

Appeals – Populations 6-11

Lower Authority Appeals Filed

- Definition: Lower Authority Appeals Filed
- ETA 361, Appendix A, Population 6
- ETA 361, Appendix A, Relationship between ETA 5130 and Subpopulations in Population 6
- Data Elements and Values for Reporting and Validating Lower Authority Appeals Filed

Lower Authority Appeals Decisions

- Definition: Lower Authority Appeals Filed
- ETA Handbook 361, Appendix A, Population 8
- ETA Handbook 361, Appendix A, Relationship between ETA 5130 and Subpopulation in Population 8
- Data Element: Appeals Issues
 - Value: Voluntary Quit
 - Value: Misconduct
 - Value: Suitable Work Refusal
 - Value: Able and Available to Work
 - Value: Other Issues
 - Value: Labor Dispute
- Record Layout: Appeals Issues
- Other Data Elements and Values for Reporting and Validating Lower Authority Appeals Decisions

Lower Authority Appeals Case Aging

- Definition: Lower Authority Appeals Case Aging
- ETA Handbook 361, Appendix A, Population 10
- ETA Handbook 361, Appendix A, Population 10 Notes
- ETA Handbook 361, Appendix A, Relationship between 9055 and Subpopulations in Population 10
- Data Elements and Values for Reporting and Validating Lower Authority Case Aging

Higher Authority Appeals Filed

- Definition: Higher Authority Appeals Filed
- ETA Handbook 361, Appendix A, Population 7
- ETA Handbook 361, Appendix A, Relationship between ETA 5130 and Subpopulation in Population 7
- Data Elements and Values for Reporting and Validating Higher Authority Appeals Filed

Higher Authority Appeals Decisions

- Definition: Higher Authority Appeals Decisions
- ETA Handbook 361, Appendix A, Population 9
- ETA Handbook 361, Appendix A, Relationship between 5130 and Subpopulations in Population 9
- Data Elements and Values for Reporting and Validating Higher Authority Appeals Decisions

Higher Authority Appeals Case Aging

- Definition: Higher Authority Appeals Case Aging
- ETA Handbook 361, Appendix A, Populations 11
- ETA Handbook 361, Appendix A, Population 11 Notes
- ETA Handbook 361, Appendix A, Relationship between 9055 and Subpopulations in Population 11
- Data Elements and Values for Reporting and Validating Higher Authority Case Aging

Other Data Elements and Values for Reporting and Validating Appeals Filed, Appeals Decisions and Appeals Case Aging

- Data Element: [SSN](#)
- Data Element: [Docket Number Unique ID for Appeals](#)
 - Record Layout: Docket Number Unique ID
- Data Element: [Type of UI Program](#)
 - Value: Regular UI
 - Value: Workshare
- Data Element: [Program Type](#)
 - Value: UI Claim
 - Value: UCFE claim
 - Value: UCX Claim
- Data Element: [Intrastate/Interstate](#)
 - Value: Intrastate Claim
 - Value: Interstate Claim
- Data Element: [Appeal Level](#)

- Value: Lower Authority Appeal
- Value: Higher Authority Appeal
- Record Layout: Appeal Level
- Data Element: [Type of Appeal \(Single or Multiclient\)](#)
 - Value: Single Claimant
 - Value: Multiclient
 - Record Layout: Type of Appeal (Single or Multiclient)
- Data Element: [Number of Claimants/Number of Claimants in a Multiclient Appeal](#)
- Data Element: [Filed Date](#)
- Data Element: [Decision Date](#)
- Data Element: [Appellant](#)
 - Value: Claimant
 - Value: Employer
 - Value: Other
 - Record Layout: Appellant
- Data Element: [In Favor of Appellant](#)
 - Value: In Favor of Appellant
 - Value: Not in Favor of Appellant
 - Record Layout: In Favor of Appellant
- Data Element: [Disposed of by Decision](#)
 - Value: Disposed by Decision
 - Value: Not Disposed by Decision
 - Record Layout: Disposed by Decision
- [ETA 361, Appendix A, Population 6 and 7 Notes on Appeals Filed](#)
- [ETA 361, Appendix A, Population 8 and 9 Notes on Appeals Decisions](#)
- [ETA Handbook 361, Appendix A, Population 10 and 11 Notes on Appeals Aging](#)

Lower Authority Appeals Filed

Definition: Lower Authority Appeals

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.

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 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.

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.

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.

A decision by either the lower or the higher appeals authority ruling on an issue not previously considered by a lower body. (ETA 401, Sec I, Ch 5)

Table A.6.1
Population 6 Subpopulations
Claimants involved in State UI Appeals Filed - Lower

Subpop #	ETA ar5130B Line and Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 24A) Appeal Level	5 (Step 25A) (Rule 1) (Step 25B) (Rule 1) Type of Appeal (Single or Multiclient)	6 (Step 25B) (Rules 3 – 6) Number of Claimants	7 (Step 32) Filed Date
LOWER AUTHORITY APPEALS FILED (6.1 through 6.2) 1) Minimum sample: First two cases from each subpopulation							
6.1	200-8	Required	Required	Lower	S		Required
6.2 ^a	200-10	Required	Required	Lower	M	≥ 1	Required

^aStates can list each claimant involved in multiclient appeals or just provide the number of claimants based on how the files are stored in the system.

Table A.6.2
Relationship between ETA AR5130B Report Cells and Subpopulations in Population 6

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 (8)	Lower Authority (10)
200	Filed During Month	1	2

Data Elements and Values for Reporting and Validating Lower Authority Appeals Filed

- Data Element: [SSN](#)
- Data Element: [Docket Number Unique ID for Appeals](#)
 - Record Layout: Docket Number Unique ID
- Data Element: [Appeal Level](#)
 - Value: [Lower Authority Appeal](#)
- Data Element: [Type of Appeal \(Single or Multiclient\)](#)
 - Value: Single Claimant
 - Value: Multiclient
 - Record Layout: Type of Appeal (Single or Multiclient)
- Data Element: [Number of Claimants/Number of Claimants in a Multiclient Appeal](#)
- Data Element: [Filed Date](#)
- [ETA 361, Appendix A, Population 6 and 7 Notes on Appeals Filed](#)

Lower Authority Appeals Decisions

Definition: Lower Authority Appeals Decision

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.

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.

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.

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.

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.

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.

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. (ETA 401, Sec I, Ch 5)

ETA Handbook 361, Appendix A, Population 8

Table A.8.1
Population 8 Subpopulations
 Lower Authority Appeals Decisions
 Decision Date Falls within Reporting/Validation Period
 Sort in Ascending Order by Time Lapsed Days

Subpop	Report, Line, and Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24A) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclient)	9 (Step 25B) Number of Claimants in Multiclient Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision	15 (Step 31) Issue Code
SINGLE CLAIMANT LOWER AUTHORITY APPEALS DECISIONS (8.1 through 8.44) 1) Random sample: 60 or 200 (includes review of folders); 2) Supplemental sample--missing strata (8.33 through 8.40 only); 3) Supplemental sample--outliers															
8.1	ar5130: A 100-1; B 210-8 ar5130C: 300-14; 310-14 ar5130D-400-21 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Claimant	Y	Required	Required		VL
8.2	ar5130: A 100-1; B 210-8 ar5130C: 300-16; 310-16 ar5130D-400-21 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Employer	Y	Required	Required		VL
8.3	ar5130: A 100-1; B 210-8 ar5130: C 300-14; D 400-21 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Claimant	N	Required	Required		VL
8.4	ar5130: A 100-1; B 210-8 ar5130: C 300-16; D 400-21 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Employer	N	Required	Required		VL

Subpop	Report, Line, and Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24A) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimgant)	9 (Step 25B) Number of Claimants in Multiclaimgant Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision	15 (Step 31) Issue Code
8.5	ar5130: A 100-1; B 210-8 ar5130C: 300-14; 310-14 ar5130D-400-21 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Claimant	Y	Required	Required		VL
8.6	ar5130: A 100-1; B 210-8 ar5130C: 300-16; 310-16 ar5130D-400-21 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Employer	Y	Required	Required		VL
8.7	ar5130: A 100-1; B 210-8 ar5130: C 300-14; D 400-21 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Claimant	N	Required	Required		VL
8.8	ar5130: A 100-1; B 210-8 ar5130: C 300-16; D 400-21 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Employer	N	Required	Required		VL
8.9	ar5130: A 100-1; B 210-8 ar5130C: 300-14; 310-14 ar5130D-400-22 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Claimant	Y	Required	Required		MC
8.10	ar5130: A 100-1; B 210-8 ar5130C: 300-16; 310-16 ar5130D-400-22 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Employer	Y	Required	Required		MC
8.11	ar5130: A 100-1; B 210-8 ar5130: C 300-14; D 400-22 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Claimant	N	Required	Required		MC

