at	
13.	Checks on Account: Number at	
14.	Checks on Account: Number at	
15.	Checks on Account: Number at	
16.	Other Costs	
17.	Other Costs	
18.	Other Costs	
19.	Total Costs (Line 12 through Line 18)	
20.	NET PROFIT/LOSS	

Comments:

UI REPORTS HANDBOOK NO. 401

ETA 8413 Income-Expense Analysis UC Fund Benefit Payment Account

OMB No.: 1205-0154

OMB Expiration Date: 04/30/2009

OMB Burden Hours: 30 Minutes

OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

B. Purpose

UI REPORTS HANDBOOK NO. 401

ETA 8413 Income-Expense Analysis UC Fund Benefit Payment Account

The ETA 8413 is a monthly analysis of daily transactions in a state benefit payment account from the books of the bank on which benefit checks or warrants are issued. The ETA 8413 report provides information on bank charges, account balances, and bank compensation. It also assures state UI administrators that the funds for which they are accountable are properly administered by persons or financial organizations acting in a custodial capacity.

C. Due Date and Transmittal

This report will be submitted electronically and is due in the National Office the 1st day of the second month after the month reported. January reports are due the 1st of March.

D. General Reporting Instructions

An ETA 8413 is to be completed each month for each benefit payment account, whether at the same or different banks. It captures information on balances, the bank's earnings and costs attributable to the respective account(s). If more than one account is maintained, a separate ETA 8413 must be completed for each account. The agency will arrange to receive information from banks in time to submit ETA 8413 information to the National Office of ETA. The completed reports should be checked against the monthly Account Analysis and Bank Statement. Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

E. Item by Item Instructions

Instructions are given only when clarification beyond the title of the item is needed.

1. Account Number. Enter the last 5 digits of the account number. No spaces, letters, or characters will be used. Each account's last 5 digits will be unique thereby enabling tracking of separate accounts.
2. Beginning Balance. Enter the balance existing on the last day of the preceding month.
3. Total Deposits. Enter the total dollar amount of deposits made to the benefit payment account(s) during the month reported.
4. Total Withdrawals. Enter the total dollar amount of withdrawals from the benefit payment account(s) during the month reported.
5. Ending balance. (Item 1 + item 2) minus item 3.
6. Income Analysis. This information is available on the monthly Account Analysis the bank should provide for each account.

UI REPORTS HANDBOOK NO. 401

ETA 8413 Income-Expense Analysis UC Fund Benefit Payment Account

Calculations for each of the items in the Income Analysis Section are to be performed by the bank in accordance with current banking procedure, reserve requirements, etc., and reported to the state on the monthly Account Analysis for each account. Each data block must be completed.

The percentage entered by the bank to determine Earnings Value should approximate or exceed the average of the current 3-month interest rate allowed by the U.S. Treasury Department on short term investments.

7. Expense Analysis. Enter in the appropriate data blocks the following:
 - a. Checks Deposited. Enter the number of checks deposited, the rate per check, and the extended total.
 - b. Checks on Account. Enter the number of checks; the rate per check, and the extended total in each block used.
 - c. Other Costs. Identify and extend the cost for each additional service provided for which there is a charge (i.e., armored car service, check stock, reconciliation, etc.).
 - d. Total Cost. Enter the total of all expenses itemized above.
 - e. Net Profit/Loss. Enter the result of subtracting "Total Cost" from "Earnings Value."

UI REPORTS HANDBOOK NO. 401

ETA 8414 Income-Expense Analysis UC Fund Clearing Account

CONTENTS

A. Facsimile of FormIII-5-2

B. Purpose.....III-5-4

C. Due Date and TransmittalIII-5-4

D. General Reporting InstructionIII-5-4

E. Item by Item Instructions.....III-5-4

 1. Account NumberIII-5-4

 2. Beginning BalanceIII-5-4

 3. Total DepositsIII-5-4

 4. Total Withdrawals.....III-5-4

 5. Ending BalanceIII-5-5

 6. Income AnalysisIII-5-5

 7. Expense Analysis.....III-5-5

UI REPORTS HANDBOOK NO. 401

ETA 8414 Income-Expense Analysis UC Fund Clearing Account

A. Facsimile of Form

ETA 8414 – INCOME -EXPENSE ANALYSIS UNEMPLOYMENT COMPENSATION FUND CLEARING ACCOUNT

STATE	REGION	REPORT FOR PERIOD ENDING
Bank Name:		Bank City:
Account Number:		
LEDGER		
1.	Beginning Balance	
2.	Total Deposits	
3.	Total Withdrawals	
4.	Ending Balance	
INCOME ANALYSIS		
5.	Total Daily Ledger Balance	
6.	Average Daily Ledger Balance	
7.	Average Daily Float	
8.	Average Daily Collected Balance (Line 6 - Line 7)	
9.	Reserves at 0%	
10.	Average Daily Loanable Balance (Line 8 - Line 9)	
11.	Earning Value at	
EXPENSE ANALYSIS		
12.	Checks Deposited Local: Number at	
13.	Checks Deposited Tran.: Number at	
14.	Checks on Account: Number at	
15.	Checks on Account: Number at	
16.	Checks on Account: Number at	
17.	Other Costs	
18.	Other Costs	
19.	Other Costs	
20.	Total Costs (Line 12 through Line 19)	
21.	NET PROFIT/LOSS	

Comments:

UI REPORTS HANDBOOK NO. 401

ETA 8414 Income-Expense Analysis UC Fund Clearing Account

OMB No.: 1205-0154

OMB Expiration Date: 04/30/2009

OMB Burden Hours: 30 Minutes

OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

UI REPORTS HANDBOOK NO. 401

ETA 8414 Income-Expense Analysis UC Fund Clearing Account

B. Purpose

The ETA 8414 report is a monthly analysis of activity in a state clearing account from the books of the bank in which employer contributions and payments in lieu of contributions are deposited and transferred to the U.S. Treasury. The ETA 8414 report provides information on bank charges, account balances, and bank compensation. It also assures state UI administrators that the funds for which they are accountable are properly administered by persons or financial organizations acting in a custodial capacity.

C. Due Date and Transmittal

This report will be submitted electronically and is due in the National Office the 1st day of the second month after the month reported. January reports are due the 1st of March.

D. General Reporting Instructions

An ETA 8414 is to be completed each month for each clearing account, whether at the same or different banks. The report captures information on balances, the bank's earnings and costs attributable to the respective account(s). If more than one account is maintained, a separate ETA 8414 must be submitted for each account. The agency will arrange to receive information from banks in time to submit ETA 8414 information to the National Office of ETA.

The completed reports should be checked against the monthly Account Analysis and Bank Statement. Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

E. Item by Item Instructions

Instructions are given only when clarification beyond the title of the report item is needed.

1. Account Number. The last 5 digits of the account number will be used. No spaces, letters, or characters will be used. Each account's last 5 digits will be unique, thereby enabling tracking of separate accounts.
2. Beginning Balance. Enter on this line the balance existing on the last day of the preceding month.
3. Total Deposits. Enter the total dollar amount of deposits made to the clearing account(s) during the month reported.
4. Total Withdrawals. Enter the total dollar amount of withdrawals from the clearing account(s) during the month reported.

UI REPORTS HANDBOOK NO. 401

ETA 8414 Income-Expense Analysis UC Fund Clearing Account

5. Ending Balance. (Item 1 + item 2) minus item 3.
6. Income Analysis. This information is available on the monthly Account Analysis and bank statement the bank should provide for each account.

Calculations for each of the remaining items in the Income Analysis Section are to be performed by the bank in accordance with current banking procedures, reserve requirements, etc., and reported to the state on the monthly Account Analysis for each account. Each data block must be completed.

The percentage entered by the bank to determine Earnings Value should approximate or exceed the average of the current 3-month interest rate allowed by the U.S. Treasury Department on short term investments.

7. Expense Analysis. Enter in the appropriate data blocks the following:
 - a. Checks Deposited. Enter the number of checks deposited; the rate per check and the extended total.
 - b. Checks on Account. Enter the number of checks; the rate per check, and the extended total in each block used.
 - c. Other Costs. Identify the service and the cost for each additional service.
 - d. Total Cost. Enter the total of all expenses itemized above.
 - e. Net Profit/Loss. Enter the result of subtracting "Total Cost" from "Earnings Value."

UI REPORTS HANDBOOK NO. 401

ETA 586 Interstate Arrangement for Combining Employment and Wages

CONTENTS

A. Facsimile of FormIV-1-2

B. Purpose.....IV-1-4

C. Due Date and TransmittalIV-1-4

D. General Reporting InstructionsIV-1-4

 1. Reporting StateIV-1-4

 2. Coverage.....IV-1-4

 3. Timing of Activity Counts.....IV-1-4

 4. Checking the ReportIV-1-4

E. Definitions.....IV-1-4

 1. New ClaimsIV-1-5

 2. Weeks CompensatedIV-1-5

 3. Benefits PaidIV-1-5

 4. Prior Weeks CompensatedIV-1-5

 5. Prior Benefits PaidIV-1-5

 6. CWC First Payment Time Lapse.....IV-1-5

 7. Wage Transfer Time Lapse.....IV-1-6

 8. Intrastate Combined Wage ClaimIV-1-6

 9. Interstate Combined Wage ClaimIV-1-6

 10. Billing Time LapseIV-1-6

 11. Reimbursement Time LapseIV-1-6

F. Item by Item Instructions.....IV-1-7

 1. Section A. Claims and Payment Activities.....IV-1-7

 2. Section B. First Payment and Wage Transfer Responses - Time LapseIV-1-8

 3. Section C. Billing and Reimbursement Time LapseIV-1-9

 4. Comments.....IV-1-10

UI REPORTS HANDBOOK NO. 401

ETA 586 Interstate Arrangement for Combining Employment and Wages

A. Facsimile of Form

ETA 586 - INTERSTATE ARRANGEMENT-EMPLOYMENT AND WAGES

STATE	REGION	REPORT FOR PERIOD ENDING						
SECTION A. CLAIMS AND PAYMENT ACTIVITIES								
State UI	Line No.	New Claims (1)	Persons Establishing Benefit Years (2)	No. Combined Wage Claims Withdrawn (3)	Weeks Compensated (4)	Benefits Paid (5)	Prior Weeks Compensated (6)	Prior Benefits Paid (7)
Intrastate	101							
Interstate Received as Paying State	102							

SECTION B. FIRST PAYMENT AND WAGE TRANSFER RESPONSES - TIME LAPSE				
Time Lapse in Days	First Payment Time Lapse		Wage Requests Received (10)	
	Intrastate (8)	Interstate (9)	Time Lapse in Days	Responses (11)
			Total	
			3 or less	
Total			4 - 6	
7 or less			7 - 10	
8 - 14			11 - 14	
15 - 21			15 - 21	
22 - 28			22 - 28	
29 - 35			29 - 35	
36 - 42			36 - 42	
43 - 49			43 - 49	

UI REPORTS HANDBOOK NO. 401

ETA 586 Interstate Arrangement for Combining Employment and Wages

50 - 56			50 - 56	
57 - 63			57 - 63	
64 - 70			64 - 70	
> 70			> 70	

SECTION C. BILLING AND REIMBURSEMENT TIME LAPSE

Time Lapse in Days	Billing Time Lapse (12)	Reimbursement Time Lapse (13)
Total		
14 or less		
15 - 30		
31 - 45		
46 - 60		
61 - 90		
> 90		

Comments:

OMB No.: 1205-0029 **OMB Expiration Date:** 04/30/2011 **OMB Burden Hours:** 240 Minutes

OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

UI REPORTS HANDBOOK NO. 401

ETA 586 Interstate Arrangement for Combining Employment and Wages

B. Purpose

Public Law 91-373 requires every state to participate in an interstate arrangement for combining employment and wages approved by the Secretary of Labor in consultation with State Workforce Agencies (SWAs). This report will enable the Employment and Training Administration to measure the scope of wage-combining activities and to determine the effects of the program in terms of the number of claims filed, amount of benefits involved, and promptness of first payments and employment and wages transfers.

C. Due Date and Transmittal

A report for each calendar quarter is due in the National Office on the 20th day of the month following the quarter to which it relates. The cut-off date for the report is the last day of the quarter to which the data relates. This report will be transmitted electronically.

D. General Reporting Instructions

1. Reporting States. All items in Section A, columns 8 and 9 in Section B, and column 12 in Section C will be reported by the state in its capacity as the paying state. Columns 10 and 11 in Section B and column 13 in Section C will be reported by the state in its capacity as the transferring state.
2. Coverage. Data for this report is confined to only those intrastate and interstate claims filed under the combined wage program and paid totally or partially (joint UI/UCFE and UI/UCX) from state UI funds.
3. Timing of Activity Counts. New claims should be counted at the time when the paying state identifies the claim as being filed under the combined wage arrangement. This identification should occur on the date the claim is filed when the claimant requests a determination under the combined wage arrangement, but may occur after an ineligible monetary determination or a determination for less than maximum benefits is issued and the claimant subsequently requests a determination under the combined wage arrangement.
4. Checking the Report. Entries should be made for all items. If no activity corresponding to the items occurred during the report period, a zero should be entered. A report containing missing data cannot be sent to the National Office but can be stored on the state's system. Edit checks can be found in Handbook 402, Unemployment Insurance Required Report User's Manual, Appendix C.

E. Definitions

Definitions, unless otherwise specified in these instructions, will follow the definition for the ETA 5159 and ETA 9050 found elsewhere in this handbook.

UI REPORTS HANDBOOK NO. 401

ETA 586 Interstate Arrangement for Combining Employment and Wages

1. New Claims. A new combined wage claim is any new claim filed under the Interstate Arrangement for Combining Employment and Wages. In many cases, a claimant may request to file a combined wage claim only after being issued an ineligible monetary determination or one indicating entitlement to less than the maximum benefits on a regular claim. For purposes of this report, the claim is reportable as a new combined wage claim at the time the claimant requests a determination under the combined wage arrangement. A new combined wage claim reported as a result of a redetermination of a regular claim that was previously reported as an initial claim on the ETA 5159 should not again be reported as an initial claim on the ETA 5159.
2. Weeks Compensated. The count for weeks compensated is the total of all weeks paid to all combined wage claimants during the quarter for the weeks compensated reported in column 4 plus the total amount of adjustment payments paid during the quarter for prior weeks compensated shown in column 6 or on previous reports.
3. Benefits Paid. The amount of benefits paid is the total of all benefits paid to all combined wage claimants in the quarter which relates to the weeks compensated reported in column 4 and adjustment payments which relate to prior weeks paid shown in column 6.
4. Prior Weeks Compensated. The count for prior weeks compensated is the total of all weeks paid in quarters prior to the reporting quarter and not previously reported on this report, i.e., weeks paid in prior quarters prior to the combined wage monetary determination. This count is to be reported in the quarter during which a combined wage monetary determination is issued.
5. Prior Benefits Paid. The amount of prior benefits paid is the total of all benefits paid to all combined wage claimants in quarters prior to the reporting quarter which relates to the weeks compensated reported in column 6.
6. CWC First Payment Time Lapse. A measurement of the number of days from the week ending date of the first compensable week in the benefit year and the date of the first payments reflecting a monetary determination (or redetermination) based on employment and wages from more than one state.

When a claim is originally filed as a combined wage claim or a regular claim, and payment has been issued solely on the basis of separate eligibility in the paying state, the time lapse in issuing the first combined wage benefit payment is the number of days representing the time between the end of the first week compensated in the benefit year and the date of the adjustment payment for prior weeks paid, if necessary, or the payment for the first week compensated, whichever occurs first, following the combined wage monetary determination/redetermination.

UI REPORTS HANDBOOK NO. 401

ETA 586 Interstate Arrangement for Combining Employment and Wages

The date of the payment is the date on which the check is paid in person, mailed, electronically transmitted to the claimant's bank account, or an offset or intercept is applied on the claim. The mail date is the date the SWA actually mails the first payment to the claimant. SWAs determine the mail date and provide DOL with their procedure(s) to derive it.

When multiple weeks are paid at the same time, the earliest week is reported as the first payment.

7. Wage Transfer Time Lapse. Wage transfer time lapse is the time between the date the Request for Wage Transfer is received by the transferring state and the date the requested information is sent to the requesting state. For electronic transactions, the time lapse is the time between the date the telecommunicated request is received (import date) and the date the response marked "Transaction Completed" is transmitted (export date) to the requesting state.
8. Intrastate Combined-Wage Claim. An intrastate combined wage claim is a claim filed under this arrangement, when the filing state and the paying state are the same. However, weeks compensated and the related benefits paid are not reportable on this report until the benefits paid for such weeks are based on a monetary determination that includes employment and wages from two or more states.
9. Interstate Combined-Wage Claim. An interstate combined wage claim is a claim filed under this arrangement, when the filing state and the paying state are not the same. However, weeks compensated and the related benefits paid are not reportable on this report until the benefits paid for such weeks are based on a monetary determination that includes employment and wages from two or more states.
10. Billing Time Lapse. Billing time lapse is the number of days from the end of the calendar quarter to the date that the Statement of Benefits Paid to Combined Wage Claimants (Form IB-6) during that quarter is sent to the transferring state.
11. Reimbursement Time Lapse. Reimbursement time lapse is the number of days from the date that the transferring state receives a Statement of Benefits Paid to Combined Wage Claimants to the date that the transferring state's reimbursement payment is mailed to the paying state, electronically transmitted to the paying state's bank account, or transferred to the paying state's UI Trust Fund Account. For this purpose, mail date is either (a) the date on the check, or (b) if the date on the check is not available, the authorization date in the state's automated system plus one, two, or three days for the agency to complete the reimbursement payment transaction and mail the authorization.

UI REPORTS HANDBOOK NO. 401

ETA 586 Interstate Arrangement for Combining Employment and Wages

F. Item by Item Instructions

1. Section A. Claimant and Payment Activities. Report combined wage claim activity for "Intrastate" and "Interstate" separately in lines 101 and 102 according to the definitions in E.8 and E.9 above.
 - a. Column 1. New Claims. Enter the number of new claims filed under the combined wage arrangement. This filing may occur at the point of the initial claim or later in the claim series. (This number should be the same as the total number of claimants for which a first Request for Transfer of Wages was sent during the quarter.)
 - b. Column 2. Persons Establishing Benefit Years. Enter the number of persons who established benefit years with a monetary determination based on employment and wages from more than one state.
 - c. Column 3. Number of Combined Wage Claims Withdrawn. Enter the number of claimants who, after filing a combined wage claim, elected to withdraw the claim within the period prescribed by the law of the paying state for filing an appeal, protest, or request for redetermination, as the case may be, from a monetary determination.
 - d. Column 4. Weeks Compensated. Enter the total number of weeks compensated wholly or partially from state UI funds (including sharable regular weeks compensated) on all claims where the benefit year was established under the rules and policies of the combined wage program. This includes weeks paid during the quarter prior to the combined wage monetary determination. However, weeks previously reported on this report for which adjustment payments are being issued are not to be again reported.

Include count for each week compensated for total, partial, and part-total payments, including:

- (1) Payments reduced or increased by an adjustment for an outstanding overpayment or an underpayment in one or more previous weeks, including weeks where payments are reduced to zero by an offset or Child Support or Food Stamp overissuance intercept. Do not include the count of weeks for which an underpayment adjustment is made; however, the amount paid for such weeks should be included in column 5 whether the adjusted payment was made together with a currently payable week or paid by a separate check.
- (2) Payments reduced because of receipt of income other than wages, as provided by state law.
- (3) Residual payments for less than the full benefit amount.

UI REPORTS HANDBOOK NO. 401

ETA 586 Interstate Arrangement for Combining Employment and Wages

Do not include the previously reported weeks associated with the checks issued to replace lost or returned and redeposited checks.

- e. Column 5. Benefits Paid. Enter the total amount of benefits paid from state UI funds (including sharable regular amounts paid) for all weeks shown in column 4 plus the benefit amount adjustments paid for weeks previously reported.

Do not include the amount of payments made to replace previously reported payments such as lost or returned and redeposited checks.

- f. Column 6. Prior Weeks Compensated. Enter the total number of weeks compensated in quarters prior to the reporting quarter and not previously reported on this report, i.e., weeks paid in prior quarters before the combined wage monetary determination. This retroactive reporting is due to be reported in the quarter during which a combined wage monetary determination is issued.

2. Section B. First Payment and Wage Transfer Responses – Time Lapse.

- a. Column 8 and 9. First Payments – Total and Time Lapse. Enter the number of first payments for total, partial and part-total unemployment in the appropriate Intrastate or Interstate column and individual totals for each time lapse interval.

(1) Determining Date of Payment. See definition E.6 above.

(2) Determining Time Lapse. The time lapse should be computed by subtracting the date on which the first compensable week ended from the date the payment is mailed, e.g., if the first compensable week ended on July 5, and the date the payment was mailed was July 19, the time lapse is 19 minus 5, or 14 days, and the payment should be counted in the interval “8 – 14”; if the compensable week ended on July 5 and the date the payment was mailed was August 20, the time lapse is 31 minus 5 plus 20, or 46 days, and the payment should be counted in the interval “43 – 49.”

- b. Column 10. Wage Requests Received. Enter the total number of paper IB-4s and electronic TC-IB4s received as transferring state during the report period.

- c. Column 11. Responses – Total and Time Lapse. Enter the total number of paper IB-4 and electronic TC-IB4 responses to the paying state, with or without wages available, that completed the response to the wage transfer request (marked “transaction complete”) during the report period, and individual totals for the time lapse interval.

UI REPORTS HANDBOOK NO. 401

ETA 586 Interstate Arrangement for Combining Employment and Wages

- (1) Determining Date of Response. The date of response for an electronic TC-IB4 response is the export date, obtained from the automated IB-4 system, of each response marked “transaction complete.” For paper IB-4, the date of response is the mailing date.
- (2) Determining Time Lapse. The time lapse for electronic transactions is the number of days between the date the telecommunicated request is received (import date) and the date the response marked “Transaction Completed” is transmitted (export date) to the requesting state. For paper IB-4, the date of response is the mailing date.

The time lapse should be computed by subtracting the request import date from the export date of the response; e.g., if the request import date is July 5, and the response export date is July 19, the time lapse is 19 minus 5, or 14 days, and the response should be counted in the class interval “8 – 14”; if the request import date is July 5 and the response export date is August 20, the time lapse is 31 minus 5 plus 20, or 46 days, and the response should be counted in the class interval “43 – 49.” For paper IB-4 responses, the date the request was received is subtracted from the date the response is mailed.

3. Section C. Billing and Reimbursement Time Lapse.

- a. Column 12. Billing – Total and Time Lapse. Enter the total number of statement of charges sent to transferring states during the report period on the “Total” line and individual totals for each time lapse interval.
 - (1) Determining Time Lapse. For paper IB-6s, the date of billing is the mailing date. For electronic transactions, the date of billing is the export date of the transactions.

The time lapse is the number of days from the quarter ending date to the mailing date or export date of the bill. The time lapse should be computed by subtracting the quarter ending date from the mailing/export date of the bill; e.g., if the quarter ended on June 30, and the bill is mailed/exported on July 19, the time lapse is 19 days, and the billing time lapse should be counted in the interval “15 – 30”; if the quarter ending date is June 30 and the bill is mailed/exported on August 20, the time lapse is 31 plus 20, or 51 days, and the bill should be counted in the interval “46 – 60.”

- b. Column 13. Reimbursement – Total and Time Lapse. Enter the total number of statements of charges reimbursed during the report period on the “Total” line and individual totals for each time lapse interval.
 - (1) Determining Time Lapse. The time lapse is the number of days from the date of receipt of a bill from the paying state and the mailing date of

UI REPORTS HANDBOOK NO. 401

ETA 586 Interstate Arrangement for Combining Employment and Wages

the reimbursement check the export date of the electronic deposit to the paying state's account, or transferred to the paying state's UI Trust Fund Account. The time lapse should be computed by subtracting the bill receipt date from the mailing/export date of the reimbursement; e.g., if the bill receipt date is July 5, and the reimbursement is mailed/exported on July 19, the time lapse is 19 minus 5, or 14 days, and the reimbursement time lapse should be counted in the interval "14 days or less"; if the bill receipt date is July 5, and the reimbursement is mailed/exported on August 20, the time lapse is 31 minus 5 plus 20, or 46 days, and the reimbursement should be counted in the interval "46 – 60."

4. Comments. Lines are provided for comments on the screen. Enter comments to explain large or unusual changes in the amount of activity reported, major differences between the total requests received reported in column 10 and the total responses reported in column 11, and to indicate any specific problems with timely receipt of employment and wage transfer requests.

UI REPORTS HANDBOOK NO. 401

ETA 9016 Alien Claims Activity Report

CONTENTS

A. Facsimile of FormIV-2-2

B. Purpose.....IV-2-3

C. Due Date and TransmittalIV-2-3

D. General Reporting InstructionsIV-2-3

E. Definitions.....IV-2-3

 1. Primary VerificationIV-2-3

 2. Secondary VerificationIV-2-4

F. Item by Item Instructions.....IV-2-4

UI REPORTS HANDBOOK NO. 401
ETA 9016 Alien Claims Activity Report

A. Facsimile of Form

ETA 9016 - ALIEN CLAIMS ACTIVITIES

STATE	REGION	REPORT FOR PERIOD ENDING
1.	Initial claims where claimant is not a citizen	
2.	Number of claimants whose alien status was verified through the INS primary system	
3.	Number of secondary verifications	
4.	Nonmonetary determinations regarding alien status	
5.	Denials attributable to alien status	

Comments:

OMB No.: 1205-0268 **OMB Expiration Date:** 07/31/2011 **OMB Burden Hours:** 60 Minutes
OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

UI REPORTS HANDBOOK NO. 401
ETA 9016 Alien Claims Activity Report

B. Purpose

The Immigration Reform and Control Act (IRCA) of 1986, Public Law 99-603, amended the Social Security Act by adding to Section 1137 - "Income and Eligibility Verification System." Section 1137 provisions require States to verify, through the Immigration and Naturalization Service (INS), the legal status of all aliens applying for benefits under certain federally assisted and federally funded programs, including Unemployment Compensation.

