

**UI REPORTS HANDBOOK NO. 401**  
**Introduction and General Reporting Instructions**

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# UI REPORTS HANDBOOK NO. 401

## Introduction and General Reporting Instructions

### A. Handbook Purpose

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

### B. Reporting Policy

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

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

### C. Handbook Structure

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

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

### D. Handbook Revisions

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

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**E. Page Numbers**

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

**F. Forms**

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

**G. Electronic Reporting**

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

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

**H. Timeliness**

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

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

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

### I. Mailing Address

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

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

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

### J. Report Comments

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

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

### K. Classification by Program

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

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

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**L. Record Retention**

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

**M. Dollar Amount**

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

**N. Procedures for Rounding Numbers**

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

**O. Missing Values / Total Cells**

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

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

**P. State Code**

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

**Q. Other Reporting Requirements**

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

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

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

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

**R. Bureau of Labor Statistics**

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