Subpop	Report, Line, and Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24A) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclient)	9 (Step 25B) Number of Claimants in Multiclient Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision	15 (Step 31) Issue Code
8.12	ar5130: A 100-1; B 210-8 ar5130: C 300-16; D 400-22 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Employer	N	Required	Required		MC
8.13	ar5130: A 100-1; B 210-8 ar5130C: 300-14; 310-14 ar5130D-400-22 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Claimant	Y	Required	Required		MC
8.14	ar5130: A 100-1; B 210-8 ar5130C: 300-16; 310-16 ar5130D-400-22 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Employer	Y	Required	Required		MC
8.15	ar5130: A 100-1; B 210-8 ar5130: C 300-14; D 400-22 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Claimant	N	Required	Required		MC
8.16	ar5130: A 100-1; B 210-8 ar5130: C 300-16; D 400-22 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Employer	N	Required	Required		MC
8.17	ar5130: A 100-1; B 210-8 ar5130C: 300-14; 310-14 ar5130D-400-23 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Claimant	Y	Required	Required		Suit
8.18	ar5130: A 100-1; B 210-8 ar5130C: 300-16; 310-16 ar5130D-400-23 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Employer	Y	Required	Required		Suit

		2 (Step 1E) (Rule 1)	3 (Step 1E) (Rule 2)	4 (Step 2)	5 (Step 4)	6 (Step 5)	7 (Step 24A) (Rule 1)	8 (Step 25A) (Step 25B)	9 (Step 25B)	10 (Step 26)	11 (Step 27A) (Step 27B)	12 (Step 32)	13 (Step 28)	14 (Step 30A) (Step 30B)	15 (Step 31)
Subpop	Report, Line, and Column	SSN	Docket Number Unique ID	Type of UI Program	Program Type	Intrastate/ Interstate	Appeal Level	Type of Appeal (Single or Multiclient)	Number of Claimants in Multiclient Appeal	Appellant	In Favor of Appellant	Filed Date	Decision Date	Disposed of by Decision	Issue Code
8.19	ar5130: A 100-1; B 210-8 ar5130: C 300-14; D 400-23 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Claimant	N	Required	Required		Suit
8.20	ar5130: A 100-1; B 210-8 ar5130: C 300-16; D 400-23 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Employer	N	Required	Required		Suit
8.21	ar5130: A 100-1; B 210-8 ar5130C: 300-14; 310-14 ar5130D-400-23 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Claimant	Y	Required	Required		Suit
8.22	ar5130: A 100-1; B 210-8 ar5130C: 300-16; 310-16 ar5130D-400-23 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Employer	Y	Required	Required		Suit
8.23	ar5130: A 100-1; B 210-8 ar5130: C 300-14; D 400-23 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Claimant	N	Required	Required		Suit
8.24	ar5130: A 100-1; B 210-8 ar5130: C 300-16; D 400-23 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Employer	N	Required	Required		Suit
8.25	ar5130: A 100-1; B 210-8 ar5130C: 300-14; 310-14 ar5130D-400-24 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Claimant	Y	Required	Required		A & A

Subpop	Report, Line, and Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24A) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclient)	9 (Step 25B) Number of Claimants in Multiclient Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision	15 (Step 31) Issue Code
8.26	ar5130: A 100-1; B 210-8 ar5130C: 300-16; 310-16 ar5130D-400-24 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Employer	Y	Required	Required		A & A
8.27	ar5130: A 100-1; B 210-8 ar5130: C 300-14; D 400-24 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Claimant	N	Required	Required		A & A
8.28	ar5130: A 100-1; B 210-8 ar5130: C 300-16; D 400-24 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Employer	N	Required	Required		A & A
8.29	ar5130: A 100-1; B 210-8 ar5130C: 300-14; 310-14 ar5130D-400-24 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Claimant	Y	Required	Required		A & A
8.30	ar5130: A 100-1; B 210-8 ar5130C: 300-16; 310-16 ar5130D-400-24 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Employer	Y	Required	Required		A & A
8.31	ar5130: A 100-1; B 210-8 ar5130: C 300-14; D 400-24 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Claimant	N	Required	Required		A & A
8.32	ar5130: A 100-1; B 210-8 ar5130: C 300-16; D 400-24 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Employer	N	Required	Required		A & A

Subpop	Report, Line, and Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24A) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclient)	9 (Step 25B) Number of Claimants in Multiclient Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision	15 (Step 31) Issue Code
8.33	ar5130: A 100-1; B 210-8 ar5130C: 300-14; 310-14 ar5130D-400-26 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Claimant	Y	Required	Required		Other

Subpop	Report, Line, and Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24A) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclient)	9 (Step 25B) Number of Claimants in Multiclient Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision	15 (Step 31) Issue Code
8.34	ar5130: A 100-1; B 210-8 ar5130C: 300-16; 310-16 ar5130D-400-26 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Employer	Y	Required	Required		Other
8.35	ar5130: A 100-1; B 210-8 ar5130: C 300-14; D 400-26 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Claimant	N	Required	Required		Other
8.36	ar5130: A 100-1; B 210-8 ar5130: C 300-16; D 400-26 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S	Must be blank or 0	Employer	N	Required	Required		Other
8.37	ar5130: A 100-1; B 210-8 ar5130C: 300-14; 310-14 ar5130D-400-26 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Claimant	Y	Required	Required		Other
8.38	ar5130: A 100-1; B 210-8 ar5130C: 300-16; 310-16 ar5130D-400-26 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Employer	Y	Required	Required		Other
8.39	ar5130: A 100-1; B 210-8 ar5130: C 300-14; D 400-26 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Claimant	N	Required	Required		Other
8.40	ar5130: A 100-1; B 210-8 ar5130: C 300-16; D 400-26 9054A-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Lower	S	Must be blank or 0	Employer	N	Required	Required		Other

Subpop	Report, Line, and Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24A) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclient)	9 (Step 25B) Number of Claimants in Multiclient Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision	15 (Step 31) Issue Code
8.41 ^a	ar5130A-100-3 9054A-C2	Required	Required	Regular UI or Workshare	UCFE	Intrastate	Lower	S	Must be blank or 0			Required	Required		
8.42 ^a	ar5130A-100-3 9054A-C3	Required	Required	Regular UI or Workshare	UCFE	Interstate	Lower	S	Must be blank or 0			Required	Required		
8.43 ^a	ar5130A-100-5 9054A-C2	Required	Required	Regular UI or Workshare	UCX	Intrastate	Lower	S	Must be blank or 0			Required	Required		
8.44 ^a	ar5130A-100-5 9054A-C3	Required	Required	Regular UI or Workshare	UCX	Interstate	Lower	S	Must be blank or 0			Required	Required		
MULTI-CLAIMANT LOWER AUTHORITY APPEALS DECISIONS (8.45 through 8.55) 1) Minimum sample: First two cases from each subpopulation (includes review of folders)															
8.45	ar5130: A 100-1; B 210-10 ar5130C: 300-14; 310-14 ar5130D-400-25 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	M-1 or M-Lead	≥ 1	Claimant	Y	Required	Required		Labor Disp
8.46	ar5130: A 100-1; B 210-10 ar5130C: 300-16; 310-16 ar5130D-400-25 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	M-1 or M-Lead	≥ 1	Employer	Y	Required	Required		Labor Disp
8.47	ar5130: A 100-1; B 210-10 ar5130: C 300-14; D 400-25 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	M-1 or M-Lead	≥ 1	Claimant	N	Required	Required		Labor Disp

Subpop	Report, Line, and Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24A) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclient)	9 (Step 25B) Number of Claimants in Multiclient Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision	15 (Step 31) Issue Code
8.48	ar5130: A 100-1; B 210-10 ar5130: C 300-16; D 400-25 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	M-1 or M-Lead	≥ 1	Employer	N	Required	Required		Labor Disp
8.49	ar5130: A 100-1; B 210-10 ar5130C: 300-14; 310-14 ar5130D-400-26 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	M-1 or M-Lead	≥ 1	Claimant	Y	Required	Required		Other
8.50	ar5130: A 100-1; B 210-10 ar5130C: 300-16; 310-16 ar5130D-400-26 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	M-1 or M-Lead	≥ 1	Employer	Y	Required	Required		Other
8.51	ar5130: A 100-1; B 210-10 ar5130: C 300-14; D 400-26 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	M-1 or M-Lead	≥ 1	Claimant	N	Required	Required		Other
8.52	ar5130: A 100-1; B 210-10 ar5130: C 300-16; D 400-26 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	M-1 or M-Lead	≥ 1	Employer	N	Required	Required		Other
8.53	ar5130B-210-10	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	M-Nonlead	1			Required	Required		VL or MC or Suit or A & A or Other or Labor Disp

Subpop	Report, Line, and Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24A) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclient)	9 (Step 25B) Number of Claimants in Multiclient Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision	15 (Step 31) Issue Code
8.54	ar5130A: 100-1 ar5130B: 210-8; 210-10 ar5130C: 300-18; 310-18 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S or M-1 or M-Lead	≥ 1 or blank or 0	Other	Y	Required	Required		VL or MC or Suit or A & A or Other or Labor Disp
8.55	ar5130A: 100-1 ar5130B: 210-8; 210-10 ar5130C: 300-18 9054A-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Lower	S or M-1 or M-Lead	≥ 1 or blank or 0	Other	N	Required	Required		VL or MC or Suit or A & A or Other or Labor Disp

^aIf a UCFE or UCX multiclient appeal is decided, report as a separate population and manually validate the 5130 report.

