

UI REPORTS HANDBOOK NO. 401

ETA 586 Interstate Arrangement for Combining Employment and Wages

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A. Facsimile of Form

ETA 586 - INTERSTATE ARRANGEMENT-EMPLOYMENT AND WAGES

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State UI	Line No.	New Claims (1)	Persons Establishing Benefit Years (2)	No. Combined Wage Claims Withdrawn (3)	Weeks Compensated (4)	Benefits Paid (5)	Prior Weeks Compensated (6)	Prior Benefits Paid (7)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

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

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

SECTION C. BILLING AND REIMBURSEMENT TIME LAPSE

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

Comments:

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

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

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B. Purpose

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

C. Due Date and Transmittal

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

D. General Reporting Instructions

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

E. Definitions

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

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

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

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

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

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

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F. Item by Item Instructions

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

3. Section C. Billing and Reimbursement Time Lapse.

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

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

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

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

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

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

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

A. Facsimile of Form

ETA 9016 - ALIEN CLAIMS ACTIVITIES

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

Comments:

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

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ETA 9016 Alien Claims Activity Report

B. Purpose

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

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

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

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

C. Due Date and Transmittal

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

D. General Reporting Instructions

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

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

E. Definitions

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

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ETA 9016 Alien Claims Activity Report

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

F. Item by Item Instructions

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

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ETA 227 Overpayment Detection and Recovery Activities

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A. Facsimile of Form

UI REPORTS HANDBOOK NO. 401

ETA 227 Overpayment Detection and Recovery Activities

ETA 227 OVERPAYMENT DETECTION/RECOVERY

STATE:	REGION:	REPORT FOR PERIOD ENDING:
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SECTION A. OVERPAYMENTS ESTABLISHED - CAUSES

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

SECTION B. OVERPAYMENTS ESTABLISHED - METHODS OF DETECTION

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

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ETA 227 Overpayment Detection and Recovery Activities

Total - Controllable and Noncontrollable	209				
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SECTION C. RECOVERY/RECONCILIATION

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

SECTION D. CRIMINAL/CIVIL ACTIONS

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

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ETA 227 Overpayment Detection and Recovery Activities

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

SECTION E. AGING OF BENEFIT OVERPAYMENT ACCOUNTS

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

Comments:

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

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

B. Purpose

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ETA 227 Overpayment Detection and Recovery Activities

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

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

C. Due Date and Transmittal

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

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

D. General Reporting Instructions

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

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

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ETA 227 Overpayment Detection and Recovery Activities

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

E. Definitions

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

F. Item by Item Instructions

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

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

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

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

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

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

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

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

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

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

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

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

6. Comments. Explain significant variations from the norm.

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ETA 203 Characteristics of the Insured Unemployed

A. Facsimile of Form.

ETA 203 - CHARACTERISTICS OF THE INSURED UNEMPLOYED

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

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

Comments:

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

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

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ETA 203 Characteristics of the Insured Unemployed

B. Purpose

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

C. Due Date and Transmittal

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

D. General Reporting Instructions

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

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

E. Definitions

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

F. Item by Item Instructions

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

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ETA 203 Characteristics of the Insured Unemployed

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

G. Sampling

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

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

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

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

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ETA 9048 Worker Profiling and Reemployment Services Activity

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UI REPORTS HANDBOOK NO. 401

ETA 9048 Worker Profiling and Reemployment Services Activity

A. Facsimile of Form.

ETA 9048 PROFILING AND REEMPLOYMENT SERVICES

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

Comments:

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

B. Purpose

UI REPORTS HANDBOOK NO. 401

ETA 9048 Worker Profiling and Reemployment Services Activity

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

C. Due Date and Transmittal

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

D. General Reporting Instructions

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

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

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

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

E. Definitions

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

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ETA 9048 Worker Profiling and Reemployment Services Activity

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

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

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

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

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ETA 9048 Worker Profiling and Reemployment Services Activity

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

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ETA 9048 Worker Profiling and Reemployment Services Activity

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

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ETA 9048 Worker Profiling and Reemployment Services Activity

F. Item by Item Instructions

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

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

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

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

6. Profiled Claimants Referred and Completing Services.

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

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

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

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ETA 9049 Worker Profiling and Reemployment Services Outcomes

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UI REPORTS HANDBOOK NO. 401

ETA 9049 Worker Profiling and Reemployment Services Outcomes

A. Facsimile of Form.

ETA 9049 PROFILING AND REEMPLOYMENT SERVICES OUTCOMES

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

Comments:

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

UI REPORTS HANDBOOK NO. 401

ETA 9049 Worker Profiling and Reemployment Services Outcomes

B. Purpose

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

C. Due Date and Transmittal

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

Examples of time frames are given below:

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

D. General Reporting Instructions

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

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

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

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ETA 9049 Worker Profiling and Reemployment Services Outcomes

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

E. Definitions

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

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

F. Item by Item Instructions

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

UI REPORTS HANDBOOK NO. 401

ETA 9049 Worker Profiling and Reemployment Services Outcomes

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

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

UI REPORTS HANDBOOK NO. 401

ETA 9047 Reemployment of UI Benefit Recipients

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UI REPORTS HANDBOOK NO. 401

ETA 9047 Reemployment of UI Benefit Recipients

A. Facsimile of Form

ETA 9047 - REEMPLOYMENT OF UI BENEFIT RECIPIENTS

STATE	REGION	REPORT FOR PERIOD ENDING	
Exemption Code	Number of Claimants Receiving 1st Payment	Number of Intrastate Crossmatch Hits: YYYY.Q+1	Number of Interstate Crossmatch Hits: YYYY.Q+1
0 - Not Exempt			
1 - Exempt			

Comments:

OMB No.: 1205-0452 **OMB Expiration Date:** 07/31/2011 **OMB Burden Hours:** 600 Minutes

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

UI REPORTS HANDBOOK NO. 401

ETA 9047 Reemployment of UI Benefit Recipients

B. Purpose

The ETA 9047 report contains quarterly information on the number of UI beneficiaries who receive a first payment during a calendar quarter and who also have earnings in the next calendar quarter. These data will be used to determine the rate at which UI beneficiaries return to work. Beneficiaries exempt from the state's work search requirements are reported separately from those who are required to search for work.