To facilitate the required verification, INS developed the Systematic Alien Verification for Entitlement (SAVE) system. SAVE consists of automated and manual procedures by which states obtain information about an alien's immigration status that will allow them to determine the alien's eligibility for unemployment compensation.

The information provided on the ETA 9016 Report is used by the Department of Labor to:

1. Assess the magnitude of alien claims and issues affecting eligibility;
2. Make decisions as to the appropriateness and value of state use of the SAVE system; and
3. Determine whether a state's administrative costs associated with SAVE are reasonable.

C. Due Date and Transmittal

The report is due in the ETA National Office on the 25th day of the month following the quarter to which the data relates. This report should be transmitted electronically.

D. General Reporting Instructions

Data should be reported for those claimants who indicated or were otherwise discovered to not be a citizen of the United States.

Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

E. Definitions

1. Primary Verification. An inquiry by an automated access method to the INS data base. The INS reply provides identifying information on an alien, including the following fields: name, date of birth, country of birth, SSN, and INS status.

UI REPORTS HANDBOOK NO. 401

ETA 9016 Alien Claims Activity Report

2. Secondary Verification. An inquiry of an alien's immigration status after, or in lieu of, using the INS primary verification process. Verification is performed by using various automated or manual sources.

F. Item by Item Instructions

1. Enter the number of new initial and additional claims filed during the quarter where the claimant indicated or was otherwise discovered not to be a citizen of the United States. The numbers reported for this item should match the alien initial claims workload data on the UI-3 Report.
2. Enter the number of claimants verified through the INS designated primary system during the quarter. This includes inquires for new, additional, and reopened claims at time of filing and any inquires made which were required during the continued claim process. Those states for which the Secretary of Labor has granted a waiver from participation in primary verification process will enter zero for this item.
3. Enter the number of secondary verifications made through the INS during the quarter.
4. Enter the number of nonmonetary determinations during the quarter pertaining to immigration status, regardless of whether or not the issues were detected through the SAVE process. Include authorization to work issues of noncitizens with visas. Omit other issues, such as separation or availability, that do **not** involve alien status. *Note:* determinations counted here should also be included on the ETA 9052 Report.
5. Enter the number of denials resulting from issues in number 4 above.

UI REPORTS HANDBOOK NO. 401

ETA 227 Overpayment Detection and Recovery Activities

CONTENTS

A. Facsimile of FormIV-3-2

B. Purpose.....IV-3-5

C. Due Date and TransmittalIV-3-5

D. General Reporting InstructionsIV-3-5

 1. Amended ReportsIV-3-5

 2. Coverage.....IV-3-5

 3. AuditsIV-3-5

 4. Checking the ReportIV-3-6

E. Definitions.....IV-3-6

F. Item by Item Instructions.....IV-3-10

 1. Section A. Overpayments Established - CausesIV-3-11

 2. Section B. Overpayments Established – Methods of DetectionIV-3-11

 3. Section C. Recovery/ReconciliationIV-3-12

 4. Section D. Criminal/Civil ActionsIV-3-14

 5. Section E. Aging of Benefit Overpayment AccountsIV-3-14

 6. Comments.....IV-3-15

A. Facsimile of Form

UI REPORTS HANDBOOK NO. 401

ETA 227 Overpayment Detection and Recovery Activities

ETA 227 OVERPAYMENT DETECTION/RECOVERY

STATE:	REGION:	REPORT FOR PERIOD ENDING:
---------------	----------------	----------------------------------

SECTION A. OVERPAYMENTS ESTABLISHED - CAUSES

Cause	Line No.	Number of Schemes (1)	Number of Cases		Dollar Amounts	
			UI (2)	UCFE/UCX (3)	UI (4)	UCFE/UCX (5)
Fraud - Total	101					
Multi Claimant Schemes	102					
Nonfraud - Total	103					
Reversals	104					
SWA Errors	105					
Employer Errors	106					
Claimant Errors	107					
Other	108					
Penalty	109					
Total - Fraud, Nonfraud and Penalty	110					

SECTION B. OVERPAYMENTS ESTABLISHED - METHODS OF DETECTION

Method	Line No.	Number of Cases Investigated (6)	Fraud		Nonfraud	
			Number of Cases (7)	Dollars (8)	Number of Cases (9)	Dollars (10)
Controllable - Total	201					
Wage/Benefit Crossmatch	202					
IB Crossmatch	203					
New Hires Systems	204					
Multi-Claimant Scheme Systems	205					
Special Project	206					
Other	207					
Noncontrollable - Total	208					

UI REPORTS HANDBOOK NO. 401

ETA 227 Overpayment Detection and Recovery Activities

Total - Controllable and Noncontrollable	209					
---	-----	--	--	--	--	--

SECTION C. RECOVERY/RECONCILIATION

Item	Line No.	Dollar Amount			
		Fraud		Nonfraud	
		UI(11)	UCFE/UCX(12)	UI(13)	UCFE/UCX(14)
Outstanding at Beginning of Period	301				
Recovered - Total	302				
Cash	303				
Benefit Offset	304				
State Income Tax Offset	305				
By Other States	306				
Other	307				
Waived	308				
Written-Off	309				
Additions	310				
Subtractions	311				
Receivables Removed at End of Period	312				
Outstanding at End of Period	313				
Recovered for Other States	321				

SECTION D. CRIMINAL/CIVIL ACTIONS

Item	Line No.	State/Local Courts		Federal (OIG) (17)
		UI (15)	UCFE/UCX (16)	
Number of Fraud Cases Pending Prosecution at Beginning of Period	401			
Number of Fraud Cases Referred for Prosecution During Period	402			
Number of Cases Prosecution Refused	403			
Number of Convictions Obtained	404			

UI REPORTS HANDBOOK NO. 401

ETA 227 Overpayment Detection and Recovery Activities

Number of Cases Referred for Civil Action	405			
Number of Civil Actions Obtained	406			

SECTION E. AGING OF BENEFIT OVERPAYMENT ACCOUNTS

Accounts Receivable	Line No.	Dollar Amounts	
		UI (18)	UCFE/UCX (19)
90 days or less	501		
91 - 180 days	502		
181 - 270 days	503		
271 - 360 days	504		
361 - 450 days	505		
451 days or more	506		
Total Accounts Receivable	507		

Comments:

OMB No.: 1205-0173 **OMB Expiration Date:** 01/31/2010 **OMB Burden Hours:** 840 Minutes

OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

B. Purpose

UI REPORTS HANDBOOK NO. 401

ETA 227 Overpayment Detection and Recovery Activities

The ETA 227 report provides information on overpayments of intrastate and interstate claims under the state unemployment compensation (UI), and under federal UI programs; i.e., programs providing unemployment compensation for federal employees (UCFE) and ex-servicemembers (UCX), established under Chapter 85, Title 5, U.S. Code. This report will include claims for regular, state additional, and federal-state extended benefits (EB). This report will not include claims of Trade Readjustment Allowances (TRA), Disaster Unemployment Assistance (DUA), or any other temporary federal program, e.g., Temporary Extended Unemployment Compensation (TEUC); such programs have their own separate forms and reporting instructions.

The state agency's accomplishments in principal detection areas of benefit payment control are shown in the ETA 227 report. The Employment and Training Administration (ETA) and state agencies need such information to monitor the integrity of the benefit payment processes in the UI system. Data are provided for the establishment of overpayments, recoveries of overpayments, criminal and civil actions involving overpayments obtained fraudulently, and an aging schedule of outstanding benefit overpayment accounts.

C. Due Date and Transmittal

The ETA 227 report is due quarterly on the first day of the second month after the quarter of reference.

Report for Quarter Ending	Due the Following
March 31	May 1
June 30	August 1
September 30	November 1
December 31	February 1

D. General Reporting Instructions

All applicable data on the ETA 227 report should be traceable to the data regarding overpayments and recoveries in the state's financial accounting system.

1. Amended Reports. If the information changes from that sent on the initial ETA 227 form covering the report period, the state agency will send an amended ETA 227 electronically.
2. Coverage. Reported activity pertains to "Regular," "Federal-State," "Extended," and wholly state financed "Additional" benefits for the UI, UCFE, and UCX programs.
3. Audits. Dollar figures should be traceable to data regarding overpayments and recoveries in the state agency's financial accounting system.

UI REPORTS HANDBOOK NO. 401

ETA 227 Overpayment Detection and Recovery Activities

4. Checking the Report. Entries should be made for all items. If no activity corresponding to the items occurred during the report period, a zero should be entered. A report containing missing data cannot be sent to the national office but can be stored on the state's system. Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

E. Definitions

1. Benefit Offset. Benefits withheld by the state agency to satisfy the requirement for a claimant to repay an overpayment.
2. Case Established. Any single issue involving an overpayment that has been determined for a claimant within a single calendar quarter and for which a formal notice of determination has been issued. An overpayment that covers one or more weeks (or partial weeks) of benefits shall be counted as one case if all weeks of overpayments are included in the same notice of determination.

An overpayment covering consecutive weeks of benefits that span two calendar quarters should be reported for the calendar quarter in which the notice of decision is issued.

3. Case Investigated. The number of cases emanating from a state initiated overpayment detection process for which an investigation regarding a potential overpayment has been concluded. Example: during a wage/benefit crossmatch process, a state agency produces a printout identifying all benefit payments matched against wages in the same quarter. After the printout is screened, requests are sent to employers to identify which weeks in the quarter were worked. When an employer reply indicates overlap with weeks for which benefits were paid, claims are investigated to determine if they were overpaid.
4. Cash. For the purpose of the ETA 227 Report, "cash" means money or ready currency repaid directly by the claimant to the state agency for benefit overpayments.
5. Controllable. Actions initiated by the state agency for the purpose of detecting overpayments, e.g., wage/benefit crossmatch, claims audits.
6. Fictitious Employer Detection Systems. A computerized system for detecting fictitious employers as well as fictitious claimants and multi-claimant schemes. In 1978, a model system was developed and called FEDS (Fictitious Employer Detection System). Any such system that uses a profile to identify characteristics that are fairly common among employers involved in fictitious schemes is included in this definition.
7. Fraud Overpayment. An overpayment for which material facts to the determination or payment of a claim are found to be knowingly misrepresented

UI REPORTS HANDBOOK NO. 401

ETA 227 Overpayment Detection and Recovery Activities

or concealed by the claimant (willful misrepresentation) in order to obtain benefits to which the individual is not legally entitled. All states have definitions for fraud and impose disqualifications for fraudulent misrepresentation to obtain or increase benefits.

8. IB Crossmatch. The Interstate (IB, i.e., interstate benefits) Crossmatch includes two components -- the Interstate Crossmatch and Claimant Locator. The Crossmatch component is used to match interstate claimants against the agent/residence (and sometimes their border state) wage and benefit files to detect unreported wages and/or duplicate claims. The Locator component is used by states to locate individuals with outstanding overpayment balances that the state is unable to locate intrastate. In either case, the state requesting the match creates and sends a record that includes the claimant's social security number and a type of request (crossmatch or locator) identifier to the destination state(s). The responding state matches the records against its wage and benefit files. For each "hit," the responding state creates a response record that includes the reported quarterly wages, employer's name and address, claimant address (if locator record type), etc., as is appropriate to the type of request.
9. Joint Claims. Any combination of UI, UCFE, and UCX. In all joint claims, involving both state UI trust funds and federal program funds, the "number of cases" should be reported under UI only. However, the "dollar amounts" of such overpayments should be allocated to the appropriate columns which represent the pro rata share of the weekly benefit amount.

Payments made under incorrect programs do not constitute an overpayment when administrative adjustments or transfers can be made. However, payments in excess of allowable amount that can not be cleared by an administrative adjustment constitute an overpayment.

10. Multi-Claimant Scheme. Any scheme where an individual or group of individuals collects benefits by fraudulently establishing multiple claims. (Also referred to as fictitious employer schemes.)
11. Multi-Claimant Scheme System. Any proactive, systematic detection activity that uses profiling for the purpose of identifying fictitious employers or fictitious claimants. An example is FEDS (Fictitious Employer Detection System), the model computerized system developed in 1978. Also included in this category are systems used to detect legitimate employers involved with schemes such as "ghost" employees, and multi-claimant schemes not involving employers such as third party fraud schemes.
12. New Hires System. The Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA), otherwise known as "Welfare Reform," requires states to establish New Hires Directories for the purpose of locating parents who are behind in payment of child support. Employers are required to

UI REPORTS HANDBOOK NO. 401

ETA 227 Overpayment Detection and Recovery Activities

report “new hires” information, including wage information, to states. State UI agencies run crossmatches of this information against the UI benefit payment records to identify claimants who have failed to report earnings and, therefore, may have been overpaid UI benefits. This includes both State Directory of New Hires and National Directory of New Hires.

13. Noncontrollable. All categories of overpayments for which the state agency did not take an active role in detection. Examples: tips and leads, appeals reversals, employer protests of benefit charges, etc.
14. Nonfraud Overpayment. An overpayment which the state agency determines is not due to willful misrepresentation. Nonfraud overpayments include overpayments resulting from reversals, state agency errors, employer errors, and claimant errors.
15. Overpayment. Benefits paid to an individual to whom the individual is not legally entitled, whether or not the amount is later recovered or waived. Losses through embezzlement or by theft, other than through the benefit payment process, should not be counted as overpayments.
16. Penalty. Many states assess penalties for fraud. These penalties can be applied in numerous ways. The only penalties reportable on the ETA-227 are those penalties that represent:
 - a. Benefits properly paid that were retroactively included in a penalty assessed for a fraudulent overpayment of another week(s) and are, therefore, subject to recoupment. Example: claimant has been paid benefits for 18 weeks. The state determines that week number 4 was a fraud overpayment attributable to the claimant and assesses a penalty of 10 weeks in addition to the overpayment assessed for week number 4. Week number 4 would be reported as Fraud, and weeks 5-14 would be reported as Penalty.
 - b. Benefits that were claimed and reduced because of a penalty applied to future weeks claimed. Example: Week number 8 was fraudulently claimed; this was detected during week number 17. The state disqualifies the claimant for week number 8 plus three weeks of future benefits, applied to weeks 17-19. Weeks 17-19 become noncompensable, and claimant must certify for these weeks in order to purge the disqualification and collect additional benefits. The maximum benefit amount (MBA) is reduced by the dollar amount of these weeks. Week number 8 would be reported as Fraud, and weeks 17-19 would be reported as Penalty when and if they are claimed and would otherwise be payable to the claimant.

The above are distinguished from penalties assessed that are not reportable on the ETA-227:

UI REPORTS HANDBOOK NO. 401

ETA 227 Overpayment Detection and Recovery Activities

- a. Penalties that disqualify a claimant from future weeks of benefits or reduce the MBA, that do not become “overpayments” because those weeks are never claimed. In the example in “b” above, if weeks 17-19 are not claimed, they would not be reported on the ETA-227.
- b. If a state’s law provides that penalty only delays payment of benefits, i.e., they can be collected at the end of the claim and the MBA is not affected, this is not reportable on the ETA-227.
- c. Penalty (or interest) added to the recoverable amount of fraudulent overpayments that do not represent benefits paid or benefits potentially payable, i.e., penalty/interest that were not paid from the UI Trust Fund but were assessed in conjunction with an overpayment of benefits. These penalties could be assessed in different ways, including (1) as a percentage (e.g., state assesses penalty at the rate of 50% of the benefits obtained by fraud) or (2) as a dollar amount (e.g., state assesses a penalty of \$50 for each incidence of a false statement that results in a fraudulent overpayment).

Note: State laws govern the disposition of penalty/interest that were not paid from the UI Trust Fund but were collected in conjunction with overpayments of state UI benefits. However, such penalty/interest collected from overpaid federal claims (UCFE, UCX) must be deposited into the fund from which the benefits were paid, even though the penalty/interest did not emanate from the UI Trust Fund. Collection of such penalty/interest is reportable on the ETA-191, Statement of Expenditures and Financial Adjustments of Federal Funds for Unemployment Compensation for Federal Employees and Ex-Servicemembers.

17. Receivables Removed. Receivables for which the prospects of collection are unlikely. Not all states have law provisions that permit write-off of overpayments, and therefore, over the years these states have accumulated very large dollar amounts of receivables on their books, even though it will be impossible to recover much of the total. This has created an administrative burden to maintain these records. It has also distorted the amount of overpayments that are shown as collectible, both at the state and National levels.

Formerly, an “allowance for doubtful accounts” had been created for state agencies to enter an amount of receivables for which the prospects of collection were improbable. This item revises “allowance for doubtful accounts” by specifying that receivables will be removed from the report after two years unless recovery is in progress, i.e., currently being offset from a benefit claim, installment repayments in progress, legal/civil action in progress, etc.

18. Recovered for Other States. Overpayments, including penalty and/or interest, recovered for and transferred to another state.

UI REPORTS HANDBOOK NO. 401

ETA 227 Overpayment Detection and Recovery Activities

19. Reversals. Those overpayments that result from redeterminations or appeal decisions that reverse or overturn earlier determinations under which benefits were paid.
20. Special Project. This category is reserved for special detection methods/projects using new methods or technologies.
21. State Income Tax Offset. Money from a state income tax refund that is withheld from a claimant by the state taxing authority and transferred to the state agency to repay a benefit overpayment.
22. UCFE/UCX. Claims under the unemployment compensation federal programs for federal employees (UCFE) and/or ex-servicemembers (UCX), including state additional benefits and Federal-State extended benefits.
23. UI. Claims under the regular state unemployment insurance benefits involving state unemployment insurance funds, including state additional benefits and federal-state extended benefits.
24. Wage/Benefit Crossmatch. Comparison of state agency benefit payment records with wage records created from quarterly reports submitted by employers to determine if the benefits were overpaid due to failure to report earnings. This definition includes the "Model Crossmatch System," any enhancements to this model system or any similar system developed/purchased by a state agency.
25. Waiver. A nonfraud overpayment for which the state agency, in accordance with state law, officially relinquishes the obligation of the claimant to repay. Usually, this is authorized when the overpayment was not the fault of the claimant and requiring repayment would be against equity and good conscience or would otherwise defeat the purpose of the UI law.
26. Write-Offs. An amount of overpayment not subject to further recovery because of a state law provision authorizing cancellation of the overpayment. Usually, write-offs are applied after the statute of limitations expires, bankruptcy has been approved by a court, or the claimant has died.

F. Item by Item Instructions

Reporting instructions for specific items are given only as necessary to supplement headings on the form and the definitions provided in Section E of these instructions.

1. Section A. Overpayments Established - Causes. Overpayments established are classified into two main categories – fraud and nonfraud, with penalty shown separately. Nonfraud overpayments are broken out into subcategories.

UI REPORTS HANDBOOK NO. 401

ETA 227 Overpayment Detection and Recovery Activities

- a. Line 101, Fraud - Total. Enter the totals for all overpayments classified as fraud, including those reported on line 102 below.
 - b. Line 102, Multi Claimant Schemes. Report those cases and dollars included in line 101 that involved multi-claimant schemes detected in any manner, i.e., through a fictitious employer detection system, tips/leads, audits conducted for other purposes, etc.
 - c. Line 103, Nonfraud - Total. Enter the totals for all overpayments classified as nonfraud, i.e., all items reported on lines 104-108. For overpayments that can be traced to one or more sources of error; i.e., state agency, employer, or claimant, count only once under the primary cause of the error.
 - d. Line 108, Other. Enter all nonfraud overpayments not included on lines 104, 105, 106, or 107.
 - e. Line 109, Penalty. Enter the dollar amounts of benefits properly paid that were retroactively included in a penalty assessed for a fraudulent overpayment of another week(s) and are, therefore, subject to recoupment and/or benefits that were claimed and reduced because of a penalty applied to future weeks. (Refer to definition of "Penalty" in Section E.)
 - f. Line 110, Total - Fraud, Nonfraud, and Penalty. Sum the totals for lines 101, 103, and 109.
2. Section B. Overpayments Established -- Methods of Detection. Note: penalty (reported on Section A, line 109) is not applicable and is not reported in Section B.
- a. Column (6), Number of Cases Investigated. For lines 202-204, enter the number of cases investigated to conclusion during the reporting quarter. Example: during the crossmatch process, a state agency produces a printout identifying all claimants with wages in the quarter. After the printout is screened, requests are sent to employers to ascertain which weeks were worked. If employer replies indicate that there is overlap with the weeks for which benefits were paid, claims are investigated to determine if they were overpaid. The number of such investigations during the quarter is reported in column (6).

For line 205, enter the number of schemes that were detected and for which figures are reported in columns (7) and (8). Note: only report the count for a scheme during the quarter in which it is first detected, i.e., if additional cases/dollars are detected during the quarter for a scheme reported in column (6) for a previous quarter, do not enter a count for that scheme in the current quarter.

UI REPORTS HANDBOOK NO. 401

ETA 227 Overpayment Detection and Recovery Activities

- b. Line 201, Controllable - Total. Enter the total of all controllable cases and dollars reported on lines 202-207.
 - c. Line 205, Multi-Claimant Scheme Systems. Only enter the figures for the multi-claimant schemes detected through proactive, systematic processes designed for this purpose. (Refer to the definition in section E above.)
 - d. Line 206, Special Project. This line is reserved for special detection methods/projects using new methods or technologies.
 - e. Line 207, Other. All other controllable detection methods not included on lines 202-206 above. Examples: verification of low earnings, verification of return-to-work, SAVE, workers compensation crossmatch, etc.
 - f. Line 209, Total – Controllable and Noncontrollable. Enter the totals for lines 201 plus 208.
3. Section C. Recovery/Reconciliation. In this section of the report, penalty (as reported on line 109 of section A) is to be included as Nonfraud, columns 13 and 14, as appropriate.

For recoveries, waivers, and write-offs, enter the amounts applicable during the quarter, regardless of when overpayments were established. Any repayment received from a claimant that is refunded during the quarter because of a redetermination, etc., should be subtracted from the amount shown if the original amount had already been entered.

- a. Line 301, Outstanding at the Beginning of Period. Enter amounts of overpayments outstanding at the beginning of this report period. The amounts entered will always be the same as the amounts outstanding at the end of the preceding report period – line 313.
- b. Line 302, Recovered - Total. Enter the amounts of all overpayments recovered. The amounts will be equal to the totals of lines 303-307.
- c. Line 303, Cash. Enter the amounts of all cash repayments made by the claimant to the state agency, i.e., currency, check, money order, etc. Do not include money received via a third party, i.e., liens, garnishments, etc., that are included in line 307.
- d. Line 304, Benefit Offset. Enter the amounts of all dollars recovered through UI benefit offset during the quarter from benefits otherwise payable.
- e. Line 305, State Income Tax Offset. Enter the amounts withheld from claimants by the state taxing authority and transferred to the state agency during the quarter to repay benefit overpayments.

UI REPORTS HANDBOOK NO. 401

ETA 227 Overpayment Detection and Recovery Activities

- f. Line 306, By Other States. Enter the amounts recovered by other state agencies under the CWC requirements or voluntarily, including IRORA, and transferred to the state during the quarter.
- g. Line 307, Other. Recovery of benefit overpayments from sources not listed on lines 303-306 above, e.g., other types of offsets (disability insurance, workers compensation), court actions (civil, criminal), outsourcing (collection by other components of the state government or by private collection agencies).
- h. Line 308, Waived. Enter the overpayment recoveries waived under state law during the report period. Include only overpayments reported in Section A, either for the current quarter or a previous quarter. Do not include overpayments that the state agency no longer has the authority to recover because of expired statute of limitations (write-offs).
- i. Line 309, Overpayments Written-Off. Enter the amounts of all overpayments written-off under the state law during the report period, excluding those dollars that have been previously removed from the reporting system as required by the instructions for line 312.
- j. Line 310, Overpayments – Additions. Enter the dollar amounts of overpayments adjusted upward which have been included in Section A either for this report or any prior report period. Such adjustments may be the result of redeterminations or appeal decisions that increase the amount of overpayments previously reported. If overpayments were recovered during this report period after they had been removed from the reporting system during a previous report period (i.e., reported on line 312 – Receivables Removed at End of Period), the amounts recovered are to be entered here in order to reinstate the overpayment and reflect an accurate ending balance for the period on line 313.
- k. Line 311, Overpayment – Subtractions. Enter the dollar amounts of overpayments adjusted downward which have been included in Section A for this report or any prior report period. Such adjustments are usually the result of redeterminations or appeals decisions that decrease the amount in part or in total of overpayments previously reported.
- l. Line 312, Receivables Removed at End of Period. Enter dollar amounts included on line 301 (Outstanding at Beginning of Period) that have been reported in Section E, line 506 (dollar amounts receivable 451 days or more) each of the last three report periods, unless recovery is in progress. This reporting procedure applies only to the ETA 227 Report; it does not affect state accounting practices. Note: See instructions for line 310 (Overpayments – Additions) regarding reinstatement of amounts removed during a previous report period.