ETA Handbook 361, Appendix A, Relationship between 5130 and Subpopulations in Population 8

Table A.8.2
Relationship between ETA AR5130 Report Cells and Subpopulations in Population 8

SECTION A. Single Claimant and Multiclaimgant Appeals Case Decisions and Other Dispositions

	UI Decisions	UCFE-No UI Decisions	UCX Only Decisions
Line No.	Lower Authority (1)	Lower Authority (3)	Lower Authority (5)
100	1-40 45-52 54-55	41-42 ^a	43-44 ^a

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 (8)	Lower Authority (10)
210	Disposed of During Month by Decision	1-40 54-55 ^b	45-53

SECTION C. State UI Appeals Decisions by Type of Appellant

Line No.	UI Appeals Decisions	Claimant	Employer	Other
		Lower Authority (14)	Lower Authority (16)	Lower Authority (18)
300	Total	1, 3, 5, 7 9, 11, 13, 15 17, 19, 21, 23 25, 27, 29, 31 33, 35, 37, 39 45, 47, 49, 51	2, 4, 6, 8 10, 12, 14, 16 18, 20, 22, 24 26, 28, 30, 32 34, 36, 38, 40 46, 48, 50, 52	54-55
310	In favor of Appellant	1, 5, 9, 13 17, 21, 25, 29 33, 37, 45, 49	2, 6, 10, 14 18, 22, 26, 30 34, 38, 46, 50	54

SECTION D. Number of Lower Authority State UI Appeals Decisions by Issue

Line No.	Voluntary Quit (21)	Misconduct (22)	Refusal of Suitable Work (23)	Not Able or Available (24)	Labor Dispute (25)	Other (26)
400	1-8	9-16	17-24	25-32	45-48	33-40 49-52

^aAlso includes multiclaimgant UCFE and UCX decision subpopulations that are not listed.

^bSingle claimant only

^cMulticlaimgant only

Table A.8.3

Relationship between ETA 9054A Report Cells and Subpopulations in Population 8

Section A. Lower Authority Appeals Time Lapse from Date Filed to Decision Date

Days	Intrastate	Interstate
Total	C2	C3
	1-4	5-8
	9-12	13-16
	17-20	21-24
	25-28	29-32
	33-36	37-40
	41, 43	42, 44
	45-52	
	54-55	

Value: Voluntary Quit

Definition: Appeal Issues – Voluntary Quit

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 voluntary leaving issues involving marital, paternal, filial, or other domestic or personal circumstances, and attendance at school or training. (ETA 401, Sec I, Ch 1)

Module 3 – Step 31A. Appeal Issues – Voluntary Quit

Step 31. Appeal Issues

Sub Step A. Voluntary Quit

Rules for this step/substep apply to Population 8

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule validates that the issue was voluntary quit by checking an indicator.

Rule 2: This rule validates that the issue was a voluntary quit by examining the case folder.

Value: Misconduct

Definition: Appeal Issues – Misconduct

Discharge for Misconduct: Misconduct may be 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 judgement or discretion are not misconduct.

For reporting purposes, include under this category issues involving a discharge for "gross" or "aggravated" misconduct, as defined under some State laws. (ETA 401, Sec I, Ch 1)

Module 3 – Step 31B. Appeal Issues – Misconduct

Step 31. Appeal Issues

Sub Step B. Voluntary Quit

Rules for this step/substep apply to Population 8

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule validates that the issue was misconduct by checking an indicator.

Rule 2: This rule validates that the issue was misconduct by examining the case folder.

Value: Suitable Work Refusals

Definition: Appeal Issues – Suitable Work Refusals

Suitable Work Refusals: A claimant's refusal of suitable work or of an offer of referral to a job without good cause is reason for disqualification. Two major questions must be considered. Is there good cause for refusal and is offered work suitable? It must be established that a bona fide job offer or an offer of referral to a job existed.

Suitability of the particular job is determined by comparing the offered job to both the claimant's past and present experience and qualifications and to the local labor market. The claimant's personal circumstances are considered in determining whether good cause exists. (ETA 401, Sec I, Ch 1)

Module 3 – Step 31C. Appeals Issues – Suitable Work Refusals

Step 31. Appeal Issues

Sub Step C. Misconduct

Rules for this step/substep apply to Population 8

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule validates that the issue was misconduct by checking an indicator.

Rule 2: This rule validates that the issue was misconduct by examining the case folder.

Value: Able and Available to Work

Definition: Appeals Issues – Able and Available to Work

Not Able/Not Available/Not Actively Seeking: 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, necessary licenses, etc.) and 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 chance 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, hour 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 require 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 the reasonably prudent person attempts to secure work.

For reporting purposes, include under this category able/available/ actively seeking work issues involving marital, parental, filial, or personal obligations and attendance at school or training. Only one appeals count may be taken for a given week for not able, not available, and not actively seeking work issue. (ETA 401, Sec I, Ch 1)

Module 3 – Step 31D. Appeals Issues – – Able and Available to Work

Step 31. Appeal Issues

Sub Step D. Able and Available to Work

Rules for this step/substep apply to Population 8

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule validates that the issue was able and available to work by checking an indicator.

Rule 2: This rule validates that the issue was able and available to work by examining the case folder.

Value: Other Issues

Definition: Appeals Issues – Other Issues

Other Single Claimant Nonseparation Issues: Other nonseparation issues for reporting single claimant nonmonetary determinations relating to aliens, professional athletes, school employees, unemployment status, seasonality, removal of all or part of a disqualification, and all other BPC-related nonmonetary determinations.

The following types of determinations should be reported as Other Nonseparation Issues:

Alien Legal Status: Section 3304(a)(14) of the 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 should be reported in column 12.

Determinations concerning alien legal status 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, Nonmonetary Determinations Activities Report. (ETA 401 (218), Sec I, Ch 2) AND (ETA 401 (207) Sec I, Ch 1). A monetary redetermination issued as a result of the nonmonetary determination is not reportable.

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 from participating in sporting events and whether the athlete is "between seasons". (ETA 401, p. I-4-9)

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 nonallowable services and in addition to a nonmonetary determination informing the claimant that these provisions of Federal law apply.

Determinations 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, Nonmonetary Determinations Activities Report. (ETA 401 (218), Sec I, Ch 2) AND (ETA 401 (207) Sec I, Ch 1). A monetary redetermination issued as a result of the nonmonetary determination is not reportable.

Miscellaneous: Miscellaneous circumstances (unemployment status, seasonality and removal of all or part of a disqualification) are issues when controversy arises on facts or application of the law. In the absence of controversy, these situations are generally clerical functions 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. (See 3 below.) In most cases, the claimant agrees to the action, controversy does not exist, the situation does not constitute an issue and therefore, is not a reportable nonmonetary determination.

If, however, after a discussion of potentially disqualifying circumstance, 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 decisions 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.

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 controversy over the accuracy of the employer's statement, the State issues a nonmonetary determination on whether to accept the employer's or claimant's statement then that determination is reportable (provided the other nonmonetary requirements in this section are met).

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 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. Controversy exists; further inquiry with the employer 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." (ETA 401, Sec I, Ch 1)

Module 3 – Step 31E. Appeals Issues – Other Issues

Step 31. Appeal Issues

Sub Step E. Other Issues

Rules for this step/substep apply to Population 8

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule validates that the issue was other issues by checking an indicator.

Rule 2: This rule validates that the issue was other issues by examining the case folder.

Value: Labor Dispute

Definition: Appeals Issues – Labor Dispute

Labor Dispute: A nonseparation issue pertaining to unemployment as a result of controversy about terms or conditions of employment. (ETA 401, Sec I, Ch 1)

Module 3 – Step 31E. Appeal Issues – Labor Dispute

Step 31. Appeals Issues

Sub Step F. Labor Dispute

Rules for this step/substep apply to Population 8

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule validates that the issue was a labor dispute by checking an indicator.