C. Due Date and Transmittal

Reports will be transmitted to ETA electronically through the UI Required Reports Automatic Transmittal application according to the following schedule:

Quarter in which First Payment issued:	Quarter Ending Date:	Wage Record File Crossmatched:	Report Due to ETA By:
1st quarter (January to March)	03/31/YYYY	04/01/YYYY - 06/30/YYYY	November 30
2nd quarter (April to June)	06/30/YYYY	07/01/YYYY - 09/30/YYYY	February 28
3rd quarter (July to September)	09/30/YYYY	10/01/YYYY - 12/31/YYYY	May 31
4th quarter (October to December)	12/31/YYYY	01/01/YYYY+1 - 03/31/YYYY+1	August 31

D. General Reporting Instructions

1. Each State Workforce Agency (SWA) will identify all UI claimants who received a first payment for intrastate or interstate liable claims during each calendar year quarter. Unless otherwise stated, criteria for inclusion in the ETA 9047 report will follow the criteria for reporting first payments used for the ETA 5159 report (ET Handbook 401, 3rd edition, section I-2). First payments that are reported on the ETA 5159 report but that are not reported on the ETA 9050 report (First Payment Time Lapse) are reported on the ETA 9047 report.
 - a. Include first payments made for state UI, Federal Unemployment Compensation for Federal Employees (UCFE), and Unemployment Compensation for Ex-Service Members (UCX) claims, including combined wage claims and joint claims involving these programs.
 - b. Exclude first payments made for claims filed for Extended Benefits, Disaster Unemployment Assistance, Trade Readjustment Allowances, Short Time Compensation (STC), also known as Workshare, and temporary extended benefits programs.
2. First payments are counted as of the date the payment is mailed, electronically deposited, debited to the claimant, or made in-person. When part of the week's payments falls in one quarter and part in another, the payments must be reported for the appropriate quarter. When multiple weeks are paid at the same time, the compensated week with the earliest week ending date is reported as

UI REPORTS HANDBOOK NO. 401

ETA 9047 Reemployment of UI Benefit Recipients

the first payment.

The payment date of the first compensated week for each record reported must fall within the ranges in the following table.

Date of First Payment in:	Date of First Payment is \geq Quarter Beginning Date:	Date of First Payment is \leq Quarter Ending Date:
1st quarter	01/01/YYYY	03/31/YYYY
2nd quarter	04/01/YYYY	06/30/YYYY
3rd quarter	07/01/YYYY	09/30/YYYY
4th quarter	10/01/YYYY	12/31/YYYY

3. If more than one payment is issued for the same compensated week -- for example, from separate programs (state UI, UCFE, or UCX) -- only a single record will be reported.
4. The report period date ending date refers to the ending date of the quarter during which UI beneficiaries received their payments, not the ending date of the quarter during which UI beneficiaries received wages.
5. The instructions in ET Handbook No. 401, 4th edition, regarding record retention applies to all data files created by the SWA or received by the SWA that are used to obtain the counts required for the ETA 9047 report.

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

E. Definitions

1. **First Payment.** The benefit payment for the first week compensated in the benefit year includes total, partial and part-total payments, full or partial offsets to satisfy an outstanding overpayment, Child Support Intercept orders, Food Stamp overissuances, waiting weeks waived by the Governor under a state law and compensated because of a legally recognized disaster, and payments resulting from the reversal of a single or multi-claimant adjudication by a lower or higher authority appeal decision or by a court decision.

If two or more weeks of benefits are paid at the same time (either by separate checks / electronic deposits / debits or by a single check /deposit / debit), the earliest week ending date in the benefit year is the first payment.

2. **Exempt / Nonexempt Claimants.** Claimants will be classified according to whether or not they are exempt from the state's active work search requirements *as of the week ending date of the claimed week for which the first payment was issued*. If no active work search requirement exists in state law or practice, the state will identify those claimants who are exempt (for whatever reason) from the state's requirement to register for labor exchange services.

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ETA 9047 Reemployment of UI Benefit Recipients

Reasons for exemption may include, but are not limited to the following:

- Job attached exemption (for example, claimants with definite recall dates, seasonal employment);
 - Union exemption (seeking work through union hiring hall or referral);
 - An agency directive (written or verbal) temporarily suspending the claimant's work search requirement;
 - Other exemption (approved training, school, etc.)
3. Intrastate Crossmatch Hits. Report the total number of UI claimants receiving first payments who earned wages from one or more employers in the following calendar quarter from employers in the same state as the reporting agency. If a first payment recipient earned wages from more than one intrastate employer in the following quarter, report only a single "hit" for that claimant on the report.
 4. Interstate Crossmatch Hits. Report the total number of UI claimants receiving first payments who earned wages from one or more employers in the following calendar quarter from employers outside of the state of the reporting agency. If a first payment recipient earned wages from more than one out-of-state employer in the following quarter, report only a single "hit" for that claimant on the report. **If a first payment recipient earned wages from one or more employers in the same state as the reporting agency (intrastate crossmatch) do not report any interstate crossmatch hits, even if the first payment recipient receives wages from more than one out-of-state employer.**
 5. Joint Claims. Claims involving (1) a combination of state unemployment trust funds and Federal program funds or (2) a combination of Federal program funds. Includes claims with state UI in combination with UCFE and/or UCX employment and wages (UI/UCFE/UCX, UI/UCFE, or UI/UCX) and UCFE claims in combination with UCX employment and wages (UCFE/UCX).
 6. Partial / Part-Total Payments. Benefit payments that have been reduced due to wages, commissions, bonuses, tips or gratuities, back-pay awards, odd jobs, or self-employment income.
 7. Total Payments. Payments for weeks of total unemployment in which the claimant received a full weekly benefit amount that is not reduced as a result of wages, commissions, bonuses, tips or gratuities, back-pay awards, odd jobs, or self-employment income.
 8. State Unemployment Insurance (UI). A state program that provides benefits to individuals financed (1) wholly from state trust funds (UI) or (2) partially from state trust funds and partially from UCFE and/or UCX program funds (joint