UI REPORTS HANDBOOK NO. 401

ETA 227 Overpayment Detection and Recovery Activities

- m. Line 313, Outstanding at the End of Period. Calculate the dollars outstanding as follows:
- (1). Column 11. (1) Add lines 301 and 310 to line 101, column 4. (2) Add lines 302, 309, 311, and 312. (3) Subtract (2) from (1).
 - (2). Column 12. (1) Add lines 301 and 310 to line 101, column 5. (2) Add lines 302, 309, 311, and 312. (3) Subtract (2) from (1).
 - (3). Column 13. (1) Add lines 301 and 310 to line 103 and 109, column 4. (2) Add lines 302, 308, 309, 311, and 312. (3) Subtract (2) from (1).
 - (4). Column 14. (1) Add lines 301 and 310 to line 103 and 109, column 5. (2) Add lines 302, 308, 309, 311, and 312. (3) Subtract (2) from (1).
- n. Line 321, Recovered for Other States. Enter the amounts recovered by the state for other state agencies under the CWC requirements or voluntarily, including IRORA, and transferred out during the quarter. Include penalty/interest. Note: figures on this line are not included in the calculations for line 313.
4. Section D. Criminal/Civil Actions. Report on Lines 401 through 404 fraud cases referred to state/local/federal prosecuting authorities. Report in Column 17 all prosecutions referred to the U.S. Department of Justice, including those referred by the U.S. Department of Labor's Office of the Inspector General (OIG).
- a. Line 403, Number Cases Prosecution Refused. Include as refusals those cases that were accepted by prosecuting authorities but were not completed before the statute of limitations expired.
 - b. Line 404, Number Convictions Obtained. Count as convictions such court imposed actions as Probation Before Judgment, Pre-Trial Diversion Agreement, Suspended Imposition, or similar deferred sentencing programs.
 - c. Line 405, Number Cases Referred for Civil Action. Enter the number of cases referred to state/local courts in order to obtain a formal judgment for collection of an outstanding overpayment, e.g., liens, levies, garnishment of wages.
5. Section E. Aging of Benefit Overpayment Accounts. The aging schedule separates overpayments Outstanding at End of Period on line 313 by the amount in each age category. The age of an overpayment amount is determined from the date the overpayment was established. For purposes of this report, the date an overpayment is established is the date the overpayment determination was issued. The amount to be reported for each benefit

UI REPORTS HANDBOOK NO. 401

ETA 227 Overpayment Detection and Recovery Activities

overpayment account should reflect the outstanding balance (accounts receivable) at the close of business on the last day of the report period. The sum of Total Accounts Receivable (line 507) must equal the sum of Outstanding at End of Period (line 313).

The amount of overpayments outstanding in each age category under this Section is not a cumulative amount from quarter to quarter. Dollar amounts of overpayment accounts should be reported only once on lines 501-505 for any single reporting period. On each subsequent report, the dollar amount of any remaining balance will move to the next older aging category until it reaches line 506 when it may be reported for three report periods before being removed. For example, an overpayment of \$100 was established and became final on January 18, 2002. If a repayment of \$50 was made on August 5, 2002 and no further repayment is made, the amount of such overpayment would be reported as follows:

Report Period	Category	Line	\$ Report
03/31/2002	90 days or less	501	\$100
06/30/2002	91-180 days	502	\$100
09/30/2002	181-270 days	503	\$50
12/31/2002	271-360 days	504	\$50
03/31/2003	361-450 days	505	\$50
06/30/2003	451 days or more	506	\$50
09/30/2003	451 days or more	506	\$50
12/31/2003	451 days or more	506	\$50
03/31/2004	451 days or more	506	---

6. Comments. Explain significant variations from the norm.

UI REPORTS HANDBOOK NO. 401

ETA 203 Characteristics of the Insured Unemployed

CONTENTS

A. Facsimile of FormIV-4-2

B. Purpose.....IV-4-4

C. Due Date and TransmittalIV-4-4

D. General Reporting InstructionsIV-4-4

 1. Survey Week.....IV-4-4

 2. Population vs. Sample.....IV-4-4

 3. Information Not Available (INA).....IV-4-4

 4. Checking the ReportIV-4-4

E. Definitions.....IV-4-5

 1. Insured UnemployedIV-4-5

 2. IndustryIV-4-5

 3. OccupationIV-4-5

F. Item by Item Instructions.....IV-4-5

 1. Population/SampleIV-4-5

 2. Sex.....IV-4-5

 3. Ethnicity/RaceIV-4-5

 4. Age.....IV-4-5

 5. IndustryIV-4-5

 6. OccupationIV-4-6

 7. Comments.....IV-4-6

G. SamplingIV-4-6

UI REPORTS HANDBOOK NO. 401

ETA 203 Characteristics of the Insured Unemployed

A. Facsimile of Form.

ETA 203 - CHARACTERISTICS OF THE INSURED UNEMPLOYED

STATE		REGION		REPORT FOR PERIOD ENDING			
S E X	Male	Female	INA				
E T H N I C I T Y	Hispanic or Latino	Not Hispanic or Latino	INA				
R A C E	American Indian or Alaskan Native	Asian	Black or African American	Native Hawaiian or Other Pacific Islander	White	INA	
A G E	< 22	22-24	25-34	35-44	45-54	55-59	60-64
	>=65	INA					
I N D U S T R Y	Agriculture/ Forest/Fishing/ Hunting	Mining	Utilities	Construction	Manufacturing	Wholesale Trade	Retail Trade
	Transportation and Warehouse	Information	Finance and Insurance	Real Estate, Rental and Leasing	Professional/ Scientific/ Technical Services	Management of Companies and Enterprises	Administration and Support/Waste Management/ Remedial Services
	Educational Services	Healthcare and Social Assistance	Arts, Entertainment and Recreation	Accommodation and Food Services	Other Services (except Public Administration)	Public Administration	INA

UI REPORTS HANDBOOK NO. 401

ETA 203 Characteristics of the Insured Unemployed

O C C U P A T I O N	Management	Business and Financial Operations	Computer and Math	Architecture and Engineering	Life, Physical and Social Sciences	Community and Social Services	Legal
	Education, Training and Library	Arts, Design, Entertainment Sport and Media	Healthcare Practitioner and Technical	Healthcare Support	Protective Services	Food Preparation and Serving Related	Building and Grounds Cleaning and Maintenance
	Personal Care and Services	Sales and Related	Office and Administrative Support	Farming, Fishing and Forestry	Construction and Extraction	Installation, Maintenance and Repair	Production
	Transportation and Material Moving	Military Specific	INA				

Comments:

OMB No.: 1205-0009 **OMB Expiration Date:** 05/31/2009 **OMB Burden Hours:** 20 Minutes

OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

B. Purpose

The ETA 203 report provides information, by state and for the Nation, about the characteristics of Unemployment Insurance (UI) claimants. This data is useful in describing the population of claimants and determining how that population changes over time and under various conditions. It can also be compared with characteristic figures of the total unemployed as published by the Bureau of Labor Statistics (BLS).

C. Due Date and Transmittal

This monthly report is due in the National Office by the 20th of the month following the month to which the data relate.

D. General Reporting Instructions

1. Survey Week. The survey week is to coincide with the survey week for the Bureau of Labor Statistics' Current Population Survey (CPS) week. This usually represents weeks claimed which are filed during the week containing the 19th of the month. The week containing the 19th of the month is assumed to reflect unemployment experienced during the prior week containing the 12th of the month, the CPS survey week. When the CPS survey week is altered due to holidays, etc., the week used for the ETA 203 should be altered accordingly.
2. Population vs. Sample. Because this data is aggregated, the figures shown on the report should represent the population of weeks claimed for the survey week. It is assumed that most states are able to and will prefer to use the population. If the state wishes, it may use sampling and inflate the results to the population figure. See Section G. for a discussion of sampling.
3. Information Not Available (INA). The percent of INA data should be kept to a minimum. If any category of data has more than 5 percent INA, an explanation should be included in comments.
4. Checking the Report. All cells within a category should add to the same total as other categories, that is to the population count of the insured unemployed (see item E.1. below). If data are based on a sample, it is possible that the computed sum of the cells may be off by 1 or 2 due to rounding. The automatic edit process compares all sums with the sum of the Sex category. Therefore, any category which does not add to the same total as the Sex category should be adjusted so that it does. This should usually be done to the largest component. If any category is off by more than 2, the inflation process should be checked.

Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

E. Definitions

1. Insured Unemployed. For this report, the number of insured unemployed is the count of regular state UI continued weeks claimed both intrastate and interstate agent. The total count of the insured unemployed is not reported on the ETA 203 but rather the counts for demographic subcategories are reported. The sum of any given category, such as age groups, should generally be identical with the total for insured unemployed as reported on the ETA 539 report for state UI adjusted continued weeks claimed (CW) for the same week. Continued weeks claimed under the Extended Benefit (EB) program, State Additional Benefits Program (AB), or any other extended compensation program should not be included on the ETA 203.
2. Industry. Industry coding will follow the most recent edition of the North American Industry Classification System (NAICS). Whenever possible, the industry assigned should be that of the employer for whom the claimant last worked. If it is not feasible to obtain the industry code of the most recent employer, the major base period employer may be substituted. Interstate claimants should be classified according to the best information available in the agent state.
3. Occupation. Occupation codes will follow the most recent revision of the Standard Occupational Classification (SOC).

F. Item by Item Instructions

1. Population/Sample. If the data reported are based on a sample, key an "s". If data are based on a population count, the entry should be a "p".
2. Sex. The number of weeks claimed for claimants in each category will be reported. Sex can usually be determined by observation or by name if this is not self-coded by the claimant.
3. Ethnicity/Race. The number of weeks claimed for claimants in each category will be reported. If state law prohibits identifying race or ethnic group on employment records, or if the claimant does not self-code or is not seen, this information will have to be recorded as INA in the appropriate category. Please use the comments section to indicate if this unknown data is the result of a state law.
4. Age. The number of weeks claimed for claimants in each age category will be reported. Age should only be recorded as INA when the agency is unable to obtain this information from the claimant.
5. Industry. The number of weeks claimed for claimants in each industry category will be reported. Classification by industry should be by major industry category

UI REPORTS HANDBOOK NO. 401

ETA 203 Characteristics of the Insured Unemployed

- as found in the most recent edition of the NAICS. This should be available from the employer master files and rarely assigned an INA code.
6. Occupation. Classification by occupation should be made according to the most recent edition of the SOC. This should only be recorded as INA when unable to obtain this information from the claimant or other workforce development sources.
 7. Comments. Enter in comments any information which explains the data such as legal or procedural changes. If any category contains more than 5 percent information not available, explain. If sampling is used, indicate the type of sampling and sampling ratio.

G. Sampling

Because of the high degree of computerization in states, it is assumed that most will use a universe to produce the report. However, for those states which choose to use a sample, procedures are described below. If sampling is used, the type of sampling procedure and the sampling ratio should be described in comments.

The sample size requirements in the table below are the minimum for data to be reported, however, a larger sample may be used. Since UI operations generally identify claimants by Social Security Account Number (SSN), all examples of sample selection refer to selections by SSN. It is particularly important that sample selections emphasize a representative sample and avoid distortions which may arise out of poor operative or administrative control procedures.

To estimate the size of the "universe" of continued weeks claimed from which the sample will be drawn, an estimate of the lowest expected volume of continued weeks claimed for any week in the fiscal year is needed. The resultant estimate should be compared with the values in the table below to determine the required sampling ratio. Cells based on samples should be inflated to the universe before submission to the National Office.

UI REPORTS HANDBOOK NO. 401

ETA 203 Characteristics of the Insured Unemployed

Insured Unemployment Minimum Sample Size		
Lowest expected volume of continued weeks claimed, week including 19 th of the month	Size of sample of continued claimants	
	Minimum sampling ratio	Minimum resultant sample size
100,000 or more	1%	1,000 or more
50,000 to 99,999	2%	1,000 to 2,000
40,000 to 49,999	3%	1,200 to 1,500
30,000 to 39,999	4%	1,200 to 1,600
20,000 to 29,999	5%	1,000 to 1,500
10,000 to 19,999	10%	1,000 to 2,000
5,000 to 9,999	20%	1,000 to 2,000
2,500 to 4,999	30%	750 to 1,500
Less than 2,500	All	2,500 or less

UI REPORTS HANDBOOK NO. 401

ETA 9048 Worker Profiling and Reemployment Services Activity

CONTENTS

- A. Facsimile of FormIV-5-2
- B. Purpose.....IV-5-3
- C. Due Date and TransmittalIV-5-3
- D. General Reporting InstructionsIV-4-3
- E. Definitions.....IV-5-3
 - 1. Worker Profiling.....IV-5-3
 - 2. Profiled ClaimantsIV-5-4
 - 3. Put in Selection “Pool/Queue”IV-5-4
 - 4. Referred to ServicesIV-4-4
 - 5. Exempted from Mandatory ParticipationIV-5-5
 - 6. Reporting to Services.....IV-5-5
 - 7. Completing ServicesIV-5-5
 - 8. Orientation Services.....IV-5-5
 - 9. Assessment Services.....IV-5-6
 - 10. Counseling Services.....IV-5-6
 - 11. Job Placement Services and Referrals to EmployersIV-5-6
 - 12. Job Search Workshops or Job ClubsIV-5-6
 - 13. Referral to Education and Training.....IV-5-6
 - 14. Self Employment ProgramIV-5-6
- F. Item by Item InstructionsIV-5-7
 - 1. Total Profiled.....IV-5-7
 - 2. Number Put in Selection “Pool/Queue”IV-5-7
 - 3. Number Claimants Referred to Services.....IV-5-7
 - 4. Number Exempted from Mandatory Participation.....IV-5-7
 - 5. Profiled Claimants Referred and Reporting to ServicesIV-5-7
 - 6. Profiled Claimants Referred and Completing Services.....IV-5-7

UI REPORTS HANDBOOK NO. 401

ETA 9048 Worker Profiling and Reemployment Services Activity

A. Facsimile of Form.

ETA 9048 PROFILING AND REEMPLOYMENT SERVICES

STATE:	REGION:	REPORT FOR PERIOD ENDING:
SECTION A. PROFILED CLAIMANTS:		
1.	Total Profiled	
2.	Number Put in Selection "Pool/Queue"	
3.	Number Referred to Services	
4.	Number Exempted from Mandatory	
SECTION B. PROFILED CLAIMANTS REFERRED TO AND REPORTING TO SERVICES:		
1.	Number Reported to Services	
2.	Orientation	
3.	Assessment	
4.	Counseling	
5.	Job Placement Services and Referrals to Employers	
6.	Job Search Workshops or Job Clubs	
7.	Referral to Education and Training	
8.	Number Enrolled in Self-Employment Program	
SECTION C. PROFILED CLAIMANTS REFERRED TO AND COMPLETING SERVICES:		
1.	Number Completed Services	
2.	Orientation	
3.	Assessment	
4.	Counseling	
5.	Job Placement Services and Referrals to Employers	
6.	Job Search Workshops or Job Clubs	
7.	Completed Education and Training	
8.	Completed Self-Employment Program	

Comments:

OMB No.: 1205-0353 **OMB Expiration Date:** 02/28/2010 **OMB Burden Hours:** 15 Minutes
OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

B. Purpose

UI REPORTS HANDBOOK NO. 401

ETA 9048 Worker Profiling and Reemployment Services Activity

The ETA 9048 report provides quarterly information on the Worker Profiling and Reemployment Service activities of claimants who are profiled to assess their likelihood of exhausting benefits. Worker profiling allows for the targeting of reemployment services to those most in need. The data on this report is used for evaluation and monitoring of the Worker Profiling and Reemployment Services system on a national level. It includes breakouts of those who reported to services and those who completed services to be able to track service utilization. The mandatory participation requirement of the profiling legislation does not pertain to education/training or to services provided under a state's Self Employment Assistance program. Data is captured in each of these categories to provide additional information about the range of services provided to profiled claimants.

C. Due Date and Transmittal

The electronically submitted report is due in the ETA National Office on the 20th of the second month following the quarter of reference (May 20, August 20, November 20, February 20).

D. General Reporting Instructions

Data on this report deals with individuals in the regular Unemployment Insurance program (this includes state, UCFE, and UCX) who are profiled as to their likelihood of exhaustion of benefits. State Workforce Agencies (SWAs) should assure that systems are in place to collect information on service referrals and completions. Information on services provided to claimants through the local Workforce and One-Stop Career Center systems should generally be furnished by the service providers, often through the local or state case management and reporting system, Workforce Investment Act Standardized Record Data (WIASRD), or other one-stop operating system maintained by the state. The data reported are counts of numbers of profiled individuals at given points in the process of profiling and of participation in services.

Data are reported for the quarter in which the activity occurred. The activity being reported, such as referral and completion of services, could occur in one or more quarters after the quarter in which the individual was first counted as profiled.

Individuals are generally counted only once in any single service category for either referred and reporting to services in Section B or completing services in Section C.

Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

E. Definitions

1. Worker Profiling. Worker profiling is the process which determines the likelihood of exhausting benefits for new initial claimants. Worker profiling can consist of

UI REPORTS HANDBOOK NO. 401

ETA 9048 Worker Profiling and Reemployment Services Activity

the use of characteristic screens or a statistical model approach (characteristic screens in combination with a statistical model).

A characteristic screen approach eliminates claimants not likely to exhaust their benefits from the pool of those subject to mandatory referral by determining permanent separation using such screens as "no definite recall date" and "not being hired through an exclusive union hiring hall." It does not allow for a rank ordering of claimants. Therefore, it does not provide a means to target services to those who would most benefit from available service.

The statistical model approach, like the characteristic screen approach, first determines permanent separation using screens. Then information on individuals who have not been eliminated from the screens are put through a model to produce a numerical "score" indicating their level of probability of exhaustion. These scores allow for a rank ordering of claimants from those most likely to those least likely to exhaust their benefits thus allowing for targeting of services to those who would, potentially, benefit most.

2. Profiled Claimants. These are new initial claimants who have been put through the State's profiling mechanism during the report period. In states where the profiling process is triggered by the first payment, this figure will generally be equivalent to the number of first payments. In states which choose to initiate the profiling process at the time of the new initial claim, the count will be roughly equivalent to the number of new initial claims.
3. Put in Selection "Pool/Queue". This category consists of those claimants who were profiled during the quarter and were not eliminated by the profiling screens. Those put in the pool/queue include both those who will spend time in the pool/queue waiting to be referred and those who are immediately referred to services. A claimant can only be put into the pool/queue once. This figure will not include claimants identified in earlier quarters who remain in the pool/queue in the current report quarter. Individuals put in the "pool/queue" will range from those that have a high score and therefore a high probability of being referred to services through those who have a low score and therefore a low probability of being referred to services. This figure will be the number of claimants profiled during the period minus those who were eliminated by the screens.
4. Referred to Services. Those profiled claimants in the selection pool/queue for whom services were available and who were referred to those services during the reporting period. This includes claimants who were referred to services in the report quarter whether they were put in the pool/queue in the current report quarter or entered the pool/queue in prior quarters. A claimant may be counted in more than one service category; however, a claimant can only be counted once in any individual service category during a benefit year regardless on the number of services provided within the distinct category.

UI REPORTS HANDBOOK NO. 401

ETA 9048 Worker Profiling and Reemployment Services Activity

5. Exempted from Mandatory Participation. Those profiled claimants who are not required to participate in reemployment services or in further reemployment services through the WPRS system because they have completed such services, they are participating in similar services, or have justifiable cause for their failure to participate in reemployment services. Claimants should not be counted as exempted from services that were not a part of their service plan or to which they were never referred. Exemptions do not include individuals who are no longer participating due to reemployment. Exemptions also do not include individuals who were not referred to services because they had a definite recall data, obtain employment through an exclusive union hiring hall, or other state imposed screen.
6. Reporting to Services. Those profiled claimants who were referred and reported to reemployment services. This information should generally be provided to the agency by the service provider. An individual can be referred to, and report to, more than one service. Therefore, the sum of the categories may equal more than the total number of individuals. If one particular service has components of two or more service categories, the dominate category, as determined by the state, should be used consistently. Counts should not be taken in two categories for a single service. A claimant may be counted in more than one category; however, a claimant can only be counted once in any individual service category during a benefit year regardless on the number of services provided within that distinct category.
7. Completing Services. Those profiled claimants who were referred to and completed a reemployment service in accordance with their service plan. This information should generally be furnished to the agency by the service provider. Completion implies that the claimant spent the necessary time required by the provider and/or the state to complete the service. Completion does not imply a passing grade. Some services have definite completion times, such as a job search workshop or a specific training course. For other services such as counseling or job referral, the point of completion may not be as obvious. In these latter instances, the state should develop general rules for determining when the service is to be considered as complete and should apply this consistently for purposes of counting completions on the report. Because an individual can be referred to, and therefore complete, more than one service, the sum of the categories may equal more than the total number of individuals. A claimant may be counted in more than one category; however, a claimant can only be counted once in any individual service category during a benefit year regardless on the number of services provided within the distinct category.
8. Orientation Services. Services that provide the claimant an overview of the programs and services available; the criteria and requirements for program participation and receipt of services; and an understanding of what is required and what is optional. Orientation may be individual or in group sessions. It may provide information on the services available, including other community services, and may include completing forms.

UI REPORTS HANDBOOK NO. 401

ETA 9048 Worker Profiling and Reemployment Services Activity

9. Assessment Services. Services that evaluate the claimant's employment history, education, interests and skills and that result in the identification of employment goals, barriers to employment and services needed to obtain goals. Assessment services include completion and review of the application; standardized testing; and interviews. Assessment includes joint development with the claimant of an Individual Service Plan.
10. Counseling Services. Interactions between appropriate staff and claimants designed to establish and reach realistic employment related goals. Assistance may include support in choosing or changing occupations; making a suitable job adjustment; and addressing personal issues that may limit the claimant's ability to achieve employment related goals. Counseling may be provided individually to the claimant or through group counseling session(s) and may result in a recorded Individual Service Plan.
11. Job Placement Services and Referrals to Employers. Services to facilitate the matching of job seekers and employers by providing the claimant with information on job openings and by bringing to the attention of an employer a claimant who is qualified and available to fill a job opening. Services might include searching job orders, doing customized job development when no suitable job orders are on file, and contacting and scheduling an interview with an employer.
12. Job Search Workshops or Job Clubs. Services to help claimants carry out a successful job search strategy. The workshop services include organized group activities that provide instructions on resume writing; application preparation; interview skills; using labor market information; networking; developing a job search plan; and following up on job leads. Job club services have the same elements as a job search workshop, but in addition use a structured application of the skills obtained by the claimant in an active job search.
13. Referral to Education and Training. Services include referral to educational and/or training services. There is no mandatory participation requirement under the WPRS program for these services. Data is captured in this category to provide additional information about the range of services provided to profiled claimants.
14. Self Employment Program. Participation in the Self Employment Program as authorized under P.L. 103-182 where states have conforming legislation. There is no mandatory participation requirement under the WPRS program for these services. Data is captured in this category to provide additional information about the range of services provided to profiled claimants. If the state does not have a Self Employment Program the count for this element should be zero.

UI REPORTS HANDBOOK NO. 401

ETA 9048 Worker Profiling and Reemployment Services Activity

F. Item by Item Instructions

1. Total Profiled. Enter in item A.1., the number of profiled claimants during the period.
2. Number Put in the Selection "Pool/Queue". Enter in item A.2., the number of profiled claimants put in the selection pool/queue.
3. Number Referred to Services. Enter in item A.3., the number of profiled claimants who were referred to at least one reemployment service. Only count the individual claimant once.
4. Number Exempted from Mandatory Participation. Enter in item A.4. the number of profiled claimants who were exempted from mandatory participation in reemployment.
5. Profiled Claimants Referred and Reporting to Services.

B.1. - Enter in item B.1. the number of profiled claimants who were referred and reported to their first reemployment service. Only count the individual claimant once.

B.2. through B.8. - Enter in each category of service, the number of profiled claimants who were referred to that service. Only count each claimant once within a service category even if the claimant reports to that service multiple times.

Because individuals may be referred to and report to more than one service, the sum of B.2. through B.8. will usually be more than item B.1.

6. Profiled Claimants Referred and Completing Services.

C.1. - Enter the number of referred, profiled claimants who completed at least one reemployment service during the report quarter, no matter in which quarter they were profiled or referred.

C.2. through C.8. - Enter in each category of service, the number of those individuals reported in C.1., the number of completions for that category in the report quarter. Only count each claimant once within a service category even if the claimant reports to that service multiple times.

Because individuals may be referred to and complete more than one service, the sum of C.2. through C.8. will usually be more than item C.1.