Rule 2: This rule validates that the issue was a labor dispute by examining the case folder.

Data Element: Appeals Issues

Record Layout: Appeals Issues

This record layout provides the format for the validation extract file. The extract file type must be ASCII, comma delimited columns. Data must be in the order listed in the record layout. The data Format column indicates the generic values for text fields. **These must be followed by a dash and the state-specific value.** The Module 3 reference indicates the step where the state-specific values are documented.

<i>No.</i>	<i>Field Name</i>	<i>Module 3 Reference</i>	<i>Field Description</i>	<i>Data Format</i>	<i>Data Type</i>	<i>Constraint</i>
15	Issue Code	VL: Step 31A - Rule 1 MC: Step 31B - Rule 1 Suit: Step 31C - Rule 1 A&A: Step 31D - Rule 1 Other: Step 31E - Rule 1 Labor Disp: Step 31F - Rule 1	The issue code of the appeal was voluntary leaving, misconduct, refusal of suitable work, able and available to work, other issues, or labor dispute.	Text - VL MC Suit A & A Other Labor Disp (Required except optional for UCFE and UCX claims)	CHAR (30)	

Other Data Elements and Values for Reporting and Validating Lower Authority Appeals Decisions

- Data Element: [SSN](#)
- Data Element: [Docket Number Unique ID for Appeals](#)
 - Record Layout: Docket Number Unique ID
- Data Element: [Type of UI Program](#)
 - Value: Regular UI
 - Value: Workshare
- Data Element: [Program Type](#)
 - Value: UI Claim
 - Value: UCFE claim
 - Value: UCX Claim
- Data Element: [Intrastate/Interstate](#)
 - Value: Intrastate Claim
 - Value: Interstate Claim
- Data Element: [Appeal Level](#)
 - Value: [Lower Authority Appeal](#)
- Data Element: [Type of Appeal \(Single or Multiclient\)](#)
 - Value: Single Claimant
 - Value: Multiclient
 - Record Layout: Type of Appeal (Single or Multiclient)
- Data Element: [Number of Claimants/Number of Claimants in a Multiclient Appeal](#)
- Data Element: [Appellant](#)
 - Value: Claimant
 - Value: Employer
 - Value: Other
 - Record Layout: Appellant
- Data Element: [In Favor of Appellant](#)
 - Value: In Favor of Appellant
 - Value: Not in Favor of Appellant
 - Record Layout: In Favor of Appellant
- Data Element: [Filed Date](#)
- Data Element: [Decision Date](#)
- Data Element: [Disposed of by Decision](#)
 - Value: Disposed by Decision
 - Value: Not Disposed by Decision
 - Record Layout: Disposed by Decision
- [ETA 361, Appendix A, Population 8 and 9 Notes on Appeals Decisions](#)

Lower Authority Appeals Case Aging

Definition: Lower Authority Appeals Case Aging

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. (ETA 401, Sec V, Ch 5)

ETA Handbook 361, Appendix A, Population 10

Table A.10.1
Population 10 Subpopulations
 Lower Authority Appeals Case Aging
 Appeals Pending at the End of the Month Being Validated
 Sort by Days Pending Within Each Category

Subpopulation #	ETA 9055 Column	2 (Step 1E) (Rule 1) SSN	3 (Step 1E) (Rule 2) Docket Number Unique ID	4 (Step 24A) Appeal Level	5 (Step 30B) (Rule 1) Appeal Pending	6 (Step 32) Filed Date
LOWER AUTHORITY APPEALS CASE AGING (10.1 through 10.7) 1) Supplemental sample--outliers						
10.1	Section 9055L – Age ≤ 25 days	Required	Required	Lower		Required*
10.2	Section 9055L – Age 26-40 days	Required	Required	LOWER		Required*
10.3	Section 9055L – Age 41-90 days	Required	Required	LOWER		Required*
10.4	Section 9055L – Age 91-120 days	Required	Required	Lower		Required*
10.5	Section 9055L – Age 121-180 days	Required	Required	Lower		Required*
10.6	Section 9055L – Age 181-360 days	Required	Required	Lower		Required*
10.7	Section 9055L – Age > 360 days	Required	Required	Lower		Required*

* Ages are calculated from this date to the last day of the report period being validated. The software groups the transactions into each subpopulation on the basis of the date ranges given in “ETA 9055 Column.”

ETA Handbook 361, Appendix A, Relationship between 9055 and Subpopulations in Population 10

Table A.10.2

Relationship between ETA 9055 Report Cells and Subpopulations in Population 10

Age of Pending Lower Authority Single Claimant Appeals Cases

DAYS	Total
Total	10.1-10.7
≤ 25	10.1
26-40	10.2
41-90	10.3
91-120	10.4
121-180	10.5
181-360	10.6
> 360	10.7

ETA Handbook 361, Appendix A, Population 10 and 11 Notes

1. Capture the lower authority and higher authority appeals data at the end of the month.
2. Column 5 (Step 30B), Appeal Pending, is an optional field for both Populations 10 and 11.

Data Elements and Values for Reporting and Validating Lower Authority Appeals Case Aging

- Data Element: [SSN](#)
- Data Element: [Docket Number Unique ID for Appeals](#)
 - Record Layout: Docket Number Unique ID
- Data Element: [Appeal Level](#)
 - Value: [Lower Authority Appeal](#)
 - Record Layout: Appeal Level
- Data Element: [Filed Date](#)
- [ETA Handbook 361, Appendix A, Population 10 and 11 Notes on Appeals Aging](#)

Higher Authority Appeals Filed

Definition: Higher Authority Appeals Filed

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.

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 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.

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.

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.

A decision by either the lower or the higher appeals authority ruling on an issue not previously considered by a lower body. (ETA 401, Sec I, Ch 5)

ETA Handbook 361, Appendix A, Population 7

Table A.7.1
Population 7 Subpopulations
Claimants involved in State UI Appeals Filed – Higher

Subpop #	ETA ar5130B Line and Column	2 (Step 1F) (Rule 1) SSN	3 (Step 1F) (Rule 2) Docket Number Unique ID	4 (Step 24B) Appeal Level	5 (Step 25A) (Rule 1) (Step 25B) (Rule 1) Type of Appeal (Single or Multiclient)	6 (Step 25B) (Rules 3 – 6) Number of Claimants	7 (Step 32) Filed Date
HIGHER AUTHORITY APPEALS FILED (7.1 through 7.2) 1) Minimum sample: First two cases from each subpopulation							
7.1	200-9	Required	Required	Higher	S		Required
7.2 ^a	200-11	Required	Required	Higher	M	≥ 1	Required

^aStates can list each claimant involved in multiclient appeals or just provide the number of claimants based on how the files are stored in the system.

ETA Handbook 361, Relationship between 5130 and Subpopulations in Population 7

Table A.7.2
Relationship between ETA AR5130B Report Cells and Subpopulations in Population 7

SECTION B: Claimants Involved in State UI Appeals Cases by Status of Appeals			
Line No.	Status of Appeals	Single-Claimant Appeals	Multi-Claimant Appeals
		Higher Authority (9)	Higher Authority (11)
200	Filed During Month	1	2

Data Elements and Values for Reporting and Validating Higher Authority Appeals Filed

- Data Element: [SSN](#)
- Data Element: [Docket Number Unique ID for Appeals](#)
 - Record Layout: Docket Number Unique ID
- Data Element: [Appeal Level](#)
 - Value: [Higher Authority Appeal](#)
 - Record Layout: Appeal Level
- Data Element: [Type of Appeal \(Single or Multiclient\)](#)
 - Value: Single Claimant
 - Value: Multiclient
 - Record Layout: Type of Appeal (Single or Multiclient)
- Data Element: [Number of Claimants/Number of Claimants](#)
- Data Element: [Filed Date](#)
- Data Element: [Decision Date](#)
- [ETA 361, Appendix A, Population 6 and 7 Notes on Appeals Filed](#)

Higher Authority Appeals Decisions

Definition: Higher Authority Appeals Decisions

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.

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.

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.

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.

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.

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.