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ETA 9047 Reemployment of UI Benefit Recipients

UI/UCFE, UI/UCX, UI/UCFE/UCX claim).

9. Unemployment Compensation for Federal Employees (UCFE). A Federal program that provides benefits to individuals based on Federal civilian service. Includes claims based (1) wholly on Federal civilian service (UCFE, no UI) or (2) partially on Federal civilian service and partially on Federal military service (UCFE/UCX) claim. Excludes claims funded partially from state trust funds.
10. Unemployment Compensation for Ex-Servicemembers (UCX). A Federal program that provides benefits to individuals based on Federal military service. Includes claims based wholly on Federal military service (UCX only). Excludes claims funded partially from state trust funds and/or Federal civilian service.
11. Short-Time Compensation (STC) or Workshare. A state program through which an employee whose hours of employment have been reduced is compensated for his or her lost work time with partial benefits. Such benefits would not be payable to these workers under a state's normal partial benefits formula.

F. Item by Item Instructions

1. Not Exempt (Line 1). For those UI claimants who are not exempt from the state's active work search requirements as of the week ending date of the first week compensated or, if no active work search requirement exists in state law or practice, are not exempt from the state's requirement to register for labor exchange services:
 - a. Column 1, Number of Claimants Receiving 1st Payments. Report the total number of UI claimants who received a first payment for intrastate or interstate liable claims during the calendar quarter for which the report is submitted. Refer to the definitions in Sections D and E.
 - b. Column 2, Number of Intrastate Crossmatch Hits in the Following Calendar Quarter. Report the number of UI claimants receiving first payments reported in column 1 who received wages from one or more employers in the following calendar quarter from employers in the same state as the reporting agency. If a first payment recipient receives wages from more than one intrastate employer in the following quarter, report only a single "hit" for that claimant on the report.
 - c. Column 3, Number of Interstate Crossmatch Hits in the Following Calendar Quarter. Report the number of UI claimants receiving first payments reported in column 1 who 1) did not receive wages in the following calendar quarter from employers in the same state as the reporting agency; and 2) received wages from one or more employers in the following calendar quarter from out-of-state employers. If a first payment recipient receives wages from more than one out-of-state employer in the following quarter, report only a single "hit" for that claimant on the report. **Note: no UI benefit recipient included in the counts reported in column 2 should be included in the counts**

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reported in column 3.

2. Exempt (Line 2). For those UI claimants who are exempt (for whatever reason) from the state's active work search requirements as of the week ending date of the first week compensated or, if no active work search requirement exists in state law or practice, are exempt from the state's requirement to register for labor exchange services:
 - a. Column 1, Number of Claimants Receiving 1st Payments. Report the total number of UI claimants who received a first payment for intrastate or interstate liable claims during the calendar quarter for which the report is submitted. Refer to the definitions in Sections D and E.
 - b. Column 2, Number of Intrastate Crossmatch Hits in the Following Calendar Quarter. Report the number of UI claimants receiving first payments reported in column 1 who received wages from one or more employers in the following calendar quarter from employers in the same state as the reporting agency. If a first payment recipient receives wages from more than one intrastate employer in the following quarter, report only a single "hit" for that claimant on the report.
 - c. Column 3, Number of Interstate Crossmatch Hits in the Following Calendar Quarter. Report the number of UI claimants receiving first payments reported in column 1 who 1) did not receive wages in the following calendar quarter from employers in the same state as the reporting agency; and 2) received wages from one or more employers in the following calendar quarter from out-of-state employers. If a first payment recipient receives wages from more than one out-of-state employer in the following quarter, report only a single "hit" for that claimant on the report. **Note: no UI benefit recipient included in the counts reported in column 2 should be included in the counts reported in column 3.**

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ETA 9128 Reemployment and Eligibility Assessments Activities

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ETA 9128 Reemployment and Eligibility Assessments Activities

A. Facsimile of Form

ETA 9128 - Reemployment and Eligibility Assessment Workload

STATE	REGION	REPORT FOR PERIOD ENDING
1.	Number of Claimants Scheduled for Their First REA	
2.	Number of All REAs Scheduled	
3.	Number of REAs Completed	
4.	Number Reporting to Reemployment Services or Training	
5.	Number Reporting to Reemployment Services	
6.	Number Reporting to Training	
7.	Number of Completed REAs Resulting in A Disqualification or Overpayment	
8.	Number Disqualified for A Separation Issue	
9.	Number Disqualified for An Able And Available Issue	
10.	Number Disqualifying/Deductible Income	
11.	Number Disqualified for Refusal of Suitable Work Issue	
12.	Number Disqualified for Issue(s) Other Than # 9 - 12	
13.	Number Resulting in An Overpayment	
14.	Dollar Amount of Overpayment Established	
15.	Number of REAs for Which The Claimant Failed to Appear	
16.	Number That Were Rescheduled Without Disqualification	
17.	Number Disqualified for Failure to Report under Reporting Requirements	
18.	Number Disqualified for Failure to Report under Issues Other Than Reporting Requirement	
19.	Number That Resulted in An Overpayment	
20.	Dollar Amount of Overpayment	
21.	Number of Claimants That Failed to Report with no Disqualifications	
22.	Number of Claimants That Returned to Work (If Available)	