UI REPORTS HANDBOOK NO. 401

ETA 9049 Worker Profiling and Reemployment Services Outcomes

CONTENTS

A. Facsimile of FormIV-6-2

B. Purpose.....IV-6-3

C. Due Date and TransmittalIV-6-3

D. General Reporting InstructionsIV-6-3

E. Definitions.....IV-6-4

 1. Number EmployedIV-6-4

 2. Base Period WagesIV-6-4

 3. Number Employed in Different IndustryIV-6-4

 4. Wages Earned in the Quarter.....IV-6-4

F. Item by Item Instructions.....IV-6-4

 1. Section A. Claims ExperienceIV-6-4

 2. Section B. Employment Activity.....IV-6-5

UI REPORTS HANDBOOK NO. 401

ETA 9049 Worker Profiling and Reemployment Services Outcomes

A. Facsimile of Form.

ETA 9049 PROFILING AND REEMPLOYMENT SERVICES OUTCOMES

STATE:	REGION:	REPORT FOR PERIOD ENDING:			
SECTION A. CLAIMS EXPERIENCE FOR THOSE PROFILED AND REFERRED CLAIMANTS WHO WERE FIRST REFERRED IN REPORT QUARTER:					
1.	Number Exhausted				
2.	Average Compensated Duration				
3.	Average Benefits Paid				
4.	Base Period Wages				
SECTION B. EMPLOYMENT ACTIVITY FOR THOSE PROFILED CLAIMANTS WHO WERE FIRST REFERRED IN THE REPORT QUARTER:					
		Quarter After Referral			
		1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
Quarter Ending					
1.	Number Employed				
2.	Base Period Wages				
3.	Number Employed in Different Industry				
4.	Wages Earned in Quarter				

Comments:

OMB No.: 1205-0353 **OMB Expiration Date:** 02/28/2010 **OMB Burden Hours:** 15 Minutes
OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

UI REPORTS HANDBOOK NO. 401

ETA 9049 Worker Profiling and Reemployment Services Outcomes

B. Purpose

The ETA 9049 report contains information on the employment outcomes of claimants who are identified as likely to exhaust their UI benefits through the Worker Profiling and Reemployment Services (WPRS) program. The population for this report is the claimants who were selected for referral to reemployment services and referred to such services. The report uses existing administrative data to compute the numbers of individuals who subsequently became reemployed under covered employment and the numbers who were employed in a different industry. The report also details their current wages, allowing comparisons to their base period earnings.

C. Due Date and Transmittal

The report is due in the ETA National Office on the 20th of the 20th month following the quarter in which the claimants were first referred to services.

Examples of time frames are given below:

Quarter First Referred	Quarters Reemployment Experience	Due Date
Jan – Mar 2006	Apr 2006 – Mar 2007	Nov 20, 2007
Apr – Jun 2006	Jul 2006 – Jun 2007	Feb 20, 2008
Jul – Sep 2006	Oct 2006 – Sep 2007	May 20, 2008
Oct – Dec 2006	Jan 2007 – Dec 2007	Aug 20, 2008

D. General Reporting Instructions

Data on this report deal with individuals in the regular Unemployment Insurance program who are profiled as to permanency of layoff and likelihood of exhaustion of benefits and who subsequently are selected from a "pool" of individuals identified as likely to exhaust benefits and referred from the unemployment insurance system to a service provider. Each report submission follows a cohort of these individuals who were first referred to services in a particular quarter to determine:

1. What is their experience under the regular program,
2. If they become reemployed in the following four quarters, in which quarters are they employed,
3. What wages they earn in those quarters, and
4. If the new employment reflected an industry change.

Section B. will be obtained from the state's wage records using a Social Security Number match. Information reported is for claimants referred during the report quarter.

UI REPORTS HANDBOOK NO. 401

ETA 9049 Worker Profiling and Reemployment Services Outcomes

Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

E. Definitions

Definitions, unless otherwise specifically noted, will follow the definitions found on the ETA 9048 and the ETA 5159. The profiled and referred claimants used as a basis for this report will be equal to the number of individuals reported as profiled and referred from the selection pool on the ETA 9048, item A.3., which was reported for the same report quarter.

1. Number Employed. The total number of claimants who were referred from the selection pool to services in the report quarter and who appeared on wage record files as having been employed in the quarter of reference.
2. Base Period Wages. The total amount of base period wages for all those profiled and referred claimants in the category specified. In Section A, it will be for all profiled claimants who were referred from the selection pool in the report quarter. For Section B, this will be the total amount of base period wages for all profiled claimants referred in the report quarter and who appeared on wage record files as having been employed in the quarter of reference.
3. Number Employed in Different Industry. The total number of profiled claimants who were referred to services from the selection pool in the report quarter who appeared in wage record files as having been employed in the quarter of reference and who were employed in a different two digit North American Industry Classification System (NAICS) code than that of their employer of record for their base period. Some states use primary employer while others use separating employer as their base period employer of record. Either is acceptable as long as it is reported consistently.
4. Wages Earned in the Quarter. The total amount of wages earned in the quarter of reference for those profiled claimants who were referred from the selection pool to services in the report quarter and who appeared on wage record files as having been employed in the quarter of reference. Each claimant's wages should be reported in each quarter in which he/she worked.

F. Item by Item Instructions

1. Section A. Claims Experience.
 - a. Item 1. Number Exhausted. Enter the number of profiled claimants who were first referred from the selection pool to services during the report quarter who subsequently exhausted their benefits.
 - b. Item 2. Average Compensated Duration. Enter the average number of weeks compensated for profiled claimants who were first referred from the

UI REPORTS HANDBOOK NO. 401

ETA 9049 Worker Profiling and Reemployment Services Outcomes

selection pool to services during the report quarter. This is calculated by adding up all weeks compensated for these individuals and dividing by the number of individuals.

- c. Item 3. Average Total Benefits Paid. Enter the average benefits paid to those profiled and referred claimants in their benefit year who were first referred from the selection pool to services during the report quarter.
 - d. Item 4. Base Period Wages. Enter the total base period wages for all profiled and referred claimants who were first referred from the selection pool during the report quarter.
2. Section B. Employment Activity
- a. Item 1. Number Employed. For each quarter, enter the number of profiled claimants who were first referred to services during the report quarter who were employed in the referenced quarter. Count each claimant in each quarter in which he/she was employed.
 - b. Item 2. Base Period Wages. For each quarter, enter the total amount of base period wages for all those in B.1.
 - c. Item 3. Number Employed in Different Industry. For each quarter, enter the number of claimants reported in B.1. who were employed in an industry other than the industry of the base period employer. The State may use either last employer or primary employer, whichever is customary but should be consistent. Industry comparison will be done at the two digit North American Industry Classification System (NAICS) level.
 - d. Item 4. Wages Earned in Quarter. For each quarter, enter the total amount of wages reported in the quarter for those in B.1. Report wages in each quarter in which the claimant was employed.

UI REPORTS HANDBOOK NO. 401

ETA 9047 Reemployment of UI Benefit Recipients

CONTENTS

A. Facsimile of FormIV-7-2

B. Purpose.....IV-7-3

C. Due Date and TransmittalIV-7-3

D. General Reporting InstructionsIV-7-3

E. Definitions.....IV-7-4

 1. First Payment.....IV-7-4

 2. Exempt / Nonexempt Claimants.....IV-7-4

 3. Intrastate Crossmatch HitsIV-7-5

 4. Interstate Crossmatch HitsIV-7-5

 5. Joint Claims.....IV-7-5

 6. Partial / Part-Total Payment.IV-1-5

 7. Total PaymentsIV-1-5

 8. State Unemployment Insurance (UI)IV-1-5

 9. Unemployment Compensation for Federal Employees (UCFE)IV-7-6

 10. Unemployment Compensation for Ex-Servicemembers (UCX).....IV-7-6

 11. Short-Time Compensation (STC) or WorkshareIV-7-6

F. Item by Item Instructions.....IV-7-6

 1. Not ExemptIV-7-6

 2. Exempt.....IV-7-7

UI REPORTS HANDBOOK NO. 401

ETA 9047 Reemployment of UI Benefit Recipients

A. Facsimile of Form

ETA 9047 - REEMPLOYMENT OF UI BENEFIT RECIPIENTS

STATE	REGION	REPORT FOR PERIOD ENDING	
Exemption Code	Number of Claimants Receiving 1st Payment	Number of Intrastate Crossmatch Hits: YYYY.Q+1	Number of Interstate Crossmatch Hits: YYYY.Q+1
0 - Not Exempt			
1 - Exempt			

Comments:

OMB No.: 1205-0452 **OMB Expiration Date:** 07/31/2011 **OMB Burden Hours:** 600 Minutes
OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

UI REPORTS HANDBOOK NO. 401

ETA 9047 Reemployment of UI Benefit Recipients

B. Purpose

The ETA 9047 report contains quarterly information on the number of UI beneficiaries who receive a first payment during a calendar quarter and who also have earnings in the next calendar quarter. These data will be used to determine the rate at which UI beneficiaries return to work. Beneficiaries exempt from the state's work search requirements are reported separately from those who are required to search for work.

C. Due Date and Transmittal

Reports will be transmitted to ETA electronically through the UI Required Reports Automatic Transmittal application according to the following schedule:

Quarter in which First Payment issued:	Quarter Ending Date:	Wage Record File Crossmatched:	Report Due to ETA By:
1st quarter (January to March)	03/31/YYYY	04/01/YYYY - 06/30/YYYY	November 30
2nd quarter (April to June)	06/30/YYYY	07/01/YYYY - 09/30/YYYY	February 28
3rd quarter (July to September)	09/30/YYYY	10/01/YYYY - 12/31/YYYY	May 31
4th quarter (October to December)	12/31/YYYY	01/01/YYYY+1 - 03/31/YYYY+1	August 31

D. General Reporting Instructions

1. Each State Workforce Agency (SWA) will identify all UI claimants who received a first payment for intrastate or interstate liable claims during each calendar year quarter. Unless otherwise stated, criteria for inclusion in the ETA 9047 report will follow the criteria for reporting first payments used for the ETA 5159 report (ET Handbook 401, 3rd edition, section I-2). First payments that are reported on the ETA 5159 report but that are not reported on the ETA 9050 report (First Payment Time Lapse) are reported on the ETA 9047 report.
 - a. Include first payments made for state UI, Federal Unemployment Compensation for Federal Employees (UCFE), and Unemployment Compensation for Ex-Service Members (UCX) claims, including combined wage claims and joint claims involving these programs.
 - b. Exclude first payments made for claims filed for Extended Benefits, Disaster Unemployment Assistance, Trade Readjustment Allowances, Short Time Compensation (STC), also known as Workshare, and temporary extended benefits programs.
2. First payments are counted as of the date the payment is mailed, electronically deposited, debited to the claimant, or made in-person. When part of the week's payments falls in one quarter and part in another, the payments must be reported for the appropriate quarter. When multiple weeks are paid at the same time, the compensated week with the earliest week ending date is reported as

UI REPORTS HANDBOOK NO. 401

ETA 9047 Reemployment of UI Benefit Recipients

the first payment.

The payment date of the first compensated week for each record reported must fall within the ranges in the following table.

Date of First Payment in:	Date of First Payment is \geq Quarter Beginning Date:	Date of First Payment is \leq Quarter Ending Date:
1st quarter	01/01/YYYY	03/31/YYYY
2nd quarter	04/01/YYYY	06/30/YYYY
3rd quarter	07/01/YYYY	09/30/YYYY
4th quarter	10/01/YYYY	12/31/YYYY

3. If more than one payment is issued for the same compensated week -- for example, from separate programs (state UI, UCFE, or UCX) -- only a single record will be reported.
4. The report period date ending date refers to the ending date of the quarter during which UI beneficiaries received their payments, not the ending date of the quarter during which UI beneficiaries received wages.
5. The instructions in ET Handbook No. 401, 4th edition, regarding record retention applies to all data files created by the SWA or received by the SWA that are used to obtain the counts required for the ETA 9047 report.

Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

E. Definitions

1. **First Payment.** The benefit payment for the first week compensated in the benefit year includes total, partial and part-total payments, full or partial offsets to satisfy an outstanding overpayment, Child Support Intercept orders, Food Stamp overissuances, waiting weeks waived by the Governor under a state law and compensated because of a legally recognized disaster, and payments resulting from the reversal of a single or multi-claimant adjudication by a lower or higher authority appeal decision or by a court decision.

If two or more weeks of benefits are paid at the same time (either by separate checks / electronic deposits / debits or by a single check / deposit / debit), the earliest week ending date in the benefit year is the first payment.

2. **Exempt / Nonexempt Claimants.** Claimants will be classified according to whether or not they are exempt from the state's active work search requirements *as of the week ending date of the claimed week for which the first payment was issued*. If no active work search requirement exists in state law or practice, the state will identify those claimants who are exempt (for whatever reason) from the state's requirement to register for labor exchange services.

UI REPORTS HANDBOOK NO. 401

ETA 9047 Reemployment of UI Benefit Recipients

Reasons for exemption may include, but are not limited to the following:

- Job attached exemption (for example, claimants with definite recall dates, seasonal employment);
 - Union exemption (seeking work through union hiring hall or referral);
 - An agency directive (written or verbal) temporarily suspending the claimant's work search requirement;
 - Other exemption (approved training, school, etc.)
3. Intrastate Crossmatch Hits. Report the total number of UI claimants receiving first payments who earned wages from one or more employers in the following calendar quarter from employers in the same state as the reporting agency. If a first payment recipient earned wages from more than one intrastate employer in the following quarter, report only a single "hit" for that claimant on the report.
 4. Interstate Crossmatch Hits. Report the total number of UI claimants receiving first payments who earned wages from one or more employers in the following calendar quarter from employers outside of the state of the reporting agency. If a first payment recipient earned wages from more than one out-of-state employer in the following quarter, report only a single "hit" for that claimant on the report. **If a first payment recipient earned wages from one or more employers in the same state as the reporting agency (intrastate crossmatch) do not report any interstate crossmatch hits, even if the first payment recipient receives wages from more than one out-of-state employer.**
 5. Joint Claims. Claims involving (1) a combination of state unemployment trust funds and Federal program funds or (2) a combination of Federal program funds. Includes claims with state UI in combination with UCFE and/or UCX employment and wages (UI/UCFE/UCX, UI/UCFE, or UI/UCX) and UCFE claims in combination with UCX employment and wages (UCFE/UCX).
 6. Partial / Part-Total Payments. Benefit payments that have been reduced due to wages, commissions, bonuses, tips or gratuities, back-pay awards, odd jobs, or self-employment income.
 7. Total Payments. Payments for weeks of total unemployment in which the claimant received a full weekly benefit amount that is not reduced as a result of wages, commissions, bonuses, tips or gratuities, back-pay awards, odd jobs, or self-employment income.
 8. State Unemployment Insurance (UI). A state program that provides benefits to individuals financed (1) wholly from state trust funds (UI) or (2) partially from state trust funds and partially from UCFE and/or UCX program funds (joint

UI REPORTS HANDBOOK NO. 401

ETA 9047 Reemployment of UI Benefit Recipients

UI/UCFE, UI/UCX, UI/UCFE/UCX claim).

9. Unemployment Compensation for Federal Employees (UCFE). A Federal program that provides benefits to individuals based on Federal civilian service. Includes claims based (1) wholly on Federal civilian service (UCFE, no UI) or (2) partially on Federal civilian service and partially on Federal military service (UCFE/UCX) claim. Excludes claims funded partially from state trust funds.
10. Unemployment Compensation for Ex-Servicemembers (UCX). A Federal program that provides benefits to individuals based on Federal military service. Includes claims based wholly on Federal military service (UCX only). Excludes claims funded partially from state trust funds and/or Federal civilian service.
11. Short-Time Compensation (STC) or Workshare. A state program through which an employee whose hours of employment have been reduced is compensated for his or her lost work time with partial benefits. Such benefits would not be payable to these workers under a state's normal partial benefits formula.

F. Item by Item Instructions

1. Not Exempt (Line 1). For those UI claimants who are not exempt from the state's active work search requirements as of the week ending date of the first week compensated or, if no active work search requirement exists in state law or practice, are not exempt from the state's requirement to register for labor exchange services:
 - a. Column 1, Number of Claimants Receiving 1st Payments. Report the total number of UI claimants who received a first payment for intrastate or interstate liable claims during the calendar quarter for which the report is submitted. Refer to the definitions in Sections D and E.
 - b. Column 2, Number of Intrastate Crossmatch Hits in the Following Calendar Quarter. Report the number of UI claimants receiving first payments reported in column 1 who received wages from one or more employers in the following calendar quarter from employers in the same state as the reporting agency. If a first payment recipient receives wages from more than one intrastate employer in the following quarter, report only a single "hit" for that claimant on the report.
 - c. Column 3, Number of Interstate Crossmatch Hits in the Following Calendar Quarter. Report the number of UI claimants receiving first payments reported in column 1 who 1) did not receive wages in the following calendar quarter from employers in the same state as the reporting agency; and 2) received wages from one or more employers in the following calendar quarter from out-of-state employers. If a first payment recipient receives wages from more than one out-of-state employer in the following quarter, report only a single "hit" for that claimant on the report. **Note: no UI benefit recipient included in the counts reported in column 2 should be included in the counts**

UI REPORTS HANDBOOK NO. 401

ETA 9047 Reemployment of UI Benefit Recipients

reported in column 3.

2. Exempt (Line 2). For those UI claimants who are exempt (for whatever reason) from the state's active work search requirements as of the week ending date of the first week compensated or, if no active work search requirement exists in state law or practice, are exempt from the state's requirement to register for labor exchange services:
 - a. Column 1, Number of Claimants Receiving 1st Payments. Report the total number of UI claimants who received a first payment for intrastate or interstate liable claims during the calendar quarter for which the report is submitted. Refer to the definitions in Sections D and E.
 - b. Column 2, Number of Intrastate Crossmatch Hits in the Following Calendar Quarter. Report the number of UI claimants receiving first payments reported in column 1 who received wages from one or more employers in the following calendar quarter from employers in the same state as the reporting agency. If a first payment recipient receives wages from more than one intrastate employer in the following quarter, report only a single "hit" for that claimant on the report.
 - c. Column 3, Number of Interstate Crossmatch Hits in the Following Calendar Quarter. Report the number of UI claimants receiving first payments reported in column 1 who 1) did not receive wages in the following calendar quarter from employers in the same state as the reporting agency; and 2) received wages from one or more employers in the following calendar quarter from out-of-state employers. If a first payment recipient receives wages from more than one out-of-state employer in the following quarter, report only a single "hit" for that claimant on the report. **Note: no UI benefit recipient included in the counts reported in column 2 should be included in the counts reported in column 3.**

UI REPORTS HANDBOOK NO. 401

ETA 9128 Reemployment and Eligibility Assessments Activities

CONTENTS

A. Facsimile of FormIV-8-2

B. Purpose.....IV-8-3

C. Due Date and TransmittalIV-8-3

D. General Reporting InstructionsIV-8-3

E. Item by Item Instructions.....IV-8-3

1. Number of First REAsIV-8-3

2. Number of REAs ScheduledIV-8-3

3. Number of REAs CompletedIV-8-4

4. Number Reporting for Reemployment Services or TrainingIV-8-4

5. Number Reporting for Reemployment ServicesIV-8-4

6. Number Reporting for Training.....IV-8-4

7. Number of REAs Resulting in a Disqualification or OverpaymentIV-8-4

8. Number of Disqualifications for a Separation Issue.....IV-8-4

9. Number of Disqualifications for Able and Available IssueIV-8-4

10. Number of Disqualifications for Disqualifying IncomeIV-8-4

11. Number of Disqualifications for Refusal of Suitable WorkIV-8-4

12. Number of Disqualifications for Other IssuesIV-8-4

13. Number of Completed REAs Resulting in an OverpaymentIV-8-4

14. Dollar Amount of Overpayments Established.....IV-8-5

15. Number of REAs for which Claimant Failed to AppearIV-8-5

16. Number of REAs Rescheduled.IV-8-5

17. Number of Disqualifications for Failure to Report.....IV-8-5

18. Number of Failures to Report Disqualified for Other IssuesIV-8-5

19. Number of Overpayments for Failure to ReportIV-8-5

20. Dollar Amount of Overpayments for Failure to ReportIV-8-5

21. Number Failed to Report with No DisqualificationIV-8-5

22. Number Failed to Report Who Returned to Work.....IV-8-5

UI REPORTS HANDBOOK NO. 401

ETA 9128 Reemployment and Eligibility Assessments Activities

A. Facsimile of Form

ETA 9128 - Reemployment and Eligibility Assessment Workload

STATE	REGION	REPORT FOR PERIOD ENDING
1.	Number of Claimants Scheduled for Their First REA	
2.	Number of All REAs Scheduled	
3.	Number of REAs Completed	
4.	Number Reporting to Reemployment Services or Training	
5.	Number Reporting to Reemployment Services	
6.	Number Reporting to Training	
7.	Number of Completed REAs Resulting in A Disqualification or Overpayment	
8.	Number Disqualified for A Separation Issue	
9.	Number Disqualified for An Able And Available Issue	
10.	Number Disqualifying/Deductible Income	
11.	Number Disqualified for Refusal of Suitable Work Issue	
12.	Number Disqualified for Issue(s) Other Than # 9 - 12	
13.	Number Resulting in An Overpayment	
14.	Dollar Amount of Overpayment Established	
15.	Number of REAs for Which The Claimant Failed to Appear	
16.	Number That Were Rescheduled Without Disqualification	
17.	Number Disqualified for Failure to Report under Reporting Requirements	
18.	Number Disqualified for Failure to Report under Issues Other Than Reporting Requirement	
19.	Number That Resulted in An Overpayment	
20.	Dollar Amount of Overpayment	
21.	Number of Claimants That Failed to Report with no Disqualifications	
22.	Number of Claimants That Returned to Work (If Available)	

Comments:

OMB No.: 1205-0456 **OMB Expiration Date:** 03/31/2009 **OMB Burden Hours:** 30 Minutes

OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

UI REPORTS HANDBOOK NO. 401

ETA 9128 Reemployment and Eligibility Assessments Activities

B. Purpose

The ETA 9128 report provides quarterly information on the Reemployment and Eligibility Assessment (REA) activities of claimants who are selected for REAs. REAs provide in-person service in One Stop Career Centers for claimants including the development of an individualized work search plan, provision of appropriate labor market information (LMI) and referral to reemployment services as appropriate. The data on this report allows for evaluation and monitoring of the REA initiative on a national level.

C. Due Date and Transmittal

The electronically submitted report is due in the ETA National Office on the 20th of the second month following the quarter of reference (May 20, August 20, November 20, and February 20).

D. General Reporting Instructions

Data on this report deals with individuals in the regular Unemployment Insurance program. This includes regular Unemployment Insurance, Unemployment Compensation for Federal Employees (UCFE), and Unemployment Compensation for Ex-Servicemembers (UCX) who are selected for an REA. State Workforce Agencies (SWAs) should assure that systems are in place to collect information on service referrals.

Data are reported for the quarter in which the activity occurred. The activity being reported could occur in one or more quarters after the quarter in which the individual received an REA.

Individuals are counted only once in any single service category for either referred and reporting to services.

E. Item by Item Instructions

1. Number of first REAs. Enter the number of claimants who were scheduled for their first REA of their current benefit year during the report quarter.
2. Number of REAs scheduled. Enter the number of REAs for which an official notice was sent to the claimant instructing the claimant to report to the One Stop Career Center. This number includes both those scheduled REAs for which the claimant reported as directed, which are reported in item 3, and those scheduled REAs for which the claimant failed to report, which are reported in item 15. It does not include those REAs that the claimant cancelled in advance and which were rescheduled with no disqualification.

UI REPORTS HANDBOOK NO. 401

ETA 9128 Reemployment and Eligibility Assessments Activities

3. Number of REAs completed. Enter the number of completed REAs to which the claimant reported as directed. Include REAs that were conducted for claimants who were rescheduled for an REA after missing an appointment. The sum of item 3 and item 15 should approximately equal item 2.
4. Number reporting for reemployment services or training. Enter the number of claimants reporting for reemployment services or training as a result of an REA. Claimants should be reported only once in items 5 or 6 below, not in both categories. Item 4 is the sum of item 5 and item 6.
5. Number reporting for reemployment services. Enter the number of claimants reporting for reemployment services as a result of referral from an REA.
6. Number reporting for training. Enter the number of claimants reporting for training as a result of referral from an REA.
7. Number of REAs resulting in a disqualification or overpayment. Enter the number of completed REAs from which a disqualification or overpayment occurs. Claimants who are both disqualified and for whom an overpayment occurs should only be counted once for each REA. The disqualification or overpayment must be the direct result of the completed REA.
8. Number of disqualifications for a separation issue. Enter the number of completed REAs from which a disqualification was issued based on a separation issue.
9. Number of disqualifications for able and available issues. Enter the number of completed REAs from which a disqualification was issued based upon an able and available issue.
10. Number of disqualifications for disqualifying income. Enter the number of completed REAs from which a disqualification was issued based upon disqualifying income.
11. Number of disqualifications for refusal of suitable work. Enter the number of completed REAs from which a disqualification was issued based upon the refusal of suitable work or refusal of a referral to suitable work.
12. Number of disqualifications for other issues. Enter the number of completed REAs from which a disqualification was issued based upon an issue not covered in items 8 through 11.
13. Number completed REAs resulting in an overpayment. Enter the number of completed REAs in which an overpayment was identified and officially established.

UI REPORTS HANDBOOK NO. 401

ETA 9128 Reemployment and Eligibility Assessments Activities

14. Dollar amount of overpayments established. Enter the total dollar amount of overpayments included in item 13.
15. Number of REAs for which claimant failed to report. Enter the number of REAs in which a claimant was scheduled to report and failed to do so. This number includes those claimants who were sent an official notice to report for an REA and who did not report as directed. It includes claimants who failed to report and who were subsequently rescheduled for an REA at a different time. It does not include REAs that were cancelled in advance by the claimant and for which no disqualification was issued. REAs counted in this item should also be counted in items 16, 17, 18, or 21. The sum of item 15 and item 3 should approximately equal item 2.
16. Number of REAs rescheduled. Enter the number of REAs for which a claimant failed to report which were rescheduled without disqualification.
17. Number of disqualifications for failure to report. Enter the number of REAs for which the claimant failed to report and for which the claimant was disqualified for failing to meet the reporting requirements of state law.
18. Number of failures to report disqualified for other issues. Enter the number of REAs for which the claimant failed to report and for which the claimant was disqualified for an issue other than the failure to report.
19. Number of overpayments for failure to report. Enter the number of REAs for which an overpayment was established due the failure to report for the REA.
20. Dollar amount of overpayments for failure to report. Enter the total dollar amount of overpayment dollars established in 19 above.
21. Number failed to report with no disqualification. Enter the number of REAs for which the claimant failed to report and for which no disqualification was issued.
22. Number failed to report who returned to work. Enter the number of claimants who failed to report, identified in item 21 above, as a result of having returned to work.