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. (ETA 401, Sec I, Ch

TABLE A.9.1
Population 9 Subpopulations
Higher Authority Appeals Decisions,
Decision Date Falls within Reporting/Validation Period

Subpop #	Report, Line, and Column	2 (Step 1F) (Rule 1) SSN	3 (Step 1F) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24B) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclient)	9 (Step 25B) (Rules 3 and 5) Number of Claimants in Multiclient Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision
SINGLE CLAIMANT HIGHER AUTHORITY APPEALS DECISIONS (9.1 through 9.12) 1) Random sample: 30 or 100 (includes review of folders); 2) Supplemental sample--outliers														
9.1	ar5130: A 100-2 B 210-9 ar5130C: 300-15 310-15 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	S	Must be blank or 0	Claimant	Y	Required	Required	
9.2	ar5130: A 100-2 B 210-9 ar5130C: 300-17 310-17 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	S	Must be blank or 0	Employer	Y	Required	Required	
9.3	ar5130: A 100-2 B 210-9 ar5130C-300-15 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	S	Must be blank or 0	Claimant	N	Required	Required	

Subpop #	Report, Line, and Column	2 (Step 1F) (Rule 1) SSN	3 (Step 1F) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24B) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimgant)	9 (Step 25B) (Rules 3 and 5) Number of Claimants in Multiclaimgant Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision
9.4	ar5130: A 100-2 B 210-9 ar5130C-300-17 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	S	Must be blank or 0	Employer	N	Required	Required	
9.5	ar5130: A 100-2 B 210-9 ar5130C: 300-15 310-15 9054B-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Higher	S	Must be blank or 0	Claimant	Y	Required	Required	
9.6	ar5130: A 100-2 B 210-9 ar5130C: 300-17 310-17 9054B-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Higher	S	Must be blank or 0	Employer	Y	Required	Required	
9.7	ar5130: A 100-2 B 210-9 ar5130C-300-15 9054B-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Higher	S	Must be blank or 0	Claimant	N	Required	Required	

Subpop #	Report, Line, and Column	2 (Step 1F) (Rule 1) SSN	3 (Step 1F) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24B) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimgant)	9 (Step 25B) (Rules 3 and 5) Number of Claimants in Multiclaimgant Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision
9.8	ar5130: A 100-2 B 210-9 ar5130C-300-17 9054B-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Higher	S	Must be blank or 0	Employer	N	Required	Required	
9.9 ^a	ar5130A-100-4 9054B-C2	Required	Required	Regular UI or Workshare	UCFE	Intrastate	Higher	S	Must be blank or 0			Required	Required	
9.10 ^a	ar5130A-100-4 9054B-C3	Required	Required	Regular UI or Workshare	UCFE	Interstate	Higher	S	Must be blank or 0			Required	Required	
9.11 ^a	ar5130A-100-6 9054B-C2	Required	Required	Regular UI or Workshare	UCX	Intrastate	Higher	S	Must be blank or 0			Required	Required	
9.12 ^a	ar5130A-100-6 9054B-C3	Required	Required	Regular UI or Workshare	UCX	Interstate	Higher	S	Must be blank or 0			Required	Required	

Subpop #	Report, Line, and Column	2 (Step 1F) (Rule 1) SSN	3 (Step 1F) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24B) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimgant)	9 (Step 25B) (Rules 3 and 5) Number of Claimants in Multiclaimgant Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision
MULTI-CLAIMANT HIGHER AUTHORITY APPEALS DECISIONS (9.13 through 9.23) 1) Minimum sample: First two cases from each subpopulation (includes review of folders)														
9.13	ar5130: A 100-2 B 210-11 ar5130C: 300-15 310-15 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	M-1 or M-Lead	≥ 1	Claimant	Y	Required	Required	
9.14	ar5130: A 100-2 B 210-11 ar5130C: 300-17 310-17 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	M-1 or M-Lead	≥ 1	Employer	Y	Required	Required	
9.15	ar5130: A 100-2 B 210-11 ar5130C-300-15 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	M-1 or M-Lead	≥ 1	Claimant	N	Required	Required	

Subpop #	Report, Line, and Column	2 (Step 1F) (Rule 1) SSN	3 (Step 1F) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24B) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclaimgant)	9 (Step 25B) (Rules 3 and 5) Number of Claimants in Multiclaimgant Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision
9.16	ar5130: A 100-2 B 210-11 ar5130C: 300-17 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	M-1 or M-Lead	≥ 1	Employer	N	Required	Required	
9.17	ar5130: A 100-2 B 210-11 ar5130C: 300-15 310-15 9054B-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Higher	M-1 or M-Lead	≥ 1	Claimant	Y	Required	Required	
9.18	ar5130: A 100-2 B 210-11 ar5130C: 300-17 310-17 9054B-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Higher	M-1 or M-Lead	≥ 1	Employer	Y	Required	Required	
9.19	ar5130: A 100-2 B 210-11 ar5130C: 300-15 9054B-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Higher	M-1 or M-Lead	≥ 1	Claimant	N	Required	Required	

Subpop #	Report, Line, and Column	2 (Step 1F) (Rule 1) SSN	3 (Step 1F) (Rule 2) Docket Number Unique ID	4 (Step 2) Type of UI Program	5 (Step 4) Program Type	6 (Step 5) Intrastate/ Interstate	7 (Step 24B) (Rule 1) Appeal Level	8 (Step 25A) (Step 25B) Type of Appeal (Single or Multiclient)	9 (Step 25B) (Rules 3 and 5) Number of Claimants in Multiclient Appeal	10 (Step 26) Appellant	11 (Step 27A) (Step 27B) In Favor of Appellant	12 (Step 32) Filed Date	13 (Step 28) Decision Date	14 (Step 30A) (Step 30B) Disposed of by Decision
9.20	ar5130: A 100-2 B 210-11 ar5130C-300-17 9054B-C3	Required	Required	Regular UI or Workshare	UI	Interstate	Higher	M-1 or M-Lead	≥ 1	Employer	N	Required	Required	
9.21	ar5130B-210-11	Required	Required	Regular UI or Workshare	UI		Higher	M-Nonlead	1			Required	Required	
9.22	ar5130A: 100-2 ar5130B: 210-9 210-11 ar5130C: 300-19 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	S	Must be blank or 0	Other	Y or N	Required	Required	
9.23	ar5130A: 100-2 ar5130B: 210-9 210-11 ar5130C: 300-19 9054B-C2	Required	Required	Regular UI or Workshare	UI	Intrastate	Higher	M-1 or M-Lead	≥ 1	Other	Y or N	Required	Required	

^aIf a UCFE or UCX multiclient appeal is decided, report as a separate population.

ETA Handbook 361. Relationship between 5130 and Subpopulations in Population 9

Table A.9.2

Relationship between ETA AR5130 Report Cells and Subpopulations in Population 9

SECTION A. Single Claimant and Multiclient Appeals Case Decisions and Other Dispositions

	UI Decisions	UCFE-No UI Decisions	UCX Only Decisions
Line No.	Higher Authority (2)	Higher Authority (4)	Higher Authority (6)
100	1-8 13-20 22-23	9-10 ^a	11-12 ^a

SECTION B. Claimants Involved in State UI Appeals Cases by Status of Appeals

Line No.	Status of Appeals	Single Claimant Appeals	Multi-Claimant Appeals
		Higher Authority (9)	Higher Authority (11)
210	Disposed of During Month	1-8 22 ^b	13-21 23 ^c

SECTION C. State UI Appeals Decisions by Type of Appellant

Line No.	UI Appeals Decisions	Claimant	Employer	Other
		Higher Authority (15)	Higher Authority (17)	Higher Authority (19)
300	Total	1, 3 5, 7 13, 15 17, 19	2, 4 6, 8 14, 16 18, 20	22-23
310	In favor of Appellant	1, 5 13, 17	2, 6 14, 18	

^aAlso includes multiclient UCFE and UCX decisions subpopulations that are not listed.

^bSingle claimant only

^cMulticlient only

Table A.9.3

Relationship between ETA 9054B Report Cells and Subpopulations in Population 9

SECTION B. Higher Authority Appeals Time Lapse from Date Filed to Decision Date

Days	Intrastate	Interstate
Total	C2	C3
	1-4	5-8
	9, 11	10, 12
	13-16	17-20
	22-23	

Data Elements and Values for Reporting and Validating Higher Authority Appeals Decisions

- Data Element: [SSN](#)
- Data Element: [Docket Number Unique ID for Appeals](#)
 - Record Layout: Docket Number Unique ID
- Data Element: [Type of UI Program](#)
 - Value: Regular UI
 - Value: Workshare
- Data Element: [Program Type](#)
 - Value: UI Claim
 - Value: UCFE claim
 - Value: UCX Claim
- Data Element: [Intrastate/Interstate](#)
 - Value: Intrastate Claim
 - Value: Interstate Claim
- Data Element: [Appeal Level](#)
 - Value: [Higher Authority Appeal](#)
 - Record Layout: Appeal Level
- Data Element: [Type of Appeal \(Single or Multiclient\)](#)
 - Value: Single Claimant
 - Value: Multiclient
 - Record Layout: Type of Appeal (Single or Multiclient)
- Data Element: [Number of Claimants/Number of Claimants in a Multiclient Appeal](#)
- Data Element: [Appellant](#)
 - Value: Claimant
 - Value: Employer
 - Value: Other
 - Record Layout: Appellant
- Data Element: [In Favor of Appellant](#)
 - Value: In Favor of Appellant
 - Value: Not in Favor of Appellant
 - Record Layout: In Favor of Appellant
- Data Element: [Filed Date](#)
- Data Element: [Decision Date](#)
- Data Element: [Disposed of by Decision](#)
 - Value: Disposed by Decision
 - Value: Not Disposed by Decision
 - Record Layout: Disposed by Decision
- [ETA 361, Appendix A, Population 8 and 9 Notes on Appeals Decisions](#)