Comments:

OMB No.: 1205-0456 **OMB Expiration Date:** 03/31/2009 **OMB Burden Hours:** 30 Minutes

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

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ETA 9128 Reemployment and Eligibility Assessments Activities

B. Purpose

The ETA 9128 report provides quarterly information on the Reemployment and Eligibility Assessment (REA) activities of claimants who are selected for REAs. REAs provide in-person service in One Stop Career Centers for claimants including the development of an individualized work search plan, provision of appropriate labor market information (LMI) and referral to reemployment services as appropriate. The data on this report allows for evaluation and monitoring of the REA initiative on a national level.

C. Due Date and Transmittal

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

D. General Reporting Instructions

Data on this report deals with individuals in the regular Unemployment Insurance program. This includes regular Unemployment Insurance, Unemployment Compensation for Federal Employees (UCFE), and Unemployment Compensation for Ex-Servicemembers (UCX) who are selected for an REA. State Workforce Agencies (SWAs) should assure that systems are in place to collect information on service referrals.

Data are reported for the quarter in which the activity occurred. The activity being reported could occur in one or more quarters after the quarter in which the individual received an REA.

Individuals are counted only once in any single service category for either referred and reporting to services.

E. Item by Item Instructions

1. Number of first REAs. Enter the number of claimants who were scheduled for their first REA of their current benefit year during the report quarter.
2. Number of REAs scheduled. Enter the number of REAs for which an official notice was sent to the claimant instructing the claimant to report to the One Stop Career Center. This number includes both those scheduled REAs for which the claimant reported as directed, which are reported in item 3, and those scheduled REAs for which the claimant failed to report, which are reported in item 15. It does not include those REAs that the claimant cancelled in advance and which were rescheduled with no disqualification.

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ETA 9128 Reemployment and Eligibility Assessments Activities

3. Number of REAs completed. Enter the number of completed REAs to which the claimant reported as directed. Include REAs that were conducted for claimants who were rescheduled for an REA after missing an appointment. The sum of item 3 and item 15 should approximately equal item 2.
4. Number reporting for reemployment services or training. Enter the number of claimants reporting for reemployment services or training as a result of an REA. Claimants should be reported only once in items 5 or 6 below, not in both categories. Item 4 is the sum of item 5 and item 6.
5. Number reporting for reemployment services. Enter the number of claimants reporting for reemployment services as a result of referral from an REA.
6. Number reporting for training. Enter the number of claimants reporting for training as a result of referral from an REA.
7. Number of REAs resulting in a disqualification or overpayment. Enter the number of completed REAs from which a disqualification or overpayment occurs. Claimants who are both disqualified and for whom an overpayment occurs should only be counted once for each REA. The disqualification or overpayment must be the direct result of the completed REA.
8. Number of disqualifications for a separation issue. Enter the number of completed REAs from which a disqualification was issued based on a separation issue.
9. Number of disqualifications for able and available issues. Enter the number of completed REAs from which a disqualification was issued based upon an able and available issue.
10. Number of disqualifications for disqualifying income. Enter the number of completed REAs from which a disqualification was issued based upon disqualifying income.
11. Number of disqualifications for refusal of suitable work. Enter the number of completed REAs from which a disqualification was issued based upon the refusal of suitable work or refusal of a referral to suitable work.
12. Number of disqualifications for other issues. Enter the number of completed REAs from which a disqualification was issued based upon an issue not covered in items 8 through 11.
13. Number completed REAs resulting in an overpayment. Enter the number of completed REAs in which an overpayment was identified and officially established.

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ETA 9128 Reemployment and Eligibility Assessments Activities

14. Dollar amount of overpayments established. Enter the total dollar amount of overpayments included in item 13.
15. Number of REAs for which claimant failed to report. Enter the number of REAs in which a claimant was scheduled to report and failed to do so. This number includes those claimants who were sent an official notice to report for an REA and who did not report as directed. It includes claimants who failed to report and who were subsequently rescheduled for an REA at a different time. It does not include REAs that were cancelled in advance by the claimant and for which no disqualification was issued. REAs counted in this item should also be counted in items 16, 17, 18, or 21. The sum of item 15 and item 3 should approximately equal item 2.
16. Number of REAs rescheduled. Enter the number of REAs for which a claimant failed to report which were rescheduled without disqualification.
17. Number of disqualifications for failure to report. Enter the number of REAs for which the claimant failed to report and for which the claimant was disqualified for failing to meet the reporting requirements of state law.
18. Number of failures to report disqualified for other issues. Enter the number of REAs for which the claimant failed to report and for which the claimant was disqualified for an issue other than the failure to report.
19. Number of overpayments for failure to report. Enter the number of REAs for which an overpayment was established due the failure to report for the REA.
20. Dollar amount of overpayments for failure to report. Enter the total dollar amount of overpayment dollars established in 19 above.
21. Number failed to report with no disqualification. Enter the number of REAs for which the claimant failed to report and for which no disqualification was issued.
22. Number failed to report who returned to work. Enter the number of claimants who failed to report, identified in item 21 above, as a result of having returned to work.