UI REPORTS HANDBOOK NO. 401

ETA 9129 Reemployment and Eligibility Assessments Outcomes

CONTENTS

A. Facsimile of FormIV-9-2

B. Purpose.....IV-9-4

C. Due Date and TransmittalIV-9-4

D. General Reporting InstructionsIV-9-4

E. Item by Item Instructions.....IV-9-5

1. Claimants in a State-defined Comparison GroupIV-9-5

 a. Number Who Established a UI Benefit YearIV-9-5

 b. Total Weeks Compensated.....IV-9-5

 c. Total Benefits Paid.....IV-9-5

 d. Number of DisqualificationsIV-9-5

 e. Number Exhausting Benefits.IV-9-5

 f. Number ReemployedIV-9-5

 g. Average Weeks to Date of Reemployment.....IV-8-5

 h. Amount of Overpayments Established.....IV-9-6

2. Claimants Who Were Scheduled for at Least One REA
 During the Benefit YearIV-9-6

 a. Number Who Established a UI Benefit YearIV-9-6

 b. Total Weeks Compensated.....IV-9-6

 c. Total Benefits Paid.....IV-9-6

 d. Number of DisqualificationsIV-9-6

 e. Number Exhausting Benefits.IV-9-6

 f. Number ReemployedIV-9-6

 g. Average Weeks to Date of Reemployment.....IV-8-6

 h. Amount of Overpayments Established.....IV-9-6

UI REPORTS HANDBOOK NO. 401

ETA 9129 Reemployment and Eligibility Assessments Outcomes

A. Facsimile of Form

ETA 9129 REEMPLOYMENT AND ELIGIBILITY ASSESSMENT OUTCOMES

STATE:	REGION:	REPORT FOR PERIOD ENDING:
1. Claimants in the State-Defined Comparison Group		
a.	Number Who Established a UI Benefit Year in the Report Quarter	
b.	Total Weeks Compensated	
c.	Total Benefits Paid	
d.	Number of Disqualifications	
e.	Number Exhausting Benefits	
f.	Number Reemployed	
g.	Average Weeks to Date of Reemployment	
h.	Amount of Overpayments Established	
2. Claimants Scheduled for at Least one REA During the Benefit Year		
a.	Number Who Established a UI Benefit Year in the Report Quarter	
b.	Total Weeks Compensated	
c.	Total Benefits Paid	
d.	Number of Disqualifications	
e.	Number Exhausting	
f.	Number Reemployed	
g.	Average Weeks to Date of Reemployment	
h.	Amount of Overpayments Established	

Comments:

UI REPORTS HANDBOOK NO. 401

ETA 9129 Reemployment and Eligibility Assessments Outcomes

OMB No.: 1205-0456 **OMB Expiration Date:** 03/31/2009 **OMB Burden Hours:** 30 Minutes
OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

UI REPORTS HANDBOOK NO. 401

ETA 9129 Reemployment and Eligibility Assessments Outcomes

B. Purpose

The REA initiative provides funds to conduct in-person assessments in the One-Stop facilities which include: a UI continued eligibility review, the provision of labor market information, development of an individualized work-search plan, and referral to reemployment services and/or training, as appropriate. Assessments are to be provided to selected claimants who do not have a definite return-to-work date. States develop a specific method of selecting REA claimants and of providing a comparison group of claimants who do not receive an REA.

The ETA 9129 report provides quarterly information on the outcomes of Reemployment and Eligibility Assessment (REA) activities for claimants who are selected for REA activities and on a comparison group that has been identified by the State Workforce Agency. REAs provide in-person service in the One Stop Career Center for applicants including the development of an individualized work search plan, appropriate labor market information (LMI) and referral to reemployment services as appropriate. The data on this report allows for evaluation and monitoring of the REA initiative.

C. Due Date and Transmittal

The electronically submitted report is due in the ETA National Office on the 20th of the fourteenth month following the quarter in which the claimants started their benefit years.

Examples of time frames are given below:

Benefit Year Beginning Quarter	Due Date
Jan – Mar 2006	May 20, 2007
Apr – Jun 2006	Aug 20, 2007
Jul – Sep 2006	Nov 20, 2007
Oct – Dec 2006	Feb 20, 2008

D. General Reporting Instructions

Data on this report deals with individuals in the regular Unemployment Insurance program (this includes State, UCFE, and UCX) who are selected for an REA and similar data is collected for individuals in a control group for purposes of comparison.

E. Item by Item Instructions

The ETA 9129 Report provides data about two distinct groups. The first is a state-defined comparison group of claimants who were not selected for an REA and the second is the group of claimants who were scheduled for an REA. This information will be used to compare the outcomes between those who were scheduled for an REA and those who were not scheduled for an REA.

1. Claimants in a state-defined comparison group. The number of claimants in the universe of claimants who were in the target group from which REA participants could have been selected for an REA but were not selected. The claimants in this group should have characteristics as similar as possible to the selected REA participation group.
 - a. Number of claimants who filed a claim and established a UI benefit year in the report quarter. Enter the number of claimants in the state-defined comparison group who filed a claim and established a benefit year during the report quarter.
 - b. Total weeks compensated. Enter the number weeks of benefits paid for those claimants reported in item 1.a. during their respective benefit years. This number includes weeks of partial payments.
 - c. Total benefits paid. Enter the total dollar amount of benefits paid to those claimants reported in item 1.a. during their respective benefit years. This number includes weeks of partial payments.
 - d. Number of disqualifications for claimants in the group. Enter total number of disqualifications for those claimants reported in item 1.a. This may include multiple disqualifications.
 - e. Number of claimants exhausting benefits. Enter the number of claimants reported in item 1.a. who exhausted benefits.
 - f. Number of claimants reemployed within the benefit year, based on the National or State Directories of New Hires or other sources. Enter the number of claimants reported in item 1.a. who became reemployed within the benefit year, based on information from the National or State Directories of New Hire or other sources.
 - g. Average weeks to date of reemployment for those who became reemployed during the benefit year. Enter the average weeks from the date of the initial claim to the date of reemployment.

UI REPORTS HANDBOOK NO. 401

ETA 902 Disaster Unemployment Assistance Activities

CONTENTS

A. Facsimile of FormIV-10-2

B. Purpose.....IV-10-3

C. Scope and Duration of the ReportIV-10-3

D. Due Date and TransmittalIV-10-3

E. General Reporting InstructionsIV-10-3

F. Definitions.....IV-10-4

G. Item by Item Instructions.....IV-10-4

 1. Report Period Ended.....IV-10-4

 2. State.....IV-10-4

 3. FEMA Declaration No.IV-10-4

 4. Report TypeIV-10-4

 5. Declaration DateIV-10-4

 6. Announcement Date.IV-10-4

 7. Section A. Application and Payment ActivitiesIV-10-4

 a. Initial Application.....IV-10-5

 b. Number Determined Eligible.IV-10-5

 c. First Payments.....IV-10-5

 d. Weeks Claimed.....IV-10-5

 e. Weeks Compensated.....IV-10-5

 f. Amount Compensated.IV-10-5

 8. Section B. Denial and Appeals Activity.....IV-10-5

 a. Weeks of DUA Denied.IV-10-5

 b. Appeals Filed.IV-10-6

 c. Appeals Disposed.IV-10-6

 d. Favor of Appellant.....IV-10-6

 9. Section C. Overpayment Activity and AdministrationIV-10-6

 a. Overpayments.IV-10-6

 b. Administrative CostsIV-10-6

H. Checking the ReportIV-10-6

 1. General ChecksIV-10-6

 2. Arithmetic ChecksIV-10-7

 3. Signature.....IV-10-7

UI REPORTS HANDBOOK NO. 401

ETA 902 Disaster Unemployment Assistance Activities

A. Facsimile of Form

ETA 902 DISASTER UNEMPLOYMENT ASSISTANCE ACTIVITIES

STATE:		REGION:			REPORT FOR PERIOD ENDING:			
FEMA DR. NO.	Report Type	Declaration Date		Announcement Date				
SECTION A. APPLICATION AND PAYMENT ACTIVITIES								
CATEGORY	LINE NO.	INITIAL APPS.	NO. DETERM. ELIG.	FIRST PAYMTS.	WKS. CLAIMED	WKS. COMP.	AMOUNT COMP.	
		1	2	3	4	5	6	
Total	101							
Self - Employed	102							
SECTION B. DENIAL AND APPEALS ACTIVITY								
CATEGORY	LINE NO.	WKS.OF DUA DENIED	APPEALS FILED		APPEALS DISPOSED		FAVOR OF APPELLANT	
			STATE	R A	STATE	R A	STATE	R A
		7	8	9	10	11	12	13
Total	201							
Self - Employed	202							
SECTION C. OVERPAYMENT ACTIVITY AND ADMINISTRATION								
CATEGORY	LINE NO.	OVERPAYMENTS			ADMINISTRATIVE COSTS			
		CASES	WEEKS	AMOUNT	PERSONNEL	N P S	AS&T	
		14	15	16	17	18	19	
Total	301							
Fraud	302							
Signature				Title				

Comments:

OMB No.: 1205-0051 **OMB Expiration Date:** 06/30/2008 **OMB Burden Hours:** 217 Minutes
OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is required to obtain or retain benefits under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

UI REPORTS HANDBOOK NO. 401

ETA 902 Disaster Unemployment Assistance Activities

B. Purpose

The ETA 902 report contains monthly data on Disaster Unemployment Assistance activities when there is a disaster declared by the President.

C. Scope and Duration of the Report

1. Submit a separate report for each major disaster declared in a state where an announcement has been made by the state agency of the availability of DUA.
2. The first report shall be sent in the month following the announcement date, and later reports shall be sent each month that DUA activity continues to occur, such as for payments made for weeks in the disaster assistance period (DAP) issued as a result of appeals.
3. Generally, states incur a certain amount of administrative costs even if no DUA benefits are paid. In these cases, a final ETA 902 must still be submitted. In Section C: columns 17-19, indicate the amount of administrative funds provided by FEMA.

D. Due Date and Transmittal

Reports shall be submitted electronically each month providing DUA activities performed during the preceding calendar month. Reports are due in the National Office on the 30th of the month following the month to which data relate. (South Pacific Island jurisdictions must submit hardcopy reports, as there is no electronic submittal method available to them at this time.)

For South Pacific Island jurisdictions, one copy should be sent to the National Office addressed as follows:

U.S. Department of Labor, ETA
Attn: Office of Workforce Security
Frances Perkins Building
200 Constitution Avenue, N.W.
Washington, D.C. 20210
Attention: Miriam Thompson-DUIO

One copy should be sent to the San Francisco ETA Regional Office.

E. General Reporting Instructions

1. In all instructions, reference to State UI (UC) claims will include UCFE, UCX, TRA, RRA (Railroad), EB, and any other program included and/or defined under 20 CFR 625.2(d).

UI REPORTS HANDBOOK NO. 401

ETA 902 Disaster Unemployment Assistance Activities

2. Self-employed applicants are those who have filed an initial request for DUA and for whom it was determined that their primary reliance for income is on their performance of services in their own business or farm.
3. Payments of UI made to replace erroneously paid DUA should not be reported on the ETA 902, but should be reported on the appropriate UI reports, i.e., ETA 5159.

F. Definitions

1. Effective Date of an Initial Application. The effective day is the first day of the first week of unemployment provided that week of unemployment is in the disaster assistance period (DAP).
2. Eligible. Meets qualifications for receiving Disaster Unemployment Assistance, as specified at 20 CFR 625.4. Under 20 CFR 625.4(i), if an individual is eligible for UC, such individual is not eligible for DUA and should not be counted in any DUA Activities report.

G. Item by Item Instructions

1. Report Period Ended. Enter the month, last day of the month, and four digit year to which the data relate; e.g., 01/31/1998.
2. State. Enter the two-letter FIPS State Alpha Code (identical to the two-letter U.S. Postal Service abbreviation) of the state or South Pacific Island jurisdiction as it appears in FIPS Publication 5-2. This Federal Information Processing Standards publication was issued by the National Institute of Standards and Technology on May 28, 1987.
3. FEMA Declaration No. Enter the FEMA disaster identification number assigned by the FEMA National Office at the time of a disaster.
4. Report Type. Enter "I" for interim if the disaster workload and/or payment activity is on-going. Enter "F" for final if the disaster workload and/or payment activity has ended.
5. Declaration Date. Enter the date the President declared the major disaster; e.g., 08/29/2005. (This was formerly entitled announcement date on the old ETA 902 form.)
6. Announcement Date. Enter the date the state agency or South Pacific Island jurisdiction announced the availability of DUA through the media in accordance with 20 CFR 625.17; e.g., 09/01/2006.
7. Section A. Application and Payment Activities.

UI REPORTS HANDBOOK NO. 401

ETA 902 Disaster Unemployment Assistance Activities

- a. Column 1, Initial Applications. Enter the number of initial applications for DUA taken during the report period. This will equal the number of initial applications that were completed and/or number of applications entered into an automated system through an electronic/telephone claimstaking system during the report period. Do not include individuals eligible for UC where it may have been necessary, due to the filing environment, to accept initial claims for both programs.
 - b. Column 2, Number Determined Eligible. Enter the number of individuals determined eligible for DUA during the report period. Do not include individuals eligible for UC where it may have been necessary, due to the filing environment, to accept initial claims for both programs.
 - c. Column 3, First Payments. Enter the number of payments which represent, for any individual, the first week for which assistance is paid in the disaster assistance period.
 - d. Column 4, Weeks Claimed. Enter the total number of weeks for which DUA is claimed during the report period whether or not DUA is actually paid. If claims are filed weekly, the number of weeks will equal the number of weekly received during the report period. If claims are filed other than weekly claims, the number of weeks will equal the number of weeks during the report period.
 - e. Column 5, Weeks Compensated. Enter the number of weeks of unemployment for which DUA was paid during the report period. A week of unemployment compensated is any week of unemployment for which DUA funds are paid, regardless of amount.
 - f. Column 6, Amount Compensated. Enter the amount of DUA funds represented by the weeks reported in column 5.
8. Section B. Denial and Appeals Activity.
- a. Column 7, Weeks of DUA Denied. Enter the number of weeks of unemployment where a DUA payment was denied for which an individual, except for the reason of the denial, would have been eligible to receive a DUA payment.

NOTE: For columns 8 through 13, the entries refer to the number of cases received or disposed of during the report period by authority (i.e., first level state appeals authority and the ETA Regional Administrator (RA) as the second level). All cases, including cases disposed of before reaching the appeals authority, should be included. Definitions of case, authority, disposal, etc., are those developed for the DUA program where found or, when these do not exist, are those used in the state UI program.

UI REPORTS HANDBOOK NO. 401

ETA 902 Disaster Unemployment Assistance Activities

- b. Columns 8 and 9, Appeals Filed. In columns 8 and 9 distribute, by type of authority, the appeal cases or requests for review received during the month. In addition, provide a sub-breakout of the Total for self-employed individuals in line 202.
 - c. Columns 10 and 11, Appeals Disposed. Enter in columns 10 and 11 the total number of cases disposed during the month by authority level. In line 202, provide the number of cases disposed of involving self-employed individuals.
 - d. Columns 12 and 13, Favor of Appellant. Enter in columns 12 and 13 the number of appeal decisions included in columns 10 and 11, which were in favor of the appellant by authority level. In line 202 enter a breakout of self-employed individuals who appealed and had the decision in their favor.
9. Section C. Overpayment Activity and Administration.
- a. Columns 14, 15, and 16, Overpayments. In column 14, Cases, line 301, enter the number of cases, including willful misrepresentation (fraud) determined during the report period as an overpayment, regardless of when it occurred. In line 302 provide a sub-breakout of the number of cases determined as fraud cases. In column 15, Weeks, enter in line 301 the number of weeks of DUA overpaid in connection with the cases reported in column 14; enter the number of weeks of fraud overpayments included in line 301. In column 16, Amount, enter in line 301, the amount overpaid represented by cases reported in column 14. Provide a sub-breakout of the amount involving fraud in line 302.
 - b. Columns 17, 18 and 19, Administrative Costs. If available on a monthly basis, entries are needed in these items to monitor state agency expenditures and to support requests for additional administrative funds from FEMA. Enter in column 17, Personnel Costs (PC), the amount of personal service (salary) costs and personnel benefits (health, retirement, etc.) costs for staff performing DUA activities. In column 18, Non Personal Services (NPS), enter the total dollars expended for non-personal service costs (e.g., supplies, travel, equipment, etc.) attributable to DUA administration. Enter in column 19, Administrative, Support and Technical (AS&T), the total PC and NPS costs for staff performing AS&T functions to support the staff reported in column 17. If administrative costs are not available for the month to which data relate, to the extent possible, states should amend the report when the information becomes available. At a minimum, states should ensure the data are provided on a subsequent report during the quarter to which the data apply.

H. Checking the Report

1. General Checks. Entries should be made for all required items. If the item is inapplicable, or if applicable but no activity corresponding to the items occurred

UI REPORTS HANDBOOK NO. 401

ETA 902 Disaster Unemployment Assistance Activities

during the report period, a zero should be entered. A report containing missing data cannot be sent to the National Office, but can be stored on the state's system. Special attention should be given the entries in the heading because the "FEMA DR No." and "Declaration Date" will be used to identify and accumulate data from reports relating to individual disasters.

2. Arithmetic Checks.
 - a. For columns 1, 2, and 8 through 13, the entries in line 102 and 202 respectively, should be equal to or less than the entries in line 101 or 201.
 - b. For columns 14 through 16, the entries in line 302 should be equal to or less than line 301.
3. Signature. Signature is only required if reports are sent manually to the National Office.

UI REPORTS HANDBOOK NO. 401

ETA 9000 Internal Fraud Activities

CONTENTS

A. Facsimile of FormIV-11-2

B. Purpose.....IV-11-4

C. Due Date and TransmittalIV-11-4

D. General Reporting InstructionsIV-11-4

 1. Rounding Dollar AmountsIV-11-4

 2. Estimating Cases and Dollar AmountsIV-11-4

 3. Safeguard and Cost Benefit AnalysisIV-11-5

 4. Past ExperienceIV-11-5

 5. Automated AnalysisIV-11-5

E. Definitions.....IV-11-5

 1. EmployeeIV-11-5

 2. Internal Fraud.....IV-11-5

 3. UI Program.....IV-11-5

F. Item by Item Instructions.....IV-11-5

 1. Section A. Benefit Funds.....IV-11-5

 2. Section B. Contributions.....IV-11-6

 3. Section C. Administrative FundsIV-11-7

 4. Section D. Detection and Prevention ActivitiesIV-11-8

 5. Section E. Action Against EmployeesIV-11-9

G. Checking Form ETA 9000IV-11-9

 1. General CheckIV-11-9

 2. Section A.....IV-11-9

 3. Section B.....IV-11-10

 4. Section C.....IV-11-10

 5. Section D.....IV-11-10

 6. Section E.....IV-11-10

UI REPORTS HANDBOOK NO. 401
ETA 9000 Internal Fraud Activities

A. Facsimile of Form

ETA 9000 INTERNAL FRAUD ACTIVITIES

STATE:		REGION:		REPORT FOR PERIOD ENDING:			
SECTION A. BENEFIT FUNDS - UI EMPLOYEE							
	Line	Number Cases		Dollar Amounts		Number Cases Employee Acted	
		Actual (1)	Estimated (2)	Actual (3)	Estimated (4)	Alone (5)	With Others (6)
Claimed Benefits after Returned to Work	101						
Diverted Benefits Non-employee Claims	102						
Established Claims with Bogus Wages	103						
Authorized Improper Claims for Others	104						
Appropriated Outgoing/Returned Checks	105						
Pocketed Repayment by Overpaid Claimants	106						
Extorted Money from Claimants	107						
Miscellaneous	108						
Totals	109						
SECTION B. CONTRIBUTIONS - UI EMPLOYEE							
Misused Confidential Employer Files	201						
Misappropriated Monies Taxes, Penalty/Interest Employers	202						
Falsified Employer Records Reducing Tax/Penalty/Interest	203						
Misappropriated Refunds Due Employer	204						
Generated False Refund Checks	205						
Created Fictitious Employer Account	206						
Extorted Money from Employer	207						
Miscellaneous	208						
Totals	209						
SECTION C. ADMINISTRATIVE FUNDS - UI EMPLOYEE							
	Line	Number Cases		Dollar Amounts		Number Cases Employee Acted	
		Actual (1)	Estimated (2)	Actual (3)	Estimated (4)	Alone (5)	With Others (6)
Embezzled Administrative Funds	301						

UI REPORTS HANDBOOK NO. 401

ETA 9000 Internal Fraud Activities

Misused Equipment or Supplies	302						
Falsified Time and Attendance Records	303						
Falsified Travel Voucher	304						
Made Unauthorized Telephone Calls	305						
Miscellaneous	306						
Totals	307						

SECTION D. DETECTION AND PREVENTION ACTIVITIES

	Line	Number Cases		Dollar Amounts	
		Actual (7)	Estimated (8)	Actual (9)	Estimated (10)
Audits Conducted	401				
Matching Systems	402				
Communications	403				
Controls Established	404				
Miscellaneous	405				
Totals	406				

SECTION E. ACTION AGAINST EMPLOYEES - NUMBER EMPLOYEES

	Line	Charged (11)	Arrested (12)	Prosecuted (13)	Convicted (14)	Imprisoned (15)	No Action (16)
Criminal Actions	501						
		Charged (17)	Arrested (18)	Prosecuted (19)	Convicted (20)	Imprisoned (21)	No Action (22)
OIG Referral	502						
		Reprimanded (23)	Suspended (24)	Demoted (25)	Discharged (26)	Resigned (27)	No Action (28)
Administrative Actions	503						

Comments:

OMB No.: 1205-0187 **OMB Expiration Date:** 05/31/2011 **OMB Burden Hours:** 180 Minutes
OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is required to obtain or retain benefits under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

UI REPORTS HANDBOOK NO. 401

ETA 9000 Internal Fraud Activities

B. Purpose

Form ETA 9000 provides information on State Workforce Agency (SWA) internal fraud activities in the unemployment insurance (UI) program. Such information includes:

1. The number of actual and estimated internal fraud cases involving UI program benefit funds, contributions and administrative funds.
2. The actual and established dollar amounts involved in such cases.
3. The number of actual cases in which employees acted alone or acted with others.
4. The activities used by the SWA to detect or prevent such cases.
5. The criminal and administrative actions taken against employees involved in the internal fraud cases.

Each SWA should maintain all documentation supporting the information reported on Form 9000 and retain it for three years following the end of each report period for audit purposes.

C. Due Date and Transmittal

The ETA 9000 report is prepared once for each federal fiscal year and should be transmitted over the UI system.

The federal fiscal year ends September 30 and the report is due November 1st. Only if electronic transmission of the report is not available should the report be sent in by hard copy mailed. In such cases, one copy of the report should be sent mailed to the appropriate Regional Office; the original and one copy should be sent mailed to:

US Department of Labor
Employment and Training Administration
TEURA – Room S-4231
Frances Perkins Building
200 Constitution Avenue N.W.
Washington, DC 20210

D. General Reporting Instructions

1. Rounding Dollar Amounts. In reporting dollar amounts on Form ETA 9000, any dollar amount which is not an even dollar amount should be rounded to the next higher dollar.
2. Estimating Cases and Dollar Amounts. The ETA 9000 report captures both actual and estimated data. Cases and dollars may be estimated using various quantitative methods. To date no method has been identified as the best

UI REPORTS HANDBOOK NO. 401

ETA 9000 Internal Fraud Activities

method. SWAs must identify the method used to capture the estimated data and provide a rationale for choosing that particular method.

3. Safeguard and Cost Benefit Analysis. The preferable method for estimating dollar amounts saved is the “safeguard and cost-benefit analysis” included in the UI risk analysis methodology. SWAs use such analyses in their risk analysis studies to identify necessary safeguards and to determine their cost-benefit in terms of the dollar amounts of loss prevented.
4. Past Experience. In instances where the “safeguard and cost-benefit analysis” method would not be appropriate, the method for estimating dollar amounts saved may be based on actual dollar amounts of loss experienced before the controls or safeguards to prevent internal fraud were established.
5. Automated Analysis. SWAs may use an automated risk analysis software package such as Riskwatch, which can provide a framework for the ETA 9000 estimates.

E. Definitions

For the purpose of this report:

1. Employee. Means a SWA employee who performs UI program function activities. (Refer to Chapter IV-5 of ET Handbook No. 362, SWA Accounting Manual, Volume II).
2. Internal Fraud. Defined as deliberate conduct by a SWA employee aimed at obtaining SWA funds, property, etc. to which he or she is not entitled or assisting another individual in obtaining EWA funds, property, etc. to which that individual is not entitled.
3. UI Program. Means all state and federal programs administered by the SWA which provide for the payment of benefits to individuals with respect to their unemployment. Such programs include state UI, Unemployment Compensation for Federal Employees (UCFE) and Ex-service members (UCX), Federal-State Extended Benefits (EB), Trade Adjustment Assistance (TAA), Disaster Unemployment Assistance (DUA) and temporary federal programs such as Emergency Unemployment Compensation (EUC).