Higher Authority Appeals Case Aging

Definition: Higher Authority Case Aging

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. (ETA 401, Sec V, Ch 5)

ETA Handbook 361 – Populations 11.1 – 11.6

Table A.11.1
Population 11 Subpopulations
 Higher Authority Appeals Case Aging
 Appeals Pending at the End of the Month Being Validated
 Sort by Days Pending Within Each Category

Subpopulation #	ETA 9055 Column	2 (Step 1F) (Rule 1)	3 (Step 1F) (Rule 2)	4 (Step 24B)	5 (Step 30B)	6 (Step 32)
		SSN	Docket Number Unique ID	Appeal Level	Appeal Pending	Filed Date
HIGHER AUTHORITY APPEALS CASE AGING (11.1 through 11.6) 1) Supplemental sample--outliers						
11.1	Section 9055H – Age ≤ 40 days	Required	Required	Higher		Required*
11.2	Section 9055H – Age 41-70 days	Required	Required	Higher		Required*
11.3	Section 9055H – Age 71-120 days	Required	Required	Higher		Required*
11.4	Section 9055H – Age 121-180 days	Required	Required	Higher		Required*
11.5	Section 9055H – Age 181-360 days	Required	Required	Higher		Required*
11.6	Section 9055H – Age > 360 days	Required	Required	Higher		Required*

* Ages are calculated from this date to the last day of the report period being validated. The software groups the transactions into each subpopulation on the basis of the date ranges given in “ETA 9055 Column.”

ETA Handbook 361 – Relationship between 9055 and Subpopulations in Population 11

Table A.11.2

Relationship between ETA 9055 Report Cells and Subpopulations in Population 11

Age of Pending Higher Authority Single Claimant Appeals Cases

Days	Total
Total	11.1-11.6
≤ 40	11.1
41-70	11.2
71-120	11.3
121-180	11.4
181-360	11.5
> 360	11.6

Data Elements and Values for Reporting and Validating Higher Authority Appeals Case Aging

- Data Element: [SSN](#)
- Data Element: [Docket Number Unique ID for Appeals](#)
 - Record Layout: Docket Number Unique ID
- Data Element: [Appeal Level](#)
 - Value: [Higher Authority Appeal](#)
 - Record Layout: Appeal Level
- Data Element: [Filed Date](#)
- [ETA Handbook 361, Appendix A, Population 10 and 11 Notes on Appeals Aging](#)

Other Data Elements and Values for Reporting and Validating Appeals Filed, Appeals Decisions and Appeals Case Aging

- Data Element: [SSN](#)
- Data Element: [Docket Number Unique ID for Appeals](#)
 - Record Layout: Docket Number Unique ID
- Data Element: [Type of UI Program](#)
 - Value: Regular UI
 - Value: Workshare
- Data Element: [Program Type](#)
 - Value: UI Claim
 - Value: UCFE claim
 - Value: UCX Claim
- Data Element: [Intrastate/Interstate](#)
 - Value: Intrastate Claim
 - Value: Interstate Claim
- Data Element: [Appeal Level](#)
 - Value: [Lower Authority Appeal](#)
 - Value: [Higher Authority Appeal](#)
 - Record Layout: Appeal Level
- Data Element: [Type of Appeal \(Single or Multiclient\)](#)
 - Value: [Single Client](#)
 - Value: [Multiclient](#)
 - Record Layout: Type of Appeal (Single or Multiclient)
- Data Element: [Number of Clients/Number of Clients in a Multiclient Appeal](#)
 - Record Layout: Type of Appeal (Single or Multiclient)
- Data Element: [Filed Date](#)
- Data Element: [Decision Date](#)
- Data Element: [Appellant](#)
 - Value: [Client](#)
 - Value: [Employer](#)
 - Value: [Other](#)
 - Record Layout: [Appellant](#)
- Data Element: [In Favor of Appellant](#)
 - Value: In Favor of Appellant
 - Value: Not in Favor of Appellant
 - Record Layout: In Favor of Appellant
- Data Element: [Disposed of by Decision](#)
 - Value: Disposed by Decision
 - Value: Not Disposed by Decision
 - Record Layout: Disposed by Decision

- [ETA 361, Appendix A, Population 6 and 7 Notes on Appeals Filed](#)
- [ETA 361, Appendix A, Population 8 and 9 Notes on Appeals Decisions](#)
- [ETA Handbook 361, Appendix A, Population 10 and 11 Notes on Appeals Aging](#)

Data Element: Docket Number Unique ID for Appeals

Module 3 – Step 1E, Rule 2 – Match – Lower Authority Appeal

Step 1E. Rule 2 – Match – Lower Authority Appeal

Sub Step E. Appeals – Lower

Rules for this step/substep apply to Populations 6, 7, 8, and 9

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule ensures that the validator has correctly identified the lower authority appeal to be validated on the supporting documentation by matching on the SSN.

Rule 2: This rule ensures that the validator has correctly identified the lower authority appeal to be validated on the supporting documentation by matching on any unique identifier maintained by the State, such as docket number, although recently filed appeals may not have had docket numbers assigned.

Record Layout: Docket Number Unique ID for Appeals

<i>Field Name</i>	<i>Module 3 Reference</i>	<i>Field Description</i>	<i>Data Format</i>	<i>Data Type</i>	<i>Constraint</i>
Docket Number Unique ID	Step 1E - Rule 2	The Docket Number of the lower/higher authority appeal.	Number - 0000000000 (Required)	CHAR (30)	NOT NULL

[Return to Data Elements and Values for Reporting and Validating Lower Authority Appeals Filed](#)

[Return to Other Data Elements and Values for Reporting and Validating Lower Authority Appeals Decisions](#)

[Return to Data Elements and Values for Reporting and Validating Lower Authority Appeals Case Aging](#)

[Return to Data Elements and Values for Reporting and Validating Higher Authority Appeals Filed](#)

[Return to Data Elements and Values for Reporting and Validating Higher Authority Appeals Decisions](#)

[Return to Data Elements and Values for Reporting and Validating Higher Authority Appeals Case Aging](#)

Data Element: Appeals Level

Value: Lower Authority Appeal

Definition: Appeal Level – Lower Authority Appeal

Lower Authority: 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. (ETA 401, Sec I, Ch 5)

Module 3

Step 24. Appeal Level

Sub Step A. Lower Authority Appeal

Rules for this step/substep apply to Populations 6, 8, and 10

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule validates that the appeal level is lower authority by checking an indicator.

Rule 2: This rule validates that the appeal was decided by the lower authority by examining the case folder.

Value: Higher Authority Appeal

Definition: Appeal Level – Higher Authority Appeal

Higher Authority: 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. (ETA 401, Sec I, Ch 5)

Module 3

Step 24. Appeal Level

Sub Step A. Higher Authority Appeal

Rules for this step/substep apply to Populations 7, 9, and 11

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule validates that the appeal level is higher authority by checking an indicator.

Rule 2: This rule validates that the appeal was decided by the higher authority by examining the case folder.

Record Layout: Appeals Level

Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
Appeal Level	Step 24A - Rule 1	The appeal type was a lower authority appeal.	Text - Lower (Required)	CHAR (20)	NOT NULL
Appeal Level	Step 24B - Rule 1	The appeal is a higher authority appeal.	Text - Higher (Required)	CHAR (20)	NOT NULL

[Return to Data Elements and Values for Reporting and Validating Lower Authority Appeals Filed](#)

[Return to Other Data Elements and Values for Reporting and Validating Lower Authority Appeals Decisions](#)

[Return to Data Elements and Values for Reporting and Validating Lower Authority Appeals Case Aging](#)

[Return to Data Elements and Values for Reporting and Validating Higher Authority Appeals Filed](#)

[Return to Data Elements and Values for Reporting and Validating Higher Authority Appeals Decisions](#)

[Return to Data Elements and Values for Reporting and Validating Higher Authority Appeals Case Aging](#)

Data Element: Type of Appeal (Single or Multiclient)

Value: Single Claimant

Definition: Type of Appeal – Single Claimant

Single-Claimant Appeals Case: An 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.