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ETA 9129 Reemployment and Eligibility Assessments Outcomes

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ETA 9129 Reemployment and Eligibility Assessments Outcomes

A. Facsimile of Form

ETA 9129 REEMPLOYMENT AND ELIGIBILITY ASSESSMENT OUTCOMES

STATE:	REGION:	REPORT FOR PERIOD ENDING:
1. Claimants in the State-Defined Comparison Group		
a.	Number Who Established a UI Benefit Year in the Report Quarter	
b.	Total Weeks Compensated	
c.	Total Benefits Paid	
d.	Number of Disqualifications	
e.	Number Exhausting Benefits	
f.	Number Reemployed	
g.	Average Weeks to Date of Reemployment	
h.	Amount of Overpayments Established	
2. Claimants Scheduled for at Least one REA During the Benefit Year		
a.	Number Who Established a UI Benefit Year in the Report Quarter	
b.	Total Weeks Compensated	
c.	Total Benefits Paid	
d.	Number of Disqualifications	
e.	Number Exhausting	
f.	Number Reemployed	
g.	Average Weeks to Date of Reemployment	
h.	Amount of Overpayments Established	

Comments:

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ETA 9129 Reemployment and Eligibility Assessments Outcomes

OMB No.: 1205-0456 **OMB Expiration Date:** 03/31/2009 **OMB Burden Hours:** 30 Minutes
OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

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ETA 9129 Reemployment and Eligibility Assessments Outcomes

B. Purpose

The REA initiative provides funds to conduct in-person assessments in the One-Stop facilities which include: a UI continued eligibility review, the provision of labor market information, development of an individualized work-search plan, and referral to reemployment services and/or training, as appropriate. Assessments are to be provided to selected claimants who do not have a definite return-to-work date. States develop a specific method of selecting REA claimants and of providing a comparison group of claimants who do not receive an REA.

The ETA 9129 report provides quarterly information on the outcomes of Reemployment and Eligibility Assessment (REA) activities for claimants who are selected for REA activities and on a comparison group that has been identified by the State Workforce Agency. REAs provide in-person service in the One Stop Career Center for applicants including the development of an individualized work search plan, appropriate labor market information (LMI) and referral to reemployment services as appropriate. The data on this report allows for evaluation and monitoring of the REA initiative.

C. Due Date and Transmittal

The electronically submitted report is due in the ETA National Office on the 20th of the fourteenth month following the quarter in which the claimants started their benefit years.

Examples of time frames are given below:

Benefit Year Beginning Quarter	Due Date
Jan – Mar 2006	May 20, 2007
Apr – Jun 2006	Aug 20, 2007
Jul – Sep 2006	Nov 20, 2007
Oct – Dec 2006	Feb 20, 2008

D. General Reporting Instructions

Data on this report deals with individuals in the regular Unemployment Insurance program (this includes State, UCFE, and UCX) who are selected for an REA and similar data is collected for individuals in a control group for purposes of comparison.

E. Item by Item Instructions

The ETA 9129 Report provides data about two distinct groups. The first is a state-defined comparison group of claimants who were not selected for an REA and the second is the group of claimants who were scheduled for an REA. This information will be used to compare the outcomes between those who were scheduled for an REA and those who were not scheduled for an REA.

1. Claimants in a state-defined comparison group. The number of claimants in the universe of claimants who were in the target group from which REA participants could have been selected for an REA but were not selected. The claimants in this group should have characteristics as similar as possible to the selected REA participation group.
 - a. Number of claimants who filed a claim and established a UI benefit year in the report quarter. Enter the number of claimants in the state-defined comparison group who filed a claim and established a benefit year during the report quarter.
 - b. Total weeks compensated. Enter the number weeks of benefits paid for those claimants reported in item 1.a. during their respective benefit years. This number includes weeks of partial payments.
 - c. Total benefits paid. Enter the total dollar amount of benefits paid to those claimants reported in item 1.a. during their respective benefit years. This number includes weeks of partial payments.
 - d. Number of disqualifications for claimants in the group. Enter total number of disqualifications for those claimants reported in item 1.a. This may include multiple disqualifications.
 - e. Number of claimants exhausting benefits. Enter the number of claimants reported in item 1.a. who exhausted benefits.
 - f. Number of claimants reemployed within the benefit year, based on the National or State Directories of New Hires or other sources. Enter the number of claimants reported in item 1.a. who became reemployed within the benefit year, based on information from the National or State Directories of New Hire or other sources.
 - g. Average weeks to date of reemployment for those who became reemployed during the benefit year. Enter the average weeks from the date of the initial claim to the date of reemployment.

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ETA 902 Disaster Unemployment Assistance Activities

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UI REPORTS HANDBOOK NO. 401

ETA 902 Disaster Unemployment Assistance Activities

A. Facsimile of Form

ETA 902 DISASTER UNEMPLOYMENT ASSISTANCE ACTIVITIES

STATE:		REGION:			REPORT FOR PERIOD ENDING:			
FEMA DR. NO.	Report Type	Declaration Date		Announcement Date				
SECTION A. APPLICATION AND PAYMENT ACTIVITIES								
CATEGORY	LINE NO.	INITIAL APPS.	NO. DETERM. ELIG.	FIRST PAYMTS.	WKS. CLAIMED	WKS. COMP.	AMOUNT COMP.	
		1	2	3	4	5	6	
Total	101							
Self - Employed	102							
SECTION B. DENIAL AND APPEALS ACTIVITY								
CATEGORY	LINE NO.	WKS.OF DUA DENIED	APPEALS FILED		APPEALS DISPOSED		FAVOR OF APPELLANT	
			STATE	R A	STATE	R A	STATE	R A
		7	8	9	10	11	12	13
Total	201							
Self - Employed	202							
SECTION C. OVERPAYMENT ACTIVITY AND ADMINISTRATION								
CATEGORY	LINE NO.	OVERPAYMENTS			ADMINISTRATIVE COSTS			
		CASES	WEEKS	AMOUNT	PERSONNEL	N P S	AS&T	
		14	15	16	17	18	19	
Total	301							
Fraud	302							
Signature				Title				

Comments:

OMB No.: 1205-0051 **OMB Expiration Date:** 06/30/2008 **OMB Burden Hours:** 217 Minutes
OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is required to obtain or retain benefits under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

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ETA 902 Disaster Unemployment Assistance Activities

B. Purpose

The ETA 902 report contains monthly data on Disaster Unemployment Assistance activities when there is a disaster declared by the President.