F. Item by Item Instructions

Reporting Instructions for Form ETA 9000, Sections A through E

1. Section A. Benefit Funds. This section concerns actual and estimated internal fraud cases involving UI program benefit funds. The items in this section represent the major areas of internal fraud reported by SWAs in the past. These items are classified as follows:

UI REPORTS HANDBOOK NO. 401

ETA 9000 Internal Fraud Activities

- a. Employee with a legitimate claim continues to file after returning to work with the SWA or later reactivates his/her claim while still working and fails to report earnings.
- b. Employee diverts benefits from non-employee claims (usually inactive) by changing the address on the claim (and possibly claimant name) and issuing checks to a drop address.
- c. Employee establishes claims with bogus wages and pays benefits to himself/herself or others.
- d. Employee processes claims for others knowing they do not meet eligibility requirements.
- e. Employee appropriates outgoing or returned benefit checks.
- f. Employee pockets repayment made by overpaid claimants.
- g. Employee extorts money from claimants for authorizing benefits to which they may or may not be entitled.
- h. Miscellaneous. (All other cases)

Line items 101 through 108 correspond to items 1 through 8 above. Enter in columns 1 through 4 the number of actual and estimated internal fraud cases detected and prevented; the actual and estimated dollar amounts involved in such cases and enter in columns 5 and 6 the number of actual cases in which employees acted alone or acted with others in committing internal fraud.

Enter in columns 1 through 6 the totals of lines 101 through 108 on line 109 marked "Totals."

2. Section B – Contributions. This section concerns actual and estimated internal fraud cases involving UI program employer contributions. The items in this section are classified as follows:
 - a. Employee misused confidential information from employer file.
 - b. Employee misappropriated monies due to SWA in taxes, interest, and penalties.
 - c. Employee falsified records for a kick-back, reducing the amount of tax, interest and penalties due SWA.
 - d. Employee misappropriated refund checks due an employer.
 - e. Employee generated false refund checks, diverting payment to himself/herself or an accomplice.

UI REPORTS HANDBOOK NO. 401

ETA 9000 Internal Fraud Activities

- f. Employee created fictitious employer accounts and claimed UI benefits based on bogus wage credits.
- g. Employee extorted money from an employer.
- h. Miscellaneous. (All other cases)

Line items 201 through 208 correspond to items 1 through 8 above. Enter columns 1 through 4 the number of actual and estimated internal fraud cases detected and prevented; the actual and estimated dollar amounts involved in such cases and enter in columns 5 and 6 the number of actual cases in which employees acted alone or acted with others in committing internal fraud.

Enter in columns 1 through 6 the totals of lines 201 through 208 on line 209 which is marked "Totals."

3. Section C – Administrative Funds. This section concerns actual and estimated internal fraud cases involving UI program administrative funds. The items in this section represent the major areas of internal fraud cases involving administrative funds reported by SWAs. These items are classified as follows:
- a. Employee embezzled or misused UI program administrative funds (including Petty Cash funds).
 - b. Employee misused equipment or supplies (including theft and sabotage).
 - c. Employee falsified time and attendance records.
 - d. Employee falsified travel vouchers.
 - e. Employee made unauthorized telephone calls.
 - f. Miscellaneous (All other cases)

Line items 301 through 306 correspond to items 1 through 6 above. Enter columns 1 through 4 the number of actual and estimated internal fraud cases detected and prevented; the actual and estimated dollar amounts involved in such cases and enter in columns 5 and 6 the number of actual cases in which employees acted alone or acted with others in committing internal fraud.

Enter in columns 1 through 6 the totals of lines 301 through 306 on line 307 which is marked "Totals."

4. Section D – Detection and Prevention Activities. This section concerns the activities used by SWAs to detect or prevent internal fraud in the UI program. The items in this section represent the activities used to detect or prevent all of

UI REPORTS HANDBOOK NO. 401

ETA 9000 Internal Fraud Activities

the internal fraud cases which were reported in sections A, B, or C. These items are classified as follows:

- a. Fraud cases detected as a result of audits.
- b. Fraud cases detected as a result of matching systems.
- c. Fraud cases detected as a result of communications from concerned sources.
- d. Fraud cases detected as a result of controls established.
- e. Miscellaneous. (All other activities)

Line 401, Fraud Cases Detected as a Result of Audits. Enter in columns 7 and 9 the number of actual internal fraud cases and dollar amounts detected as a result of audits or reviews conducted by the SWA or other state or federal agency.

Line 402, Fraud Cases Detected as a Result of Matching Systems. Enter in columns 7 and 9 the number of actual internal fraud cases and dollar amounts detected as a result of matching systems (e.g. crossmatch or SWA employee payrolls with UI benefit files)

Line 403, Fraud Cases Detected as a Result of Communications from Concerned Sources. Enter in columns 7 and 9 the number of actual internal fraud cases and dollar amounts detected as a result of communications from concerned sources (e.g. other SWA employees, employers, sources outside the SWA)

Line 404, Fraud Cases Detected as a Result of Controls Established. Enter in columns 8 and 10 the number of estimated internal fraud cases prevented and dollar amounts saved as a result of controls or safeguards established (e.g. The amount of savings estimated from a safeguard implemented to correct a particular vulnerability noted in a risk analysis)

Line 405, Miscellaneous. Enter in columns 7 and 10 the number of all other actual or estimated internal fraud cases and dollar amounts.

Line 406, Totals. Enter in columns 7 and 10 the totals of lines 401 through 405 on line 406. the sum totals of section D (line 406) should equal the sum totals of Section A, B and C (lines 109, 209 and 307).

5. Section E, Action Against Employees. This section concerns the criminal and administrative actions taken by the SWA and the US Department of Labor's Office of Inspector General (OIG) against SWA employees who committed

UI REPORTS HANDBOOK NO. 401

ETA 9000 Internal Fraud Activities

internal fraud. This section also includes instances where no action was taken by SWA or the OIG. These actions are classified as follows:

Line 501, Criminal Actions. Enter in columns 11 through 15 the number of employees who as a result of internal fraud were charged, arrested, prosecuted, convicted or imprisoned. If any such action was taken after the case was referred to the OIG, enter the number only in line 502, columns 17 through 21. Enter in column 16 the number of such employees against whom no criminal action was taken.

Line 502, OIG Referrals. Enter in columns 17 through 21 the number of employees who as a result of internal fraud were charged, arrested, prosecuted, convicted or imprisoned after the cases were referred to the OIG. Enter in column 22 the number of such employees against whom no criminal action was taken.

Line 503, Administrative Actions. Enter in columns 23 through 27 the number of employees who as a result of internal fraud were reprimanded, suspended, demoted, discharged or who resigned to avoid discharge. Enter in column 28 the number of such employees against whom no administrative action was taken.

G. Checking Form ETA 9000

1. General Check. The region code, state code, state name and report period ended date appear at the top of the report.

The date that the report is prepared and the name and title of the state agency head or designated representative are typed at the bottom of the report and the signature is immediately above the typed name.

Entries are required for all fields. If an item is not applicable enter "NA." If no activity corresponding to the item occurred during the report period enter "0."

The area titled "Remarks" located at the bottom of each page should be used to describe miscellaneous entries in lines 108, 208, 306 and 405 on the report (including amended reports).

2. Section A. Column 1, lines 101 through 109, should equal the sum of column 5 and 6, lines 101 through 109, in each respective line.

Column 1 through 6, line 109, should equal the sum of columns 1 through 6, lines 101 through 108, in each respective line.

3. Section B. Column 1, lines 201 through 209, should equal the sum of columns 5 and 6, line 201 through 209, in each respective line.

UI REPORTS HANDBOOK NO. 401

ETA 9000 Internal Fraud Activities

- Column 1 through 6, line 209, should equal the sum of columns 1 through 6, lines 201 through 208, in each respective line.
4. Section C. Column 1, lines 301 through 307, should equal the sum of columns 5 and 6, line 301 through 307, in each respective line.

Column 1 through 6, line 307, should equal the sum of columns 1 through 6, lines 301 through 306, in each respective line.

5. Section D. Columns 7 through 10, line 406, should equal the sum of columns 1 through 4, lines 109, 209 and 307, in each respective line.

Column 7 through 10, line 406, should equal the sum of columns 7 through 10, lines 201 through 208, in each respective line.

6. Section E. A check of this section against other sections of the ETA 9000 is not applicable since numbers reported in this section do not necessarily apply to numbers reported in the other sections. Numbers reported in this section apply to criminal and administrative actions taken against past, as well as, present employees as such actions occur.

However, only those actions taken against employees during the reporting period should be reported in section E.

CONTENTS

A. Facsimile of Form V-1-2

B. Purpose V-1-4

C. Due Date and Transmittal V-1-4

D. General Reporting Instructions V-1-4

E. Definitions..... V-1-5

 1. Payment for First Compensable Week..... V-1-5

 2. First Payment Time Lapse V-1-7

 3. Mail Date V-1-7

 4. Joint Claims..... V-1-8

 5. Partial/Part-Total Payments V-1-8

 6. Total Payments V-1-8

 7. State Unemployment Insurance (UI) V-1-8

 8. Unemployment Compensation for Federal Employees (UCFE) V-1-8

 9. Unemployment Compensation for Ex-Servicemembers (UCX)..... V-1-8

 10. Workshare (Short-Time Compensation (STC) Program)..... V-1-8

F. Item by Item Instructions..... V-1-9

 1. All Intrastate First Payments V-1-9

 2. All Interstate First Payments V-1-9

 3. Intrastate Partial/Part-Total First Payments Only V-1-10

 4. Interstate Partial/Part-Total Payments Only V-1-10

 5. Workshare First Payments V-1-11

 6. Comments..... V-1-11

UI REPORTS HANDBOOK NO. 401

ETA 9050 First Payment Time Lapse

A. Facsimile of Form

ETA 9050 - TIME LAPSE OF ALL FIRST PAYMENTS EXCEPT WORKSHARE

STATE	REGION	REPORT FOR PERIOD ENDING						
Time Lapse (Days)	Intra-State				Inter-State			
	Total	UI	UCFE	UCX	Total	UI	UCFE	UCX
Total								
<=7								
8-14								
15-21								
22-28								
29-35								
36-42								
43-49								
50-56								
57-63								
64-70								
>70								

ETA 9050 - TIME LAPSE OF PARTIAL/PART TOTAL FIRST PAYMENTS

STATE	REGION	REPORT FOR PERIOD ENDING						
Time Lapse (Days)	Intra-State				Inter-State			
	Total	UI	UCFE	UCX	Total	UI	UCFE	UCX
Total								
<=7								
8-14								
15-21								
22-28								
29-35								
36-42								
43-49								
50-56								
57-63								
64-70								

UI REPORTS HANDBOOK NO. 401

ETA 9050 First Payment Time Lapse

>70								
-----	--	--	--	--	--	--	--	--

ETA 9050 - FIRST PAYMENT TIME LAPSE (WORKSHARE)

STATE	REGION	REPORT FOR PERIOD ENDING	
Time Lapse (Days)		Workshare Claims	
Total			
0-7			
8-14			
15-21			
22-28			
29-35			
36-42			
43-49			
50-56			
57-63			
64-70			
>70			

Comments:

OMB No.: 1205-0359 **OMB Expiration Date:** 11/30/2010 **OMB Burden Hours:** 30 Minutes
OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

UI REPORTS HANDBOOK NO. 401

ETA 9050 First Payment Time Lapse

B. Purpose

The ETA 9050 report contains monthly information on first payment time lapse. This report concerns the time it takes states to pay benefits to claimants for the first compensable week of unemployment. Similar time lapse data was formerly reported in Section C of the ETA 5159 report. That data addressed first payment time lapse for total unemployment only. This report contains monthly time lapse data for all first payments, i.e., total, partial/part-total. A separate section of this report is reserved for Workshare (Short-Time Compensation) first payments only. Workshare will be reported separately and is excluded from that part of the report for "ALL" first payments.

C. Due Date and Transmittal

The report is due in the ETA National Office on the 20th of the month following the month to which the data relates. This report will be transmitted electronically.

D. General Reporting Instructions

The First Payment Time Lapse measure requires that the state computer read the universe of all first payment records. These counts are categorized by Intrastate and Interstate claims payments and, within those categories, the number that are under the state UI program, Unemployment Compensation for Federal Employees (UCFE), and Unemployment Compensation for Ex-Servicemembers (UCX). While included under the "All" category the sub-category of partial/part-total first payment time lapse will also be reported using a separate entry screen. These categories are further broken out by the number of first payments by program type and time lapse at seven day intervals.

Workshare will be reported separately and is excluded from that part of the report for "ALL" first payments.

- Includes total, partial/part-total first payments for new, additional and transitional claims.
- Includes combined wage claims first payments reported in the appropriate category determined by the nature of the base period wages.
- Includes offsets and intercepts.
- Excludes episodic claims programs such as Extended Benefits, Disaster Unemployment Assistance, and Trade Readjustment Allowances.
- Excludes retroactive payment for a compensable waiting period.
- Workshare will be reported separately and therefore is excluded from that part of the report for "ALL" first payments.

UI REPORTS HANDBOOK NO. 401

ETA 9050 First Payment Time Lapse

Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

E. Definitions

Definitions, unless otherwise specified in these instructions, will follow the definitions for the ETA 5159 found elsewhere in this handbook.

1. Payment for First Compensable Week. To be a first payment recorded on this report, it must be the payment for the earliest compensable week in the benefit year. Such a payment must simultaneously conform to the definitions for a payment, a compensable week, and first compensable week. It is not automatically the first week paid; some benefit years will not have a payment for the first compensable week.
 - a. Payments. Benefit payments include total, partial and part-total payments, full or partial offsets to satisfy and outstanding overpayment, a child support intercept order or a food stamp over-issuance, waiting weeks waived by a governor under a state law and compensated because of a legally recognized disaster, and payments resulting from the reversal of a single or multi-claimant adjudication by a lower or higher authority appeal decision or by a court decision.
 - b. Compensable Week. Claimants who are monetarily eligible or who have a pending monetary determination may claim--submit for payment or waiting-week credit—a week of unemployment for which they believe they meet the state's weekly eligibility conditions. A week with excessive earnings—enough to reduce the weekly benefit amount payment to zero—is considered a week of employment and not unemployment and thus is not a “week claimed.”

Most states require a week to be served as a waiting period week prior to receiving a first payment. Claimants are required to meet all of the eligibility criteria to receive a benefit payment but the week is not a payable week. Some states will retroactively compensate the waiting week after the claimant has received payment for a number of weeks.

- c. First Compensable Week. The first compensable week is the earliest compensable week claimed in the benefit year.
 - 1) This will normally be the first week in the claims series in non-waiting week states and the second week in the claims series in waiting week states.
 - 2) If two or more weeks of benefits at the beginning of the claims series are paid at the same time (whether by separate checks or by one check), then the earliest week-ending date in the benefit year is the starting date for measuring the timeliness of the first payment.

UI REPORTS HANDBOOK NO. 401

ETA 9050 First Payment Time Lapse

- 3) The normal situation in (1) will not occur if the claimant is disqualified by nonmonetary denial or penalty for what would have been the waiting week or the usual first compensable week. In either of these situations, no payment for a first compensable week is reported on the 9050 report; instead, the first week paid is a continued week and reported on the 9051 report.

- 4) If the waiting-week denial is later reversed on appeal, it may be either paid (if the claimant had already served a waiting week) or used for waiting week credit. If it is paid, it becomes a payment for the first compensable week.

- 5) In summary, in waiting week states, if the first week in the series is credited as a waiting week, the second week is the first compensable week. If any other week is credited as a waiting week, the very first week in the claim series becomes the first compensable week unless the claimant had excessive earnings.

The table below provides instructions for determining which weeks would be reported as first compensable weeks (for first payment time lapse) and continued weeks (for continued weeks time lapse) under some common scenarios in waiting week and non-waiting week states.

Scenarios for Waiting Week States						
#	Scenarios	Claimed Weeks				
	Scenarios for reporting paid weeks time lapse. Payments for weeks reversed on appeal shown in parenthesis	Week 1	Week 2	Week 3	Week 4	Week 5
1	No Issue	WW	P-9050	P-9051	P-9051	P-9051
2	Week 1 denied; not appealed. No first compensable week will ever be reported.	D	WW	P-9051	P-9051	P-9051
3	Week 1 denied; reversed on appeal after claimant served waiting week in week 2. Week 1 reported as first compensable week after initial denial is reversed.	D (r-9050)	WW	P-9051	P-9051	P-9051
4	All 4 weeks denied; no weeks allowed. Claimant returned to work in week 5 before receiving any payments. Denials later reversed on appeal. Week 1 is ww; week 2 is first compensable.	D (r-WW)	D (r-9050)	D (r-9051)	D (r-9051)	NC
5	Week 1 not considered a week claimed because claimant had excess	No WC; ex-earn	WW	P-9050	P-9051	P-9051

UI REPORTS HANDBOOK NO. 401

ETA 9050 First Payment Time Lapse

	earnings. Claims series begins in week 2.					
--	---	--	--	--	--	--

Scenarios for Non-Waiting Week States						
#	Scenarios	Claimed Weeks				
	Scenarios for reporting paid weeks time lapse. Payments for weeks reversed on appeal shown in parenthesis	Week 1	Week 2	Week 3	Week 4	Week 5
1	No issue	P-9050	P-9051	P-9051	P-9051	P-9051
2	Week 1 denied; not appealed. No first compensable week will ever be reported.	D	P-9051	P-9051	P-9051	P-9051
3	Week 1 denied; reversed on appeal. Week 1 reported as first compensable week after initial denial is reversed.	D (r-9050)	P-9051	P-9051	P-9051	P-9051
4	All 4 weeks denied; no weeks allowed. Claimant returned to work in week 5 before receiving any payments. Denials later reversed on appeal. Week 1 is first compensable.	D (r-9050)	D (r-9051)	D (r-9051)	D (r-9051)	NC
5	Week 1 not considered a week claimed because claimant had excess earnings. Claims series begins in week 2.	No WC; ex-earn	P-9050	P-9051	P-9051	P-9051

Above Tables Legend	
WW	Waiting Week
WC	Week Claimed
P	Paid Week
D	Denied Week because of Nonmonetary Issue
R	Week Reversed on Appeal
NC	Not Claimed

2. **First Payment Time Lapse.** A measurement of the number of days from the week ending date of the first compensable week in the benefit year to the date the payment is made in person, mailed or offset or intercept is applied on the claim.
3. **Mail Date.** The mail date is the date the State Workforce Agency (SWA) actually mails the first payment to the claimant. SWAs determine the mail date and provide DOL with its procedure(s) to derive it.

When multiple weeks are paid at the same time, the earliest week is reported as the first payment.

UI REPORTS HANDBOOK NO. 401

ETA 9050 First Payment Time Lapse

4. Joint Claims. Claims involving (1) a combination of state unemployment trust funds and Federal program funds or (2) a combination of Federal program funds.

Includes claims with state UI in combination with UCFE and/or UCX employment and wages (UI/UCFE/UCX, UI/UCFE, or UI/UCX) and UCFE claims in combination with UCX employment and wages (UCFE/UCX).

Excludes claims that do not include a combination of state UI and UCFE and/or UCX employment and wages or a combination of UCFE and UCX employment and wages.

5. Partial/Part-Total Payments. Payments that are reduced from the claimant's weekly benefit amount as a result of wages, commissions, bonuses, tips or gratuities, back-pay awards, odd jobs or self-employment income.

6. Total Payments. Payments for weeks of total unemployment in which the claimant received a full weekly benefit check that is not reduced as a result of wages, commissions, bonuses, tips or gratuities, back-pay awards, odd jobs or self-employment income.

7. State Unemployment Insurance (UI). A state program that provides benefits to individuals financed (1) wholly from state trust funds (UI) or (2) partially from state trust funds and partially from UCFE and/or UCX program funds (joint UI/UCFE, UI/UCX, UI/UCFE/UCX claim).

8. Unemployment Compensation for Federal Employees (UCFE). A Federal program that provides benefits to individuals based on Federal civilian service.

Includes claims based (1) wholly on Federal civilian service (UCFE, no UI) or (2) partially on Federal civilian service and partially on Federal military service (UCFE/UCX) claim.

Excludes claims funded partially from state trust funds.

9. Unemployment Compensation for Ex-Servicemembers (UCX). A Federal program that provides benefits to individuals based on Federal military service. Includes claims based wholly on Federal military service (UCX only).

Excludes claims funded partially from state trust funds and/or Federal civilian service.

10. Workshare (Short-Time Compensation (STC) Program). A state program which is an alternative to employee layoffs, whereby a group of workers simply work shorter work weeks and are compensated for their lost work time with partial benefits. Such benefits are payable to these individuals as a percentage of their weekly benefit amount equivalent to the percentage of

UI REPORTS HANDBOOK NO. 401

ETA 9050 First Payment Time Lapse

work hours reduced. Benefits would not be payable to these workers under a state's normal partial benefits formula. To participate in the Workshare or STC program employers must submit their plans to the state agency for approval.

F. Item by Item Instructions

Enter in each column and time lapse interval all first payments made during the report period for Intrastate and Interstate claims. Workshare first payments are reported separately.

1. All Intrastate First Payments. (Includes Total and Partial/Part-Total Payments)
 - a. Column 1, Total Intrastate First Payments. Enter under column 1 the total number of all Intrastate first payments and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
 - b. Column 2, UI Intrastate First Payments. Enter under column 2 the total number of all state UI Intrastate first payments and individual totals for each time lapse interval. These payments represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
 - c. Column 3, UCFE Intrastate First Payments. Enter under column 3 the total number of all UCFE Intrastate first payments and individual totals for each time lapse interval. These payments represent UCFE only and UCFE in combination with UCX (joint claims).
 - d. Column 4, UCX Intrastate First Payments. Enter under column 4 the total number of all UCX Intrastate first payments and individual totals for each time lapse interval. These payments represent UCX only.
2. All Interstate First Payments. (Includes Total and Partial/Part-Total Payments)
 - a. Column 1, Total Interstate First Payments. Enter under column 1 the total number of all Interstate first payments and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
 - b. Column 2, UI Interstate First Payments. Enter under column 2 the total number of all state UI Interstate first payments and individual totals for each time lapse interval. These payments represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
 - c. Column 3, UCFE Interstate First Payments. Enter under column 3 the total number of all UCFE Interstate first payments and individual totals for each time lapse interval. These payments represent UCFE only and UCFE in combination with UCX (joint claims).
 - d. Column 4, UCX Interstate First Payments. Enter under column 4 the total

UI REPORTS HANDBOOK NO. 401

ETA 9050 First Payment Time Lapse

number of all UCX Interstate first payments and individual totals for each time lapse interval. These payments represent UCX only.

3. Intrastate Partial/Part-Total First Payments Only.

- a. Column 1, Total Intrastate Partial/Part-Total First Payments. Enter under column 1 the total number of all Intrastate partial/part-total first payments and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
- b. Column 2, UI Intrastate Partial/Part-Total First Payments. Enter under column 2 the total number of all state UI Intrastate partial/part-total first payments and individual totals for each time lapse interval. These payments represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
- c. Column 3, UCFE Intrastate Partial/Part-Total First Payments. Enter under column 3 the total number of all UCFE Intrastate partial/part-total first payments and individual totals for each time lapse interval. These payments represent UCFE only and UCFE in combination with UCX (joint claims).
- d. Column 4, UCX Intrastate Partial/Part-Total First Payments. Enter under column 4 the total number of all UCX Intrastate partial/part-total first payments and individual totals for each time lapse interval. These payments represent UCX only.

4. Interstate Partial/Part-Total First Payments Only.

- a. Column 1, Total Interstate Partial/Part-Total First Payments. Enter under column 1 the total number of all Interstate partial/part-total first payments and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
- b. Column 2, UI Interstate Partial/Part-Total First Payments. Enter under column 2 the total number of all state UI Interstate partial/part-total first payments and individual totals for each time lapse interval. These payments represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
- c. Column 3, UCFE Interstate Partial/Part-Total First Payments. Enter under column 3 the total number of all UCFE Interstate partial/part-total first payments and individual totals for each time lapse interval. These payments represent UCFE only and UCFE in combination with UCX (joint claims).
- d. Column 4, UCX Interstate Partial/Part-Total First Payments. Enter under column 4 the total number of all UCX Interstate partial/part-total first payments and individual totals for each time lapse interval. These

UI REPORTS HANDBOOK NO. 401

ETA 9050 First Payment Time Lapse

payments represent UCX only.

5. Workshare First Payments.
 - a. First Payments. Enter the total number of all Workshare first payments and individual totals for each time lapse interval.

6. Comments. Explain in the comments area significant variations in time lapse in benefit payments from levels in the prior period or the same period one year ago.
 - a. Administrative Factors. Describe administrative factors, such as changes in operating procedures, issuance of rules and regulations, and staff turnover. These may affect data reported in such a way that they cannot be compared with data from prior reports or with current reports from other state agencies.
 - b. Legal Factors. Describe legal factors, such as new laws or policies. These may affect data reported in such a way that they cannot be compared with data from prior reports or on current reports from other state agencies.
 - c. Economic Factors. Describe economic factors which may affect data reported in such a way that conditions will be reflected in any of the tabulations. Cover such factors affecting benefit payment time lapse, e.g., mass layoffs and seasonal fluctuations in employment.