The designation of a case as multi- or single 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 example, 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 multiclient 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 time of disposition. A single claimant case at the time of filing may be combined later with other cases and be a multiclient case at the time of disposition. (ETA 401, Sec I, Ch 5)

Module 3 – Step 25A. Type of Appeal – Single Claimant

Step 25. Type of Appeal

Sub Step A. Single Claimant

Rules for this step/substep apply to Populations 6, 7, 8, and 9

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule validates that the appeal was single claimant by checking an indicator.

Rule 2: This rule validates that the appeal was single claimant by examining the case folder.

Value: Multiclient

Definition: Type of Appeal – Multiclient

Multiclient Appeals Case: A case which, at the time of reporting, involves more than one claimant. A multiclient case should be reported whenever a group hearing is held and the resulting decision is applicable to more than one claimant.

The designation of a case as multi- or single 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 example, 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 multiclient 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 time of disposition. A single claimant case at the time of filing may be combined later with other cases and be a multiclient case at the time of disposition.

Claimants: The number of claimants reported 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. (ETA 401, Sec I, Ch 5)

Module 3

Step 25. Type of Appeal

Sub Step B. Multiclient

Rules for this step/substep apply to Populations 6, 7, 8, and 9

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule validates that the appeal was multiclient by checking an indicator.

Rule 2: This rule validates that the appeal was multiclient by examining the case folder.

Record Layout: Type of Appeal (Single or Multiclient)

This record layout provides the format for the validation extract file. The extract file type must be ASCII, comma delimited columns. Data must be in the order listed in the record layout. The data Format column indicates the generic values for text fields. **These must be followed by a dash and the state-specific value.** The Module 3 reference indicates the step where the state-specific values are documented.

Example: If the state-specific code for Single Claimant is N, then the data format would be S-N.

<i>Pop.</i>	<i>Field Name</i>	<i>Module 3 Reference</i>	<i>Field Description</i>	<i>Data Format</i>	<i>Data Type</i>	<i>Constraint</i>
6 & 7	Type of Appeal (Single or Multiclient)	Single: Step 25A - Rule 1 Multi: Step 25B - Rule 1	The appeals case involves one or more than one claimant.	Text - S M (Required)	CHAR (20)	NOT NULL
8 & 9	Type of Appeal (Single or Multiclient)	Single: Step 25A – Rule 1 Multi: Step 25B - Rule 1	<p>The determination is based upon facts related to an individual situation or to groups of similarly situated individuals.</p> <p>States which maintain a single record for multi-claimant appeals with a field for the number of claimants involved should insert a text prefix of 'M-1' for a multi-claimant appeal with only one record for the whole appeal.</p> <p>States which maintain multiple records (one for each claimant) for a multi-claimant appeal should designate one of the records as the lead claimant. States should insert a text prefix of 'M-Lead' in this field for the lead claimant record. Both of these types of records will be assigned to subpopulations 8.45 to 8.52 (lower) or 9.13 to 9.20 (higher). States which maintain multiple records should insert a prefix of 'M-Nonlead' in the multi-claimant field for the non-lead claimants. These records will be assigned to subpopulations 8.53 (lower) or 9.21 (higher).</p>	Text - S M-1 M-Lead M-Nonlead (Required)	CHAR (20)	NOT NULL

[Return to Data Elements and Values for Reporting and Validating Lower Authority Appeals Filed](#)

[Return to Other Data Elements and Values for Reporting and Validating Lower Authority Appeals Decisions](#)

[Return to Data Elements and Values for Reporting and Validating Higher Authority Appeals Filed](#)

[Return to Data Elements and Values for Reporting and Validating Higher Authority Appeals Decisions](#)

Data Element: Number of Claimants

Module 3

Step 25. Type of Appeal

Sub Step B. Multiclient

Rules for this step/substep apply to Populations 6, 7, 8, and 9

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

FOR STATES WHICH MAINTAIN A SINGLE RECORD FOR MULTICLAIMANT APPEALS:

Rule 3: This rule validates that the number of claimants was correct by examining the number of claimants field on the appeals record for states who maintain a single record for all claimants.

Rule 4: This rule validates that the number of claimants was correct by examining the number of claimants in the appeals case folder.

FOR STATES WHICH MAINTAIN A SEPARATE RECORD FOR EVERY CLAIMANT IN A MULTICLAIMANT APPEAL:

Rule 5: This rule validates that the number of claimants was correct by examining the number of appeals transactions for each case being validated by docket number. This is applicable for states which maintain separate records for each claimant.

Rule 6: This rule validates that the number of claimants was correct by examining the number of claimants in the appeals case folder.

Record Layout: Number of Claimants in Multiclient Appeal

This record layout provides the format for the validation extract file. The extract file type must be ASCII, comma delimited columns. Data must be in the order listed in the record layout. The data Format column indicates the generic values for text fields. **These must be followed by a dash and the state-specific value.** The Module 3 reference indicates the step where the state-specific values are documented.

<i>Pops.</i>	<i>Field Name</i>	<i>Module 3 Reference</i>	<i>Field Description</i>	<i>Data Format</i>	<i>Data Type</i>	<i>Constraint</i>
6 & 7	Number of Claimants	Step 25B - Rules 3 and 5	The number of claimants in a multiclient appeal. If the State stores a single record for a multi-client appeal with a field for the number of claimants, insert the number in this field. If the State stores a record for each claimant involved in a multi-client appeal, include all of the records in the file and insert a '1' in this field.	Number => 1 (Required for multiple claimant appeals; optional for single claimant appeals)	INTEGER	
8 & 9	Number of Claimants in Multiclient Appeal	Step 25B - Rules 3 and 5	The number of claimants involved in a multiclient appeal (could be one if separate records are provided for each participating claimant)	Number => 1 (Required for multiple claimant appeals; must be blank or 0 for single claimant appeals)	INTEGER	

[Return to Data Elements and Values for Reporting and Validating Lower Authority Appeals Filed](#)

[Return to Other Data Elements and Values for Reporting and Validating Lower Authority Appeals Decisions](#)

[Return to Data Elements and Values for Reporting and Validating Higher Authority Appeals Filed](#)

[Return to Data Elements and Values for Reporting and Validating Higher Authority Appeals Decisions](#)

Data Element: Filed Date

Definition: Appeal Filed Date

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. (ETA 401 (9054), Sec V, Ch 4)

Filed During Month: Single-claimant appeals cases received during the month. (ETA 401 (5130), Sec I, Ch 5)

Module 3

Step 32. Appeal Filed Date

Rules for this step/substep apply to Populations 6, 7, 8, and 9

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule validates that the appeal filed date is within the period being validated. It applies only to Populations 6 and 7.

Rule 2: This rule validates that the appeal filed date reported on the worksheet is correct by examining the case folder. For Populations 10 and 11, it is sufficient to check the date on the screen.

Record Layout: Filed Date

This record layout provides the format for the validation extract file. The extract file type must be ASCII, comma delimited columns. Data must be in the order listed in the record layout. The data Format column indicates the generic values for text fields. **These must be followed by a dash and the state-specific value.** The Module 3 reference indicates the step where the state-specific values are documented.

No.	Field Name	Module 3 Reference	Field Description	Data Format	Data Type	Constraint
7	Filed Date	Step 32 - Rule 1	The date on which the appeal was filed.	Date - MM/DD/YYYY (Required)	DATE	NOT NULL

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Data Element: Decision Date

Definition: Appeal Decision Date

Decision Date: The date the decision was mailed to the interested parties concerned. (ETA 401 (9054), Sec V, Ch 4)

Module 3 – Step 28. Appeal Decision Date

Step 28. Appeal Decision Date

Rules for this step/substep apply to Populations 6, 7, 8, and 9

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule validates that the decision date on the worksheet matches the decision date on the appeals display and is within the month being validated.

Rule 2: This rule validates that the decision date reported on the worksheet matches the date the decision

Record Layout: Decision Date

This record layout provides the format for the validation extract file. The extract file type must be ASCII, comma delimited columns. Data must be in the order listed in the record layout. The data Format column indicates the generic values for text fields. **These must be followed by a dash and the state-specific value.** The Module 3 reference indicates the step where the state-specific values are documented.

<i>No.</i>	<i>Field Name</i>	<i>Module 3 Reference</i>	<i>Field Description</i>	<i>Data Format</i>	<i>Data Type</i>	<i>Constraint</i>
13	Decision Date	Step 28 - Rule 1	The date the decision was mailed to the interested parties concerned.	Date - MM/DD/YYYY (Required)	DATE	NOT NULL

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Data Element: Appellant

Value: Appellant - Claimant

Definition: Appellant – Claimant

The appellant is the claimant.

Module 3

Step 26. Appellant

Sub Step B. Claimant

Rules for this step/substep apply to Populations 6, 7, 8, and 9.

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule validates that the appellant was the claimant by checking an indicator.