C. Scope and Duration of the Report

1. Submit a separate report for each major disaster declared in a state where an announcement has been made by the state agency of the availability of DUA.
2. The first report shall be sent in the month following the announcement date, and later reports shall be sent each month that DUA activity continues to occur, such as for payments made for weeks in the disaster assistance period (DAP) issued as a result of appeals.
3. Generally, states incur a certain amount of administrative costs even if no DUA benefits are paid. In these cases, a final ETA 902 must still be submitted. In Section C: columns 17-19, indicate the amount of administrative funds provided by FEMA.

D. Due Date and Transmittal

Reports shall be submitted electronically each month providing DUA activities performed during the preceding calendar month. Reports are due in the National Office on the 30th of the month following the month to which data relate. (South Pacific Island jurisdictions must submit hardcopy reports, as there is no electronic submittal method available to them at this time.)

For South Pacific Island jurisdictions, one copy should be sent to the National Office addressed as follows:

U.S. Department of Labor, ETA
Attn: Office of Workforce Security
Frances Perkins Building
200 Constitution Avenue, N.W.
Washington, D.C. 20210
Attention: Miriam Thompson-DUIO

One copy should be sent to the San Francisco ETA Regional Office.

E. General Reporting Instructions

1. In all instructions, reference to State UI (UC) claims will include UCFE, UCX, TRA, RRA (Railroad), EB, and any other program included and/or defined under 20 CFR 625.2(d).

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ETA 902 Disaster Unemployment Assistance Activities

2. Self-employed applicants are those who have filed an initial request for DUA and for whom it was determined that their primary reliance for income is on their performance of services in their own business or farm.
3. Payments of UI made to replace erroneously paid DUA should not be reported on the ETA 902, but should be reported on the appropriate UI reports, i.e., ETA 5159.

F. Definitions

1. Effective Date of an Initial Application. The effective day is the first day of the first week of unemployment provided that week of unemployment is in the disaster assistance period (DAP).
2. Eligible. Meets qualifications for receiving Disaster Unemployment Assistance, as specified at 20 CFR 625.4. Under 20 CFR 625.4(i), if an individual is eligible for UC, such individual is not eligible for DUA and should not be counted in any DUA Activities report.

G. Item by Item Instructions

1. Report Period Ended. Enter the month, last day of the month, and four digit year to which the data relate; e.g., 01/31/1998.
2. State. Enter the two-letter FIPS State Alpha Code (identical to the two-letter U.S. Postal Service abbreviation) of the state or South Pacific Island jurisdiction as it appears in FIPS Publication 5-2. This Federal Information Processing Standards publication was issued by the National Institute of Standards and Technology on May 28, 1987.
3. FEMA Declaration No. Enter the FEMA disaster identification number assigned by the FEMA National Office at the time of a disaster.
4. Report Type. Enter "I" for interim if the disaster workload and/or payment activity is on-going. Enter "F" for final if the disaster workload and/or payment activity has ended.
5. Declaration Date. Enter the date the President declared the major disaster; e.g., 08/29/2005. (This was formerly entitled announcement date on the old ETA 902 form.)
6. Announcement Date. Enter the date the state agency or South Pacific Island jurisdiction announced the availability of DUA through the media in accordance with 20 CFR 625.17; e.g., 09/01/2006.
7. Section A. Application and Payment Activities.

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ETA 902 Disaster Unemployment Assistance Activities

- a. Column 1, Initial Applications. Enter the number of initial applications for DUA taken during the report period. This will equal the number of initial applications that were completed and/or number of applications entered into an automated system through an electronic/telephone claimstaking system during the report period. Do not include individuals eligible for UC where it may have been necessary, due to the filing environment, to accept initial claims for both programs.
 - b. Column 2, Number Determined Eligible. Enter the number of individuals determined eligible for DUA during the report period. Do not include individuals eligible for UC where it may have been necessary, due to the filing environment, to accept initial claims for both programs.
 - c. Column 3, First Payments. Enter the number of payments which represent, for any individual, the first week for which assistance is paid in the disaster assistance period.
 - d. Column 4, Weeks Claimed. Enter the total number of weeks for which DUA is claimed during the report period whether or not DUA is actually paid. If claims are filed weekly, the number of weeks will equal the number of weekly received during the report period. If claims are filed other than weekly claims, the number of weeks will equal the number of weeks during the report period.
 - e. Column 5, Weeks Compensated. Enter the number of weeks of unemployment for which DUA was paid during the report period. A week of unemployment compensated is any week of unemployment for which DUA funds are paid, regardless of amount.
 - f. Column 6, Amount Compensated. Enter the amount of DUA funds represented by the weeks reported in column 5.
8. Section B. Denial and Appeals Activity.
- a. Column 7, Weeks of DUA Denied. Enter the number of weeks of unemployment where a DUA payment was denied for which an individual, except for the reason of the denial, would have been eligible to receive a DUA payment.

NOTE: For columns 8 through 13, the entries refer to the number of cases received or disposed of during the report period by authority (i.e., first level state appeals authority and the ETA Regional Administrator (RA) as the second level). All cases, including cases disposed of before reaching the appeals authority, should be included. Definitions of case, authority, disposal, etc., are those developed for the DUA program where found or, when these do not exist, are those used in the state UI program.