UI REPORTS HANDBOOK NO. 401

ETA 9051 Continued Weeks Compensated Time Lapse

CONTENTS

- A. Facsimile of FormV-2-2
- B. Purpose V-2-4
- C. Due Date and TransmittalV-2-4
- D. General Reporting InstructionsV-2-4
- E. Definitions.....V-2-5
 - 1. First PaymentV-2-5
 - 2. First Payment Time LapseV-2-5
- F. Item by Item Instructions V-2-5
 - 1. All Intrastate Continued Weeks Compensated.....V-2-5
 - 2. All Interstate Continued Weeks Compensated.....V-1-6
 - 3. Intrastate Partial/Part-Total Continued Weeks Compensated Only.....V-2-6
 - 4. Interstate Partial/Part-Total Continued Weeks Compensated Only.....V-2-7
 - 5. Workshare Continued Weeks CompensatedV-2-7
 - 6. Comments.....V-2-7

UI REPORTS HANDBOOK NO. 401

ETA 9051 Continued Weeks Compensated Time Lapse

A. Facsimile of Form

ETA 9051 - TIME LAPSE COUNTS FOR ALL CONTINUED WEEKS COMPENSATED

STATE	REGION	REPORT FOR PERIOD ENDING						
Time Lapse (Days)	Intra-State				Inter-State			
	Total	UI	UCFE	UCX	Total	UI	UCFE	UCX
Total								
<=7								
8-14								
15-21								
22-28								
29-35								
36-42								
43-49								
50-56								
57-63								
64-70								
>70								

ETA 9051 - TIME LAPSE FOR CONTINUED WEEKS: PARTIAL/PART TOTAL PAYMENTS

STATE	REGION	REPORT FOR PERIOD ENDING						
Time Lapse (Days)	Intra-State				Inter-State			
	Total	UI	UCFE	UCX	Total	UI	UCFE	UCX
Total								
<=7								
8-14								
15-21								
22-28								
29-35								
36-42								
43-49								
50-56								
57-63								
64-70								
>70								

UI REPORTS HANDBOOK NO. 401

ETA 9051 Continued Weeks Compensated Time Lapse

ETA 9051 - CONTINUED CLAIMS TIME LAPSE (WORKSHARE)

STATE	REGION	REPORT FOR PERIOD ENDING	
Time Lapse (Days)		Workshare Claims	
Total			
0-7			
8-14			
15-21			
22-28			
29-35			
36-42			
43-49			
50-56			
57-63			
64-70			
>70			

Comments:

OMB No.: 1205-0359 **OMB Expiration Date:** 11/30/2010 **OMB Burden Hours:** 30 Minutes
OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

B. Purpose

The ETA 9051 report contains monthly information on continued weeks compensated time lapse. This report concerns the time it takes states to pay benefits to claimants for compensable weeks of unemployment other than the "first payment." Continued weeks compensated time lapse data was not formerly reported. This report contains monthly time lapse data for all continued weeks compensated, i.e., total, partial/part-total. A separate entry screen will be used for a breakout of partial/part-total continued weeks compensated. Workshare (Short-Time Compensation) continued weeks compensated will be reported on a third entry screen. Workshare continued weeks compensated are not reported in the total count of "All" continued weeks compensated.

C. Due Date and Transmittal

The report is due in the ETA National Office on the 20th of the month following the month to which the data relate. This report will be transmitted electronically.

D. General Reporting Instructions

The Continued Weeks Compensated Time Lapse measure requires that the state computer read the universe of all weeks compensated records and exclude first payments. These counts are categorized by Intrastate and Interstate claims and, within those categories, the number that are compensated under the state UI program, Unemployment Compensation for Federal Employees (UCFE), and Unemployment Compensation for Ex-Servicemembers (UCX). While included under the "All" category the sub-category of partial/part-total continued weeks compensated will also be reported. These categories are further broken out by the number of continued weeks compensated by program type and time lapse at seven-day intervals.

- Includes total, partial/part-total continued weeks compensated.
- Includes combined wage claims continued weeks compensated reported in the appropriate category determined by the nature of the base-period wages.
- Includes offsets and intercepts.
- Excludes retroactive payment for a compensable waiting period.
- Excludes episodic compensation programs such as Extended Benefits, Disaster Unemployment Assistance, and Trade Readjustment Allowances.
- Excludes adjustments.
- Excludes workshare claims. Workshare will be reported separately and is excluded from that part of the report for "ALL" continued weeks compensated.

UI REPORTS HANDBOOK NO. 401

ETA 9051 Continued Weeks Compensated Time Lapse

Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports Users Manual, Appendix C.

E. Definitions

Definitions, unless otherwise specified in these instructions, will follow the definitions for the ETA 5159 and the ETA 9050 found elsewhere in this handbook.

1. Continued Weeks Compensated. For purposes of this report, these are payments for weeks of unemployment subsequent to the payment for the first compensable week in a benefit year.

Includes total, partial/part-total payments, full or partial offsets to satisfy an outstanding overpayment, a child support intercept order or a food stamp overissuance, and payments resulting from the reversal of a single or multi-claimant adjudication by a lower or higher authority appeal decision or by a court decision.

Excludes all adjustment payments for a previously paid week. For discussion of determining the first compensable week, see 9050, E.1, page V-1-5.

2. Continued Weeks Compensated Time Lapse. The number of days from the end of the continued week to the date the payment is made in-person, mailed or offset or an intercept is applied on a claim.

F. Item by Item Instructions

Enter in each column and time lapse interval all continued weeks compensated made during the report period for Intrastate and Interstate claims. Workshare continued weeks compensated are reported separately.

1. All Intrastate Continued Weeks Compensated. (Includes Total and Partial/Part-Total Payments)
 - a. Column 1, Total Intrastate Continued Weeks Compensated. Enter under column 1 the total number of all Intrastate continued weeks compensated and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
 - b. Column 2, UI Intrastate Continued Weeks Compensated. Enter under column 2 the total number of all state UI Intrastate continued weeks compensated and individual totals for each time lapse interval. These payments represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
 - c. Column 3, UCFE Intrastate Continued Weeks Compensated. Enter under column 3 the total number of all UCFE Intrastate continued weeks compensated and individual totals for each time lapse interval. These

UI REPORTS HANDBOOK NO. 401

ETA 9051 Continued Weeks Compensated Time Lapse

payments represent UCFE only and UCFE in combination with UCX (joint claims).

- d. Column 4, UCX Intrastate Continued Weeks Compensated. Enter under column 4 the total number of all UCX Intrastate continued weeks compensated and individual totals for each time lapse interval. These payments represent UCX only.
2. All Interstate Continued Weeks Compensated. (Includes Total and Partial/Part-Total Payments)
 - a. Column 1, Total Interstate Continued Weeks Compensated. Enter under column 1 the total number of all Interstate continued weeks compensated and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
 - b. Column 2, UI Interstate Continued Weeks Compensated. Enter under column 2 the total number of all state UI Interstate continued weeks compensated and individual totals for each time lapse interval. These payments represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
 - c. Column 3, UCFE Interstate Continued Weeks Compensated. Enter under column 3 the total number of all UCFE Interstate continued weeks compensated and individual totals for each time lapse interval. These payments represent UCFE only and UCFE in combination with UCX (joint claims).
 - d. Column 4, UCX Interstate Continued Weeks Compensated. Enter under column 4 the total number of all UCX Interstate continued weeks compensated and individual totals for each time lapse interval. These payments represent UCX only.
 3. Intrastate Partial/Part-Total Continued Weeks Compensated Only.
 - a. Column 1, Total Intrastate Partial/Part-Total Continued Weeks Compensated. Enter under column 1 the total number of all Intrastate partial/part-total continued weeks compensated and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
 - b. Column 2, UI Intrastate Partial/Part-Total Continued Weeks Compensated. Enter under column 2 the total number of all State UI Intrastate partial/part-total continued weeks compensated and individual totals for each time lapse interval. These payments represent State UI only and State UI in combination with UCFE and/or UCX (joint claims).

UI REPORTS HANDBOOK NO. 401

ETA 9051 Continued Weeks Compensated Time Lapse

- c. Column 3, UCFE Intrastate Partial/Part-Total Continued Weeks Compensated. Enter under column 3 the total number of all UCFE Intrastate partial/part-total continued weeks compensated and individual totals for each time lapse interval. These payments represent UCFE only and UCFE in combination with UCX (joint claims).
 - d. Column 4, UCX Intrastate Partial/Part-Total Continued Weeks Compensated. Enter under column 4 the total number of all UCX Intrastate partial/part-total continued weeks compensated and individual totals for each time lapse interval. These payments represent UCX only.
4. Interstate Partial/Part-Total Continued Weeks Compensated Only.
- a. Column 1, Total Interstate Partial/Part-Total Continued Weeks Compensated. Enter under column 1 the total number of all Interstate partial/part-total continued weeks compensated and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
 - b. Column 2, UI Interstate Partial/Part-Total Continued Weeks Compensated. Enter under column 2 the total number of all State UI Interstate partial/part-total continued weeks compensated and individual totals for each time lapse interval. These payments represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
 - c. Column 3, UCFE Interstate Partial/Part-Total Continued Weeks Compensated. Enter under column 3 the total number of all UCFE Interstate partial/part-total continued weeks compensated and individual totals for each time lapse interval. These payments represent UCFE only and UCFE in combination with UCX (joint claims).
 - d. Column 4, UCX Interstate Partial/Part-Total Continued Weeks Compensated. Enter under column 4 the total number of all UCX Interstate partial/part-total continued weeks compensated and individual totals for each time lapse interval. These payments represent UCX only.
5. Workshare Continued Weeks Compensated. Enter the total number of all Workshare continued weeks compensated and individual totals for each time lapse interval.
6. Comments. Explain in the comments area significant variations in time lapse in benefit payments from levels in the prior period or the same period one year ago.
- a. Administrative Factors. Describe administrative factors, such as changes in operating procedures, issuance of rules and regulations, and staff turnover. These may affect data reported in such a way that they cannot

UI REPORTS HANDBOOK NO. 401

ETA 9051 Continued Weeks Compensated Time Lapse

be compared with data from prior reports or with current reports from other State agencies.

- b. Legal Factors. Describe legal factors, such as new laws or policies. These may affect data reported in such a way that they cannot be compared with data from prior reports or on current reports from other State agencies.
- c. Economic Factors. Describe economic factors which may affect data reported in such a way that conditions will be reflected in any of the tabulations. Cover such factors affecting benefit payment time lapse, e.g., mass layoffs and seasonal fluctuations in employment.

UI REPORTS HANDBOOK NO. 401

ETA 9052 Nonmonetary Determination Time Lapse, Detection Date

CONTENTS

A. Facsimile of FormV-3-2

B. PurposeV-3-5

C. Due Date and TransmittalV-3-5

D. General Reporting InstructionsV-3-5

E. Definitions.....V-3-5

 1. Nonmonetary Determination Time Lapse.....V-3-5

 2. Issue Detection DateV-3-6

 3. Date of DeterminationV-3-7

F. Item by Item Instructions.....V-3-7

 1. All Intrastate Single Claimant SeparationsV-3-7

 2. All Interstate Single Claimant SeparationsV-3-8

 3. All Intrastate Single Claimant NonseparationsV-3-8

 4. All Interstate Single Claimant NonseparationsV-3-9

 5. All Multi-claimant DeterminationsV-3-9

 6. Comments.....V-3-10

G. Checking the ReportV-3-10

 1. Single Claimant DeterminationsV-3-10

 2. Multi-claimant DeterminationsV-3-10

UI REPORTS HANDBOOK NO. 401

ETA 9052 Nonmonetary Determination Time Lapse, Detection Date

A. Facsimile of Form

ETA 9052 - NONMONETARY DETERMINATION TIME LAPSE DETECTION DATE

STATE	REGION	REPORT FOR PERIOD ENDING

SECTION A. SEPARATION ISSUES

Time Lapse (Days)	Intra-State				Inter-State			
	Total (1)	UI (2)	UCFE (3)	UCX (4)	Total (1)	UI (2)	UCFE (3)	UCX (4)
Total								
<=7								
8-14								
15-21								
22-28								
29-35								
36-42								
43-49								
50-56								
57-63								
64-70								
>70								

SECTION B. NON-SEPARATION ISSUES

Time Lapse (Days)	Intra-State				Inter-State			
	Total (1)	UI (2)	UCFE (3)	UCX (4)	Total (1)	UI (2)	UCFE (3)	UCX (4)
Total								
<=7								
8-14								

UI REPORTS HANDBOOK NO. 401

ETA 9052 Nonmonetary Determination Time Lapse, Detection Date
--

15-21								
22-28								
29-35								
36-42								
43-49								
50-56								
57-63								
64-70								
>70								

SECTION C. MULTI-CLAIMANT ISSUES			
---	--	--	--

Time Lapse (Days)	Total (1)	Multi-claimant Labor Disputes (2)	Multi-claimant "Other" (3)
Total			
<=7			
8-14			
15-21			
22-28			
29-35			
36-42			
43-49			
50-56			
57-63			
64-70			

UI REPORTS HANDBOOK NO. 401

ETA 9052 Nonmonetary Determination Time Lapse, Detection Date

>70			
-----	--	--	--

Comments:

OMB No.: 1205-0359 **OMB Expiration Date:** 11/30/2010 **OMB Burden Hours:** 60 Minutes
OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

UI REPORTS HANDBOOK NO. 401

ETA 9052 Nonmonetary Determination Time Lapse, Detection Date

B. Purpose

The ETA 9052 report contains monthly information on the time it takes states to issue nonmonetary determinations from the date the issues are first detected by the agency. Single-claimant and multi-claimant nonmonetary determinations are included in the report. Nonmonetary determinations made by organizational units such as Benefits Accuracy Measurement (BAM) and Benefit Payment Control (BPC) are also included in the report. Note: Overpayment notices on uncontested earnings detected by any method (e.g., crossmatch) should not be included. A separate section of this report is reserved for multi-claimant determinations only.

C. Due Date and Transmittal

The report is due in the ETA National Office on the 20th of the month following the month to which the data relates. This report will be transmitted electronically.

D. General Reporting Instructions

The Nonmonetary Determination Time Lapse measure requires that the state computer read the universe of all nonmonetary determination records. These counts are categorized by Intrastate and Interstate Nonmonetary Determinations and, within those categories, by the number that are under the state UI program, the Unemployment Compensation for Federal Employees (UCFE) program, and Unemployment Compensation for Ex-servicemembers (UCX) program. These categories are further divided by nonmonetary determination time lapse for single-claimant separation and nonseparation issues versus multi-claimant issues. These figures will be equivalent to those reported on the ETA 207 respectively.

1. Excludes overpayment notices on uncontested earnings detected by any method (e.g., crossmatch).
2. Excludes episodic claims programs such as Extended Benefits, Disaster Unemployment Assistance, and Trade Readjustment Allowances.
3. Excludes Nonmonetary Redeterminations.
4. Other exclusions are described in HB 401, ETA 207, Nonmonetary Determination Activities (see E.b).

E. Definitions

Definitions, unless otherwise specified in these instructions, will be the same definitions used for the ETA 207 and ETA 9050 found elsewhere in this handbook.

1. Nonmonetary Determinations Time Lapse. The number of days from the date an issue is first detected on a claim to the date on the determination.

UI REPORTS HANDBOOK NO. 401

ETA 9052 Nonmonetary Determination Time Lapse, Detection Date

2. Issue Detection Date. The earliest date that the agency, including organizational units such as BAM, BPC and any department that works on behalf of UI, is in possession of information indicating the existence of a nonmonetary issue.

a. New, Additional, or Reopened Claims.

The issue detection date is the date the new, additional, or reopened claim is filed. If no issue exists at the time a claim is filed but information is later received that presents an issue, then the issue detection date is the date this information is received by the agency.

The exception to the above is a case where the claimant fails to file a timely certification and the state has a policy of waiting for a week to be claimed prior to making a determination. In such cases, the detection date for the original unresolved issue(s) is the date the claimant subsequently files an additional or reopened claim.

In either case described above, if the adjudicator establishes that no issue exists, there is no reportable nonmonetary determination.

b. Continued Weeks Claimed. Examples of issue detection date:

- 1) Continued claims filed by mail are optically scanned or processed by a voice response unit (VRU). A claimant reports that he/she was not able and available for work during the week for which he/she is claiming benefits. The optical scanner or voice response unit flags the claim with an issue. An adjudicator confirms the issue. If the certification is scanned or processed by the VRU during normal business hours, the date the continued week claim is flagged is the issue detection date. If the certification is scanned or processed by the VRU after normal business hours, the next business day is the issue detection date. If the adjudicator establishes that no issue actually exists, there is no reportable determination.
- 2) Same situation as in example 1 except that the claimant answers all weekly certification questions in a manner that does not raise an issue. However, the claimant adds information that is read by the agency's optical scanner or recognized by the VRU as an exception to normal processing. The claim is flagged and referred to an adjudicator. The adjudicator confirms that there is an issue and the week(s) to which it applies. If the certification is scanned or processed by the VRU during normal business hours, the date the continued claim is flagged is the issue detection date. If the certification is scanned or processed by the VRU after normal business hours, the next business day is the issue detection date. If the adjudicator establishes that no issue exists, there is no reportable determination.

UI REPORTS HANDBOOK NO. 401

ETA 9052 Nonmonetary Determination Time Lapse, Detection Date

- 3) The claimant is in a continuous weekly/biweekly filing status and the agency receives information that presents an issue by letter or telephone call (other than VRU). The date the agency received the information is the issue detection date. The agency should keep a record of the date and time of call and include such information in the claim file for quality and data validation purposes.
 - 4) The claimant is in a continuous weekly/biweekly filing status and an issue is raised in-person by the claimant or another party. The date the issue is raised (in-person) is the issue detection date.
 - 5) A unit of the agency (BPC, BAM, Appeals, etc.) discovers an issue during the course of its work and refers the issue to the adjudication unit or to some other unit for action. The issue detection date is the date the unit discovered the issue and not the date the other unit within the agency receives the referred issue.
3. Date of Determination. The date printed on the determination notice, or, if no notice is required, the date payment is authorized, waiting week credit is given, or an offset is applied.

F. Item by Item Instructions

Enter in each column and time lapse interval the number of nonmonetary determinations made during the report period representing the number of days from the date an issue is first detected on a claim to the date on the determination.

1. All Intrastate Single Claimant Separations.
 - a. Column 1, Total Intrastate Single Claimant Separations. Enter under column 1 the total number of all Intrastate single claimant separation determinations and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
 - b. Column 2, UI Intrastate Single Claimant Separations. Enter under column 2 the total number of all state UI Intrastate single claimant separation determinations and individual totals for each time lapse interval. These determinations represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
 - c. Column 3, UCFE Intrastate Single Claimant Separations. Enter under column 3 the total number of all UCFE Intrastate single claimant separation determinations and individual totals for each time lapse interval. These determinations represent UCFE only and UCFE in combination with UCX (joint claims).

UI REPORTS HANDBOOK NO. 401

ETA 9052 Nonmonetary Determination Time Lapse, Detection Date

- d. Column 4, UCX Intrastate Single Claimant Separations. Enter under column 4 the total number of all UCX Intrastate single claimant separation determinations and individual totals for each time lapse interval. These determinations represent UCX only.
2. All Interstate Single Claimant Separations.
 - a. Column 1, Total Interstate Single Claimant Separations. Enter under column 1 the total number of all Interstate single claimant separation determinations and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
 - b. Column 2, UI Interstate Single Claimant Separations. Enter under column 2 the total number of all state UI Interstate single claimant separation determinations and individual totals for each time lapse interval. These determinations represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
 - c. Column 3, UCFE Interstate Single Claimant Separations. Enter under column 3 the total number of all UCFE Interstate single claimant separation determinations and individual totals for each time lapse interval. These determinations represent UCFE only and UCFE in combination with UCX (joint claims).
 - d. Column 4, UCX Interstate Single Claimant Separations. Enter under column 4 the total number of all UCX Interstate single claimant separation determinations and individual totals for each time lapse interval. These determinations represent UCX only.
3. All Intrastate Single Claimant Nonseparations.
 - a. Column 1, Total Intrastate Single Claimant Nonseparations. Enter under column 1 the total number of all Intrastate single claimant nonseparation determinations and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
 - b. Column 2, UI Intrastate Single Claimant Nonseparations. Enter under column 2 the total number of all state UI Intrastate single claimant nonseparation determinations and individual totals for each time lapse interval. These determinations represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
 - c. Column 3, UCFE Intrastate Single Claimant Nonseparations. Enter under column 3 the total number of all UCFE Intrastate single claimant nonseparation determinations and individual totals for each time lapse

UI REPORTS HANDBOOK NO. 401

ETA 9052 Nonmonetary Determination Time Lapse, Detection Date

interval. These determinations represent UCFE only and UCFE in combination with UCX (joint claims).

- d. Column 4, UCX Intrastate Single Claimant Nonseparations. Enter under column 4 the total number of all UCX Intrastate single claimant nonseparation determinations and individual totals for each time lapse interval. These determinations represent UCX only.
4. All Interstate Single Claimant Nonseparations.
 - a. Column 1, Total Interstate Single Claimant Nonseparations. Enter under column 1 the total number of all Interstate single claimant nonseparation determinations and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
 - b. Column 2, UI Interstate Single Claimant Nonseparations. Enter under column 2 the total number of all state UI Interstate single claimant nonseparation determinations and individual totals for each time lapse interval. These determinations represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
 - c. Column 3, UCFE Interstate Single Claimant Nonseparations. Enter under column 3 the total number of all UCFE Interstate single claimant nonseparation determinations and individual totals for each time lapse interval. These determinations represent UCFE only and UCFE in combination with UCX (joint claims).
 - d. Column 4, UCX Interstate Single Claimant Nonseparations. Enter under column 4 the total number of all UCX Interstate single claimant nonseparation determinations and individual totals for each time lapse interval. These determinations represent UCX only.
 5. All Multi-claimant Determinations. Report only one multi-claimant determination based on a single set of facts which apply to two or more similarly situated individuals and which may result in the issuance of one or more notices, depending upon the number of individual claimants involved.
 - a. Column 1, Total Multi-claimant Determinations. Enter under column 1 the total number of all multi-claimant determinations and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2 and 3.
 - b. Column 2, Labor Dispute. Enter under column 2 the total number of all multi-claimant determinations resulting from labor disputes and individual totals for each time lapse interval.

UI REPORTS HANDBOOK NO. 401

ETA 9052 Nonmonetary Determination Time Lapse, Detection Date

- c. Column 3, Other Multi-claimant Determinations. Enter under column 3 the total number of all other multi-claimant determinations not involving labor disputes and individual totals for each time lapse interval.
6. Comments. Explain in the comments area significant variations in time lapse in nonmonetary determinations from levels in the prior period or the same period one year ago.
 - a. Administrative Factors. Describe administrative factors, such as changes in operating procedures, issuance of rules and regulations, and staff turnover. These may affect data reported in such a way that they cannot be compared with data from prior reports or with current reports from other state agencies.
 - b. Legal Factors. Describe legal factors, such as new laws or policies. These may affect data reported in such a way that they cannot be compared with data from prior reports or on current reports from other state agencies.
 - c. Economic Factors. Describe economic factors which may affect data reported in such a way that conditions will be reflected in any of the tabulations. Cover such factors affecting nonmonetary determinations time lapse, e.g., mass or prolonged unemployment.

G. Checking the Report

1. Single Claimant Determinations.
 - a. The total for each column should equal the sum of all time lapse intervals within the column.
 - b. Column 1 should equal the sum of columns 2, 3 and 4.
2. Multi-claimant Determinations.
 - a. The total for each column should equal the sum of all time lapse intervals within the column.
 - b. Column 1 should equal the sum of columns 2 and 3.

CONTENTS

A. Facsimile of Form V-4-2

B. Purpose V-4-3

C. Due Date and Transmittal V-4-3

D. General Reporting Instructions V-4-3

 1. Lower Authority Appeals Time Lapse..... V-4-3

 2. Higher Authority Appeals Time Lapse..... V-4-3

E. Definitions..... V-4-3

 1. Date Appeal Filed..... V-4-4

 2. Decision Date..... V-4-4

F. Item by Item Instructions..... V-4-4

 1. All Intrastate/Interstate Lower Authority Appeals Time Lapse V-4-4

 2. All Intrastate/Interstate Higher Authority Appeals Time Lapse V-4-4

 3. Comments..... V-4-5

UI REPORTS HANDBOOK NO. 401

ETA 9054 Appeals Time Lapse

A. Facsimile of Form

ETA 9054L - LOWER AUTHORITY APPEALS TIME LAPSE

STATE	REGION	REPORT FOR PERIOD ENDING		
Time Lapse (Days)		Total	Intrastate	Interstate
Total				
<=30				
31-45				
45-60				
61-75				
76-90				
91-120				
>120				

ETA 9054H - HIGHER AUTHORITY APPEALS TIME LAPSE

Time Lapse (Days)	Total	Intrastate	Interstate
Total			
<=45			
46-60			
61-75			
76-90			
91-120			
121-150			
151-180			
181-210			
211-240			
241-270			
271-300			
301-330			
331-360			
>360			

Comments:

OMB No.: 1205-0359 **OMB Expiration Date:** 11/30/2010 **OMB Burden Hours:** 30 Minutes

OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

UI REPORTS HANDBOOK NO. 401

ETA 9054 Appeals Time Lapse

B. Purpose

The ETA 9054 report contains monthly information on the time it takes states to issue lower authority and higher authority appeals decisions from the date the request for a lower authority hearing or a higher authority appeal is filed to the date on the decision.

C. Due Date and Transmittal

The report is due in the ETA National Office on the 20th of the month following the month to which the data relates. This report will be transmitted electronically.