Rule 2: This rule validates that the appeal was filed by the claimant by examining the case folder.

Data Element: Appellant

Value: Employer

Definition: Appellant – Employer

The appellant is the employer.

Module 3

Step 26. Appellant

Sub Step B. Employer

Rules for this step/substep apply to Populations 8 and 9

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule validates that the appellant was the employer by checking an indicator.

Rule 2: This rule validates that the appeal was filed by the employer by examining the case folder.

Data Element: Appellant

Value: Other

Definition: Appellant – Other than Claimant or Employer

The appellant is other than the claimant or employer (for example, the agency).

Module 3

Step 26. Appellant

Sub Step C. Other than Claimant or Employer

Rules for this step/substep apply to Populations 8 and 9

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule validates that the appellant was other than the claimant or employer by checking an indicator.

Rule 2: This rule validates that the appeal was filed by other than the claimant or employer by examining the case folder.

Record Layout: - Appellant

This record layout provides the format for the validation extract file. The extract file type must be ASCII, comma delimited columns. Data must be in the order listed in the record layout. The data Format column indicates the generic values for text fields. **These must be followed by a dash and the state-specific value.** The Module 3 reference indicates the step where the state-specific values are documented.

<i>No.</i>	<i>Field Name</i>	<i>Module 3 Reference</i>	<i>Field Description</i>	<i>Data Format</i>	<i>Data Type</i>	<i>Constraint</i>
10	Appellant	Claimant: Step 26A - Rule 1 Employer: Step 26B - Rule 1 Other: Step 26C - Rule 1	The appellant is the claimant, employer, or other than claimant or employer.	Text - Claimant Employer Other (Required except optional for UCFE, UCX, and non-lead multi-claimant claims)	CHAR (20)	

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Data Element: In Favor of Appellant

Value: In Favor of Appellant

Definition: Outcome of Decision – In Favor of Appellant

Decisions Made in Favor of the Appellant: 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 multclaimant cases should be classified as in favor of appellant if the decisions are in favor of one or more of the appellants involved.

For higher authority, 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. (ETA 401, Sec I, Ch 5)

Module 3

Step 27. Outcome of Decision

Sub Step A. In Favor of Appellant

Rules for this step/substep apply to Populations 8 and 9

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule validates that the decision was in favor of the appellant by checking an indicator.

Rule 2: This rule validates that the appeal was decided in favor of the appellant by examining the case folder.

Data Element: In Favor of Appellant

Value: Outcome of Decision – Not in Favor of Appellant

Definition: Outcome of Decision – Not in Favor of Appellant

Decision Made Not in Favor of the Appellant: Decisions which affirm the lower body's decisions. Decisions involving multclaimant cases should be classified as not in favor of appellant if the decisions are not in favor of one or more of the appellants involved.

Module 3

Step 27. Outcome of Decision

Sub Step B. Not in Favor of Appellant

Rules for this step/substep apply to Populations 8 and 9

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule validates that the decision was not in favor of the appellant by checking an indicator.

Rule 2: This rule validates that the appeal was not in favor of the appellant by examining the case folder.

Record Layout: – In Favor of Appellant

This record layout provides the format for the validation extract file. The extract file type must be ASCII, comma delimited columns. Data must be in the order listed in the record layout. The data Format column indicates the generic values for text fields. **These must be followed by a dash and the state-specific value.** The Module 3 reference indicates the step where the state-specific values are documented.

<i>No.</i>	<i>Field Name</i>	<i>Module 3 Reference</i>	<i>Field Description</i>	<i>Data Format</i>	<i>Data Type</i>	<i>Constraint</i>
11	In Favor of Appellant	In Favor: Step 27A - Rule 1 Not in Favor: Step 27B - Rule 1	The decision was or was not in favor of the appellant.	Text - Y N (Required except optional for UCFE, UCX, and non-lead multi-claimant claims)	CHAR (20)	

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Data Element: Disposed by Decision

Value: Appeal Disposition – Disposed of by Decision

Definition: Disposed of by Decision

Disposed of by Decision: An appeals case disposed of by a written ruling that is issued to one or more parties. In a multiclaimant 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 (remanded) 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. (ETA 401 (5130), Sec I, Ch 5)

Module 3

Step 30. Appeals Disposition

Sub Step A. Disposed of by Decision

Rules for this step/substep apply to Populations 8 and 9

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule validates that the case was disposed of by decision by checking an indicator or the decision date.

Rule 2: This rule validates that the appeal met the definition of disposed of by decision by examining the case folder.

Data Element: Disposed by Decision

Value: Not Disposed of by Decision

Definition: Appeal Disposition – Not Disposed of by Decision

No Disposition: An appeal where no decision has been made and the appeal has not been disposed of other than by decision, i.e., the number of cases pending by the end of the report period.

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 only occur when a decision is made. (ETA 401, Sec I, Ch 5)

Module

Step 30. Appeals Disposition

Sub Step B. Not Disposed of by Decision

Rules for this step/substep apply to Populations 8 and 9

Select "Pass" on the sample validation screen for the element if all of the following conditions are met. Otherwise, select "Fail".

Rule 1: This rule validates that the appeal is still pending by checking for a decision or disposition.

Record Layout: Disposed of by Decision

This record layout provides the format for the validation extract file. The extract file type must be ASCII, comma delimited columns. Data must be in the order listed in the record layout. The data Format column indicates the generic values for text fields. **These must be followed by a dash and the state-specific value.** The Module 3 reference indicates the step where the state-specific values are documented.

<i>No.</i>	<i>Field Name</i>	<i>Module 3 Reference</i>	<i>Field Description</i>	<i>Data Format</i>	<i>Data Type</i>	<i>Constraint</i>
14	Disposed of by Decision	By Decision: Step 30A - Rule 1 Not by Decision: Step 30B - Rule 1	The appeals case was disposed of by a written ruling.	Text - Y N (Optional)	CHAR (20)	

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ETA 361, Appendix A, Population 6 and 7 Notes on Appeals Filed

Population 6 and 7 Notes

1. **Appeal Filed Date:** If a state experiences delays in mailed appeals, it can use the received date rather than the postmark date to ensure that all appeals are counted. The received date can be used because there is no time lapse for these populations. This would help in those situations where appeals are received after the ETA 5130 report has been run for the previous month. For example, an appeal with a postmark of 3/31/02 that is received on 4/10/02, in a state where the ETA 5130 was run on 4/7/02, would be reported as having been filed in April rather than in March.
2. **Subpopulations 6.2 and 7.2, Number of Claimants Involved in Multi-Claimant Appeal:** States will either store an individual record for each claimant involved in the appeal or one record with the number of claimants. The software will count the number of records or add the number of claimants in Column 6 to derive the number of claimants involved in multi-claimant appeals filed.

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ETA 361, Appendix A, Population 8 and 9 Notes on Appeals Decisions

Populations 8 and 9 Notes

1. Column 8 (Step 23B), Multiclient appeals:

States will either store an individual record for each appeal or one record with the number of appellants. States that maintain a single record for multiclient appeals with a field for the number of claimants involved should insert a text prefix of “M-1” (for multi-one record) in the multi-client field.

States which maintain multiple records (one for each claimant) for a multi-client appeal should insert a text prefix of “M-Lead” for one of the records. Both of these types of records will be assigned to subpopulations 8.45 through 8.52 (lower authority) and 9.13 through 9.20 (higher authority). States which maintain multiple records should insert a text prefix of “M-Nonlead” in the multiclient field for the non-lead claimants. These records will be assigned to subpopulations 8.53 (lower authority) and 9.21 (higher authority).

2. Column 14 (Disposed of by Decision) is optional. States which have an indicator to distinguish countable from uncountable decisions should insert the value of the countable appeal indicator in this field to show that it is countable based on information in the appeals file
3. These populations include appeals for Short Time Compensation (STC) Program (workshare) claims. These records should be labeled as “Workshare” for “Type of UI Program.” See the software record layouts for more details.
4. Remanded cases by the higher authority are to be handled as follows. A case remanded to lower authority for the taking of additional evidence is not a decision. It thus does not belong in the Population 9 extract file until it is actually returned by the lower authority and then disposed of by the higher authority. A case that is remanded for a rehearing does involve a decision by the higher authority but it is neither in favor of the appellant nor not in favor of the appellant. Within the existing DV framework, the Population 9 record should be built as Not in Favor of the Appellant. If a large number of remanded cases causes the Population 9 validation to fail, note the number in the Comments field.

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ETA Handbook 361, Appendix A, Population 10 and 11 Notes on Appeals Aging

Populations 10 and 11 Notes

1. Capture the lower authority and higher authority appeals data at the end of the month.
2. Column 5 (Step 30B), Appeal Pending, is an optional field for both Populations 10 and 11.

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