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ETA 902 Disaster Unemployment Assistance Activities

- b. Columns 8 and 9, Appeals Filed. In columns 8 and 9 distribute, by type of authority, the appeal cases or requests for review received during the month. In addition, provide a sub-breakout of the Total for self-employed individuals in line 202.
 - c. Columns 10 and 11, Appeals Disposed. Enter in columns 10 and 11 the total number of cases disposed during the month by authority level. In line 202, provide the number of cases disposed of involving self-employed individuals.
 - d. Columns 12 and 13, Favor of Appellant. Enter in columns 12 and 13 the number of appeal decisions included in columns 10 and 11, which were in favor of the appellant by authority level. In line 202 enter a breakout of self-employed individuals who appealed and had the decision in their favor.
9. Section C. Overpayment Activity and Administration.
- a. Columns 14, 15, and 16, Overpayments. In column 14, Cases, line 301, enter the number of cases, including willful misrepresentation (fraud) determined during the report period as an overpayment, regardless of when it occurred. In line 302 provide a sub-breakout of the number of cases determined as fraud cases. In column 15, Weeks, enter in line 301 the number of weeks of DUA overpaid in connection with the cases reported in column 14; enter the number of weeks of fraud overpayments included in line 301. In column 16, Amount, enter in line 301, the amount overpaid represented by cases reported in column 14. Provide a sub-breakout of the amount involving fraud in line 302.
 - b. Columns 17, 18 and 19, Administrative Costs. If available on a monthly basis, entries are needed in these items to monitor state agency expenditures and to support requests for additional administrative funds from FEMA. Enter in column 17, Personnel Costs (PC), the amount of personal service (salary) costs and personnel benefits (health, retirement, etc.) costs for staff performing DUA activities. In column 18, Non Personal Services (NPS), enter the total dollars expended for non-personal service costs (e.g., supplies, travel, equipment, etc.) attributable to DUA administration. Enter in column 19, Administrative, Support and Technical (AS&T), the total PC and NPS costs for staff performing AS&T functions to support the staff reported in column 17. If administrative costs are not available for the month to which data relate, to the extent possible, states should amend the report when the information becomes available. At a minimum, states should ensure the data are provided on a subsequent report during the quarter to which the data apply.

H. Checking the Report

1. General Checks. Entries should be made for all required items. If the item is inapplicable, or if applicable but no activity corresponding to the items occurred

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ETA 902 Disaster Unemployment Assistance Activities

during the report period, a zero should be entered. A report containing missing data cannot be sent to the National Office, but can be stored on the state's system. Special attention should be given the entries in the heading because the "FEMA DR No." and "Declaration Date" will be used to identify and accumulate data from reports relating to individual disasters.

2. Arithmetic Checks.
 - a. For columns 1, 2, and 8 through 13, the entries in line 102 and 202 respectively, should be equal to or less than the entries in line 101 or 201.
 - b. For columns 14 through 16, the entries in line 302 should be equal to or less than line 301.
3. Signature. Signature is only required if reports are sent manually to the National Office.

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ETA 9000 Internal Fraud Activities

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ETA 9000 Internal Fraud Activities

A. Facsimile of Form

ETA 9000 INTERNAL FRAUD ACTIVITIES

STATE:		REGION:		REPORT FOR PERIOD ENDING:			
SECTION A. BENEFIT FUNDS - UI EMPLOYEE							
	Line	Number Cases		Dollar Amounts		Number Cases Employee Acted	
		Actual (1)	Estimated (2)	Actual (3)	Estimated (4)	Alone (5)	With Others (6)
Claimed Benefits after Returned to Work	101						
Diverted Benefits Non-employee Claims	102						
Established Claims with Bogus Wages	103						
Authorized Improper Claims for Others	104						
Appropriated Outgoing/Returned Checks	105						
Pocketed Repayment by Overpaid Claimants	106						
Extorted Money from Claimants	107						
Miscellaneous	108						
Totals	109						
SECTION B. CONTRIBUTIONS - UI EMPLOYEE							
Misused Confidential Employer Files	201						
Misappropriated Monies Taxes, Penalty/Interest Employers	202						
Falsified Employer Records Reducing Tax/Penalty/Interest	203						
Misappropriated Refunds Due Employer	204						
Generated False Refund Checks	205						
Created Fictitious Employer Account	206						
Extorted Money from Employer	207						
Miscellaneous	208						
Totals	209						
SECTION C. ADMINISTRATIVE FUNDS - UI EMPLOYEE							
	Line	Number Cases		Dollar Amounts		Number Cases Employee Acted	
		Actual (1)	Estimated (2)	Actual (3)	Estimated (4)	Alone (5)	With Others (6)
Embezzled Administrative Funds	301						

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Misused Equipment or Supplies	302						
Falsified Time and Attendance Records	303						
Falsified Travel Voucher	304						
Made Unauthorized Telephone Calls	305						
Miscellaneous	306						
Totals	307						

SECTION D. DETECTION AND PREVENTION ACTIVITIES

	Line	Number Cases		Dollar Amounts	
		Actual (7)	Estimated (8)	Actual (9)	Estimated (10)
Audits Conducted	401				
Matching Systems	402				
Communications	403				
Controls Established	404				
Miscellaneous	405				
Totals	406				

SECTION E. ACTION AGAINST EMPLOYEES - NUMBER EMPLOYEES

	Line	Charged (11)	Arrested (12)	Prosecuted (13)	Convicted (14)	Imprisoned (15)	No Action (16)
Criminal Actions	501						
		Charged (17)	Arrested (18)	Prosecuted (19)	Convicted (20)	Imprisoned (21)	No Action (22)
OIG Referral	502						
		Reprimanded (23)	Suspended (24)	Demoted (25)	Discharged (26)	Resigned (27)	No Action (28)
Administrative Actions	503						

Comments:

OMB No.: 1205-0187 **OMB Expiration Date:** 05/31/2011 **OMB Burden Hours:** 180 Minutes
OMB Burden Statement: These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is required to obtain or retain benefits under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

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ETA 9000 Internal Fraud Activities

B. Purpose

Form ETA 9000 provides information on State Workforce Agency (SWA) internal fraud activities in the unemployment insurance (UI) program. Such information includes:

1. The number of actual and estimated internal fraud cases involving UI program benefit funds, contributions and administrative funds.
2. The actual and established dollar amounts involved in such cases.
3. The number of actual cases in which employees acted alone or acted with others.
4. The activities used by the SWA to detect or prevent such cases.
5. The criminal and administrative actions taken against employees involved in the internal fraud cases.