D. General Reporting Instructions

Appeals Time Lapse measures require that the state report the universe of all appeals to derive counts of the number of records for both Intrastate and Interstate claims. Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

1. Lower Authority Appeals Time Lapse

- a. Includes remanded and reopened cases. If a case is remanded from higher authority appeals for a new hearing and decision by the lower authority, time lapse begins on the date the case is remanded from the higher authority.
- b. Excludes episodic claims programs such as Extended Benefits, Disaster Unemployment Assistance, and Trade Readjustment Allowances.

2. Higher Authority Appeals Time Lapse

- a. Includes remanded and reopened cases. If a case is remanded or reopened to the lower authority for additional evidence and will be returned to the higher authority for a decision, the higher authority time lapse measurement continues without interruption. If a case is remanded to the lower authority for a new hearing and decision, the higher authority time lapse stops at that point because it is considered a decision.
- b. Excludes episodic claims programs such as Extended Benefits, Disaster Unemployment Assistance, and Trade Readjustment Allowances.

E. Definitions

Definitions, unless otherwise specified in these instructions, will follow the definitions for the ETA 5130 found elsewhere in this handbook.

UI REPORTS HANDBOOK NO. 401

ETA 9054 Appeals Time Lapse

1. Date Appeal Filed. Generally, this will be date on which an appeal was filed by mail or in person. State law may consider a dated postmark or dated private postal meter to be the date of filing. However, a dated postmark is frequently not available. In this case, a date on the appeal request should be used. If this is also not available, then the date one day prior to receipt by the agency may be used. The agency authorized to accept appeals may be the local office, the lower or higher authority appeals unit, or any other agency or person authorized to accept appeals on behalf of the appeals authority.
2. Decision Date. The date the decision was mailed to the interested parties concerned.

F. Item by Item Instructions

Enter the total number of lower authority and higher authority appeals decisions issued for the report period in the appropriate Intrastate or Interstate column and individual totals for each time lapse interval.

1. All Intrastate/Interstate Lower Authority Appeals Time Lapse.
 - a. Column 1, Total Decisions. Enter under column 1 the total number of all Intrastate and Interstate lower authority appeals decisions and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2 and 3.
 - b. Column 2, Intrastate Decisions. Enter under column 2 the total number of all Intrastate lower authority appeals decisions and individual totals for each time lapse interval.
 - c. Column 3, Interstate Decisions. Enter under column 3 the total number of all Interstate lower authority appeals decisions and individual totals for each time lapse interval.
2. All Intrastate/Interstate Higher Authority Appeals Time Lapse.
 - a. Column 1, Total Decisions. Enter under column 1 the total number of all Intrastate and Interstate higher authority appeals decisions and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2 and 3.
 - b. Column 2, Intrastate Decisions. Enter under column 2 the total number of all Intrastate higher authority appeals decisions and individual totals for each time lapse interval.
 - c. Column 3, Interstate Decisions. Enter under column 3 the total number of

UI REPORTS HANDBOOK NO. 401

ETA 9054 Appeals Time Lapse

all Interstate higher authority appeals decisions and individual totals for each time lapse interval.

3. Comments. Explain in the comments area significant variations in time lapse in lower and higher authority appeals decisions from levels in the prior period or the same period one year ago.
 - a. Administrative Factors. Describe administrative factors, such as changes in operating procedures, issuance of rules and regulations, staff turnover, change in administrative policies, precedent decisions, and increase or decrease in initial determinations, which may affect data reported in such a way that they will lack comparability with the data on prior reports or on current reports submitted by other state agencies.
 - b. Legal Factors. Describe legal factors, such as new laws or amendments or change in interpretation of existing laws, which may affect the data reported in such a way that they cannot be compared with data from prior reports or on current reports from other state agencies.
 - c. Economic Factors. Describe economic factors which may affect data reported.

UI REPORTS HANDBOOK NO. 401

ETA 9055 Appeals Case Aging

CONTENTS

A. Facsimile of FormV-5-2

B. Purpose V-5-3

C. Due Date and TransmittalV-5-3

D. General Reporting InstructionsV-5-3

 1. Pending Lower Authority Single Claimant Appeals Case Aging.....V-5-3

 2. Pending Higher Authority Single Claimant Appeals Case Aging V-5-3

E. Definitions.....V-5-4

 1. Pending Single Claimant Appeals Case AgeV-5-4

 2. Average Age of Pending Single Claimant Appeals CasesV-5-4

 3. Median Age of Pending Single Claimant Appeals Cases.....V-5-4

F. Item by Item Instructions..... V-5-4

 1. Age of Pending Lower Authority Single Claimant Appeals Cases.....V-5-4

 2. Age of Pending Higher Authority Single Claimant Appeals CasesV-5-4

 3. Comments.....V-5-4

UI REPORTS HANDBOOK NO. 401

ETA 9055 Appeals Case Aging

A. Facsimile of Form

ETA 9055L - LOWER AUTHORITY APPEALS, CASE AGING

STATE	REGION	REPORT FOR PERIOD ENDING
Time Lapse Days		Appeals
Total Pending Cases		
<=25		
26-40		
41-90		
91-120		
121-180		
181-360		
>360		
		Time Lapse (Days)
Average Age		
Median Age		

Comments:

ETA 9055H - HIGHER AUTHORITY APPEALS, CASE AGING

STATE	REGION	REPORT FOR PERIOD ENDING
Time Lapse Days		Appeals
Total Pending Cases		
<=40		
41-70		
71-120		
121-180		
181-360		
>360		
		Time Lapse (Days)
Average Age		
Median Age		

Comments:

OMB No.: 1205-0359 **OMB Expiration Date:** 11/30/2010 **OMB Burden Hours:** 60 Minutes
OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

B. Purpose

The ETA 9055 report gathers monthly information on the inventory of lower authority and higher authority single claimant appeals cases that have been filed but not decided. Appeals case aging provides information about the number of days from the date an appeal was filed through the end of the month covered by the report. Also included are the average and median ages of the pending single claimant appeals cases.

C. Due Date and Transmittal

The report is due in the ETA National Office on the 20th of the month following the month to which the data relates. This report will be transmitted electronically.

D. General Reporting Instructions

Appeals Case Aging measures require states to report data on the universe of all single claimant appeals cases that have not been decided prior to the end of the reporting period. Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

1. Pending Lower Authority Single Claimant Appeals Case Aging.
 - a. Includes all lower authority single claimant appeals cases, including those remanded by the higher authority for a hearing and decision and reopened appeals cases not decided at the end of the month.
 - b. Excludes episodic claims programs such as Extended Benefits, Disaster Unemployment Assistance, and Trade Readjustment Allowances. Also excludes pending multi-claimant appeals cases (See F.3.d. below for further instructions about pending multi-claimant appeals cases).
2. Pending Higher Authority Single Claimant Appeals Case Aging.
 - a. Includes all higher authority single claimant appeals cases, including remanded and reopened appeals cases, not decided at the end of the month. An appeals case that has been remanded to the lower authority for additional evidence and will be returned to the higher authority for a decision is reported in this inventory. An appeals case that has been remanded to the lower authority for a new hearing and decision, is not a pending higher authority appeals case and should not be counted as such.
 - b. Excludes episodic claims programs such as Extended Benefits, Disaster Unemployment Assistance, and Trade Readjustment Allowances. Also excludes pending multi-claimant appeals cases (See F.3.d. below for further instructions about pending multi-claimant appeals cases).

UI REPORTS HANDBOOK NO. 401

ETA 9055 Appeals Case Aging

E. Definitions

Definitions, unless otherwise specified in these instructions, will follow the definitions for the ETA 5130 found elsewhere in this handbook.

1. Pending Single Claimant Appeals Case Age.

The age of an appeals case is the date of the last day of the month being reported minus the date the appeal was filed.

2. Average Age of Pending Single Claimant Appeals Cases.

The total age of all pending appeals cases (lower or higher authority) divided by the total number of pending lower or higher authority appeals cases.

3. Median Age of Pending Single Claimant Appeals Cases.

If all of the pending appeals cases (lower or higher authority) are ranked from the lowest to the highest age, the median is the age of the case at the midpoint of the ranked cases. If there are an odd number of cases (n), the median is the age of the $[(n+1)/2]th$ case. If there are an even number of cases (n), the median is the value midway between the age of the $(n/2)th$ case and the $[(n/2)+1]th$ case.

F. Item by Item Instructions

Enter the number of single claimant appeals cases that fall within each category.

1. Age of Pending Lower Authority Single Claimant Appeals Cases.

a. Total Pending Lower Authority Single Claimant Appeals Cases. Enter in the "Total" column of Section A, the total number of pending lower authority single claimant appeals cases and the individual totals for each pending appeals case age interval.

2. Age of Pending Higher Authority Single Claimant Appeals Cases.

a. Total Pending Higher Authority Single Claimant Appeals Cases. Enter in the "Total" column of Section B, the total number of pending higher authority single claimant appeals cases and the individual totals for each pending appeals case age interval.

3. Comments. Explain in the comments area significant variations in case aging in lower and higher authority appeals cases not decided from levels in the prior period or the same period one year ago. In response to Item d. below, describe in the "Comments" section the inventory, if any, of pending multi-claimant appeals cases at the end of the reporting period. Pending multi-claimant appeals cases should not be reported in Section A or B.

UI REPORTS HANDBOOK NO. 401

ETA 9055 Appeals Case Aging

- a. Administrative Factors. Describe administrative factors, such as changes in operating procedures, issuance of rules and regulations, staff turnover, change in administrative policies, and increase or decrease in initial determinations, which may affect data reported in such a way that they will lack comparability with the data on prior reports or on current reports submitted by other state agencies.
- b. Legal Factors. Describe legal factors, such as new laws or amendments or change in interpretation of existing laws, which may affect the data reported in such a way that they cannot be compared with data from prior reports or on current reports from other state agencies.
- c. Economic Factors. Describe economic factors which may affect data reported.
- d. Pending Multi-Claimant Appeals Cases. Describe the inventory of pending lower and higher authority multi-claimant appeals cases.

For example:

At lower authority there are 3 groups of multi-claimant appeals cases pending; in one group, there are 150 claimants, in a second group, there are 40 claimants, and in a third group, there are 500 claimants. At higher authority, there is one group of multi-claimant appeals cases pending, and in that group, there are 250 claimants.

UI REPORTS HANDBOOK NO. 401

ETA 9056 Nonmonetary Determination Quality Review

CONTENTS

A. Facsimile of Form V-6-2
B. Purpose V-6-4
C. Due Date and Transmittal V-6-4
D. General Reporting Instructions V-6-4
E. Definitions..... V-6-5
F. Data Collection Elements V-6-5
G. Checking the Report V-6-6

UI REPORTS HANDBOOK NO. 401

ETA 9056 Nonmonetary Determination Quality Review

A. Facsimile of Form

ETA 9056 - NONMONETARY DETERMINATION QUALITY DATA COLLECTION INSTRUMENT

	1. IDENTIFICATION # 00000 (5-digit sample sequence) (skeleton field)		
	2. ISSUE CODE (2-digit code) (skeleton field)		
	3. CASE MATERIAL FOUND? (Y/N) (If "N", remaining elements are left blank)		
	4. DATE ON DETERMINATION: (mmddyyyy) (skeleton field)		
	5. CORRECT DATE ON DETERMINATION? (Y/N)		
	6. CORRECTED DATE ON DETERMINATION: (mmddyyyy)		
	7. CORRECT ISSUE CODE? (Y/N) (If "Y", then item 8 is blank)		
	8. IF ITEM 7 IS "N", ENTER THE CORRECT CODE FROM BELOW. (If no issue existed, enter "00"; if a nonmonetary redetermination, enter "01")		
	SEPARATION	NON-SEPARATIONS	MULTI-CLAIMANT
	10 Quit 20 Discharge (MC)	30 Able/Available 31 Reporting Requirements 40 Work Search 50 Disq/Ded. Income 60 Refusal of Work; Failure to Apply/Accept Referral 70 JS Registration 73 Profiling	80 School Employee 81 Alien 82 Athlete 83 Unemployment Status 84 Seasonality 85 Removal of DQ 86 Fraud Administrative Penalty
			90 Labor Dispute 99 Multi-Claimant (Other)
	9. INTRASTATE CLAIM? (Y/N)		
	10. PROGRAM TYPE: UI UCFE UCX		
	11. NONMONETARY DETERMINATION OUTCOME: <u>A</u> LLOWED <u>D</u> ENIED		
	12. OUTCOME REPORTED CORRECTLY? (Y/N)		
	13. SWA USE ONLY		
	14. W/E DATE OF FIRST WEEK AFFECTED BY DETERMINATION: (mmddyyyy) (skeleton field)		
	15. CORRECT WEEK ENDING DATE? (Y/N)		
	16. CORRECTED WEEK ENDING DATE (blank if item 15 is "Y"): (mmddyyyy)		
	17. ISSUE DETECTION DATE: (mmddyyyy)		
	18. CORRECT ISSUE DETECTION DATE? (Y/N)		
	19. CORRECTED ISSUE DETECTION DATE (blank if item 18 is "Y"): (mmddyyyy)		
	20. CLAIMANT INFORMATION: <u>A</u> dequate=15, <u>I</u> nadequate=10, <u>N</u> ot Obtained=0		
	21. EMPLOYER INFORMATION: <u>A</u> dequate=15, <u>I</u> nadequate=10, <u>N</u> ot Obtained=0, NA(<u>X</u>)=15		
	22. INFO/FACTS FROM OTHERS: <u>A</u> dequate=15, <u>I</u> nadequate=10, <u>N</u> ot Obtained=0, NA(<u>X</u>)=15		
	23. LAW/POLICY: <u>M</u> eets=45, <u>Q</u> uestionable=30, Does not meet (<u>W</u>)=0		
	24. WRITTEN DETERMINATION: <u>A</u> dequate=10, <u>I</u> nadequate=5, <u>W</u> rong (W)=0 (If "W" then #23 cannot be "M")		

Comments:

UI REPORTS HANDBOOK NO. 401

ETA 9056 Nonmonetary Determination Quality Review

OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

B. Purpose

UI REPORTS HANDBOOK NO. 401

ETA 9056 Nonmonetary Determination Quality Review

The ETA 9056 report provides quarterly information on the quality of nonmonetary determinations that state agencies issue to claimants and employers in the report period. Intrastate and Interstate single-claimant and multi-claimant separation and nonseparation nonmonetary determinations are included in the report. Nonmonetary determinations made by organizational units such as Benefits Accuracy Measurement (BAM) and Benefit Payment Control (BPC) are also included in the report. Notices of overpayments on uncontested earnings detected by any method (e.g., crossmatch) are excluded from the report.

C. Due Date and Transmittal

The report is due in the ETA National Office on the 20th of the second month following the quarter to which the data relates. This report will be transmitted electronically.

D. General Reporting Instructions

Each state will select a sample (see ETA Handbook 301, Benefits Timeliness and Quality (BTQ) Nonmonetary Determinations Quality Review (revised July, 2005), Appendix A) of nonmonetary determinations from the nonmonetary determinations time lapse universe for the preceding quarter. The sample universe is based on the time lapse data reported on the ETA 9052 for each month in the review quarter. Basic information or "skeleton" data that uniquely identifies each determination selected must be entered via the state's Sun machine into the UIRR data base by the 15th of the first month following the end of the review quarter. Skeleton data will either be automatically loaded as part of the state's sample selection program or will be manually entered into the database. Once all skeleton data is entered, the state will invoke a sample validation program to verify that the determinations selected meet the parameters of a valid sample. If the selected sample meets validation, each nonmonetary determination will then be evaluated according to the instructions provided in ETA Handbook 301. After the quality evaluation is complete, the official results will be entered into the database. The system will automatically compute the quality scores when all data has been entered.

Nonmonetary determinations from the following categories are included in the quality review:

1. Intrastate UI, Unemployment Compensation for Federal Employees (UCFE), Unemployment Compensation for Ex-Servicemen (UCX), Combined Wage Claims (CWC)
2. Interstate UI, UCFE, UCX, CWC claims
3. Multi-claimant Labor Dispute Determinations
4. Multi-claimant "Other" Determinations, i.e., determinations which do not involve a labor dispute but affect a class of claimants from the same

UI REPORTS HANDBOOK NO. 401

ETA 9056 Nonmonetary Determination Quality Review

employer with a common issue

5. BPC/BAM generated determinations
6. Other inclusions are described in HB 401, ETA 207, Nonmonetary Determination Activities (See E. 1(a) and 3(a) – (l))

The following categories are excluded from the quality review:

1. Excludes overpayment notices on uncontested earnings detected by any method (e.g., crossmatch).
2. Excludes episodic claims programs such as Extended Benefits (EB), Disaster Unemployment Assistance (DUA), and Trade Readjustment Allowances (TRA).
3. Excludes Nonmonetary Redeterminations.
4. Other exclusions are described in HB 401, ETA 207, Nonmonetary Determination Activities (see E.b)

E. Definitions

Definitions, unless otherwise specified in these instructions, are the same definitions used for the ETA 207, ETA 9050 and ETA 9052 reports found elsewhere in this Handbook and in ETA Handbook 301.

F. Data Collection Elements

1. Identification Number. This is a unique 5 digit number, beginning with 00001, assigned automatically by the state system to identify the nonmonetary determinations selected for review by state random selection software. This is a skeleton data item.
2. Issue Code. Enter the appropriate issue code. This is a skeleton data item.

Code	Separation Issue
10	Voluntary Quit
20	Discharge

Code	Nonseparation Issue
30	Able / Available
31	Reporting Requirements
40	Work Search
50	Disqualifying or Deductible Income
60	Refusal of Suitable Work / Failure to Apply / Accept Referral
70	Job Service Registration
73	Worker Profiling and Reemployment Services

UI REPORTS HANDBOOK NO. 401

ETA 9056 Nonmonetary Determination Quality Review

80	School Employee Between / Within Terms
81	Alien Status
82	Professional Athlete
83	Unemployment Status
84	Seasonality
85	Removal of All or Part of a Disqualification
86	Fraud Administrative Penalties
90	Labor Dispute
99	Other Multi-claimant

For detailed instructions on data collection items 3 through 24, refer to ETA Handbook 301, Chapter V.

G. Checking the Report

The electronic reporting system will edit the data at three different stages: 1) If possible, each element or field in the report is validated before data entry can proceed to the next, 2) saving the report for each sampled case invokes the system's Review-Edit program which compares each element against any conditions it is required to meet including any arithmetic operations. The program will list any errors or warnings generated. If possible, the user is advised to resolve "errors" before saving the data because 3) prior to transmitting the data, the system will run the same Review-Edit program.

The transmission function will generate an exception report identifying the case and the items that failed the edit(s). All cases failing the review edit must be corrected by the report date to allow transmission to the National Office. All cases must pass the review edit, otherwise, case transmission will not occur.

Detailed instructions on edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

CONTENTS

A. Facsimile of Form V-7-2

B. Purpose V-7-4

C. Due Date and Transmittal V-7-4

D. General Reporting Instructions V-7-4

E. Definitions V-7-4

F. Item by Item Instructions V-7-4

 1. Case ID Number V-7-4

 2. Docket Number V-7-4

 3. Hearing Officer V-7-5

 4. Evaluator V-7-5

 5. Total Points Scored (Optional) V-7-5

 6. Intent of Decision V-7-5

 7. Effect on Appealed Determination V-7-5

 8. Date Decision Issued V-7-5

 9. Date Decision Implemented V-7-5

 10. Case Material Status V-7-5

 11. Time Required for Evaluation V-7-5

G. Checking the Report V-7-5

UI REPORTS HANDBOOK NO. 401

ETA 9057 Lower Authority Appeals Quality Review

A. Facsimile of Form

ETA 9057 - LOWER AUTHORITY APPEALS QUALITY REVIEW STATE EVALUATION SCORE SHEET

STATE	REGION	REPORT FOR PERIOD ENDING				
Case Identification Number:						
Docket Number:						
		Good	Fair	Unsatisfactory	Did Not Occur	Score
1.	Explanation	G	F	U	D	
2.	Opening Statement	G	F	U		
3.	Exhibits	G	F	U	D	
4.	Witness Order	G	F	U	D	
5.	Order of Witnesses' Testimony	G	F	U		
6.	Question Own Witness*	G	F	U	D	
7.	Clear Language by H.O.	G		U		
8.	Compound Questions	G	F	U		
9.	Clarified Testimony	G	F	U	D	
10.	Confrontation*	G	F	U	D	
11.	Cross-Examination*	G	F	U	D	
12.	Repetitive Testimony	G	F	U		
13.	Leading Questions	G	F	U		
14.	Interruptions	G	F	U	D	
15.	"Off the Record"	G	F	U	D	
16.	Interpreters	G		U	D	
17.	Continuance	G	F	U	D	
18.	Conclusion of Hearing	G	F	U		
19.	Within Scope of Notice*	G	F	U		
20.	Gratuitous Comments	G	F	U		
21.	Attitude	G	F	U		

UI REPORTS HANDBOOK NO. 401

ETA 9057 Lower Authority Appeals Quality Review

22.	Bias and Prejudice*	G		U		
23.	Obtain Available Evidence*	G	F	U		
24.	Issue Statement	G		U		
25.	Findings Supported by Evidence*	G		U		
26.	Findings of Fact*	G	F	U		
27.	Necessary Conclusions Included	G		U		
28.	Logical Reasoning	G	F	U		
29.	Form and Style	G	F	U		
30.	Decision States Legal Effect	G	F	U		
31.	Understandable Decision	G	F	U		
32.	Percent Score:					
33.	Intent of Decision	A - Allow	D - Deny			
34.	Effect on Appealed Determ.	A - Affirm	R - Reverse	M - Modify		
35.	Date of Decision					
36.	Date Implemented:					
37.	Case Material Status	OK - OK TI - Tape Inaudible TM - Tape Missing	DM - Documents Missing IM - Tape Inaudible and Documents Missing MM - Tape and Documents Missing			
38.	Time Required for Evaluation of Case in Minutes					

Comments:

OMB No.: 1205-0359 **OMB Expiration Date:** 11/30/2010 **OMB Burden Hours:** 210 Minutes
OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

B. Purpose

The ETA 9057 report provides quarterly information on the quality of state agencies' single and two party lower authority appeals hearings and decisions in the report period.

C. Due Date and Transmittal

The report is due in the ETA National Office on the 20th of the second month following the quarter to which the data relates. This report will be transmitted electronically.

D. General Reporting Instructions

Each State will select a sample of lower authority appeals hearings for a quarter. (See Appendix A.) Basic, or skeleton, information about each hearing will be entered into the system. Each one of these hearings will then be evaluated according to instructions provided in ETA Handbook 382, 2nd Edition. The results of the evaluation will be entered into the system along with the skeleton data. The system will compute scores when all cases are completed.

- Includes single and two party appeal hearings.
- Excludes withdrawals, dismissals, and episodic claims programs such as Extended Benefits, Disaster Unemployment Assistance, and Trade Readjustment Allowances.

E. Definitions

Definitions, unless otherwise specified in these instructions, will follow the definitions for the ETA 5130 report found elsewhere in this handbook and in ETA Handbook 382, 2nd Edition.

F. Item by Item Instructions

Instructions below are specific to the form. Specific instructions on the case evaluation criteria are in Handbook 382, Second Edition. For items 1 through 31 on the state Evaluation Score Sheet, enter the appropriate score marked by the evaluator.

1. Case ID Number. This is a unique 5 digit number, beginning with 00001, assigned by the state to identify the appeals hearing selected for review by state random selection software. This is a skeleton data item.
2. Docket Number. Enter the state designation for a case. Twelve characters

UI REPORTS HANDBOOK NO. 401

ETA 9057 Lower Authority Appeals Quality Review

are provided. If state designations are larger than this, then some truncation, abbreviation or other alteration must be made, as long as the designation is unique. This is a skeleton data item.

3. Hearing Officer. Enter an ID number or other designation for the hearing officer.
4. Evaluator. Enter an ID number or other designation for the individual who did the evaluation.
5. Item 32, Total Points Scored (Optional). If desired, enter the sum of the points scored in the column. This can then be compared to the scores calculated by the computer to assure proper data entry.
6. Item 33, Intent of Decision. From the evaluation sheet, enter the appropriate code to indicate the intent of the decision to allow or deny benefits.
7. Item 34, Effect on Appealed Determination. From the evaluation sheet, enter the appropriate code indicating the effect the decision had on the prior status of the nonmonetary determination that was appealed.
8. Item 35, Date Decision Issued. From the evaluation sheet, enter the date the decision was mailed using a mm/dd/yyyy format. This is a skeleton data item.
9. Item 36, Date Decision Implemented. Enter the date the decision was implemented using a mm/dd/yyyy format.
10. Item 37, Case Material Status. Enter the status of case materials as indicated on the State Evaluation Score Sheet.
11. Item 38, Time Required for Evaluation. Enter the time required to evaluate the case in minutes format.

G. Checking the Report

The electronic reporting system will edit the data at three different stages. First, if possible, each element or field in the report is validated before data entry can proceed to the next. Second, saving the report for each sampled case invokes the system's Review-Edit program which compares each element against any conditions it is required to meet including any arithmetic operations. The program will list any errors or warnings generated. The user is advised to resolve "Errors" before saving the data. Thirdly, prior to transmitting the data, the system will run the same Review-Edit program. If the "Errors" are not resolved, the errors can be saved but not transmitted to the National Office.

UI REPORTS HANDBOOK NO. 401

ETA 9057 Lower Authority Appeals Quality Review

The transmission function will generate an exception report identifying the case and the items that failed the edit(s). All cases failing the review edit must be corrected by the report date to allow their transmission to the National Office. All cases must pass the review edit before transmission. If these steps are not followed, case transmission will not occur.

Edit checks can be found in HB 402, Unemployment Insurance Required Reports User' Manual, Appendix C.