Each SWA should maintain all documentation supporting the information reported on Form 9000 and retain it for three years following the end of each report period for audit purposes.

C. Due Date and Transmittal

The ETA 9000 report is prepared once for each federal fiscal year and should be transmitted over the UI system.

The federal fiscal year ends September 30 and the report is due November 1st. Only if electronic transmission of the report is not available should the report be sent in by hard copy mailed. In such cases, one copy of the report should be sent mailed to the appropriate Regional Office; the original and one copy should be sent mailed to:

US Department of Labor
Employment and Training Administration
TEURA – Room S-4231
Francis Perkins Building
200 Constitution Avenue N.W.
Washington, DC 20210

D. General Reporting Instructions

1. Rounding Dollar Amounts. In reporting dollar amounts on Form ETA 9000, any dollar amount which is not an even dollar amount should be rounded to the next higher dollar.
2. Estimating Cases and Dollar Amounts. The ETA 9000 report captures both actual and estimated data. Cases and dollars may be estimated using various quantitative methods. To date no method has been identified as the best

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method. SWAs must identify the method used to capture the estimated data and provide a rationale for choosing that particular method.

3. Safeguard and Cost Benefit Analysis. The preferable method for estimating dollar amounts saved is the “safeguard and cost-benefit analysis” included in the UI risk analysis methodology. SWAs use such analyses in their risk analysis studies to identify necessary safeguards and to determine their cost-benefit in terms of the dollar amounts of loss prevented.
4. Past Experience. In instances where the “safeguard and cost-benefit analysis” method would not be appropriate, the method for estimating dollar amounts saved may be based on actual dollar amounts of loss experienced before the controls or safeguards to prevent internal fraud were established.
5. Automated Analysis. SWAs may use an automated risk analysis software package such as Riskwatch, which can provide a framework for the ETA 9000 estimates.

E. Definitions

For the purpose of this report:

1. Employee. Means a SWA employee who performs UI program function activities. (Refer to Chapter IV-5 of ET Handbook No. 362, SWA Accounting Manual, Volume II).
2. Internal Fraud. Defined as deliberate conduct by a SWA employee aimed at obtaining SWA funds, property, etc. to which he or she is not entitled or assisting another individual in obtaining EWA funds, property, etc. to which that individual is not entitled.
3. UI Program. Means all state and federal programs administered by the SWA which provide for the payment of benefits to individuals with respect to their unemployment. Such programs include state UI, Unemployment Compensation for Federal Employees (UCFE) and Ex-service members (UCX), Federal-State Extended Benefits (EB), Trade Adjustment Assistance (TAA), Disaster Unemployment Assistance (DUA) and temporary federal programs such as Emergency Unemployment Compensation (EUC).

F. Item by Item Instructions

Reporting Instructions for Form ETA 9000, Sections A through E

1. Section A. Benefit Funds. This section concerns actual and estimated internal fraud cases involving UI program benefit funds. The items in this section represent the major areas of internal fraud reported by SWAs in the past. These items are classified as follows:

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- a. Employee with a legitimate claim continues to file after returning to work with the SWA or later reactivates his/her claim while still working and fails to report earnings.
- b. Employee diverts benefits from non-employee claims (usually inactive) by changing the address on the claim (and possibly claimant name) and issuing checks to a drop address.
- c. Employee establishes claims with bogus wages and pays benefits to himself/herself or others.
- d. Employee processes claims for others knowing they do not meet eligibility requirements.
- e. Employee appropriates outgoing or returned benefit checks.
- f. Employee pockets repayment made by overpaid claimants.
- g. Employee extorts money from claimants for authorizing benefits to which they may or may not be entitled.
- h. Miscellaneous. (All other cases)

Line items 101 through 108 correspond to items 1 through 8 above. Enter in columns 1 through 4 the number of actual and estimated internal fraud cases detected and prevented; the actual and estimated dollar amounts involved in such cases and enter in columns 5 and 6 the number of actual cases in which employees acted alone or acted with others in committing internal fraud.

Enter in columns 1 through 6 the totals of lines 101 through 108 on line 109 marked "Totals."

2. Section B – Contributions. This section concerns actual and estimated internal fraud cases involving UI program employer contributions. The items in this section are classified as follows:
 - a. Employee misused confidential information from employer file.
 - b. Employee misappropriated monies due to SWA in taxes, interest, and penalties.
 - c. Employee falsified records for a kick-back, reducing the amount of tax, interest and penalties due SWA.
 - d. Employee misappropriated refund checks due an employer.
 - e. Employee generated false refund checks, diverting payment to himself/herself or an accomplice.

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- f. Employee created fictitious employer accounts and claimed UI benefits based on bogus wage credits.
- g. Employee extorted money from an employer.
- h. Miscellaneous. (All other cases)

Line items 201 through 208 correspond to items 1 through 8 above. Enter columns 1 through 4 the number of actual and estimated internal fraud cases detected and prevented; the actual and estimated dollar amounts involved in such cases and enter in columns 5 and 6 the number of actual cases in which employees acted alone or acted with others in committing internal fraud.

Enter in columns 1 through 6 the totals of lines 201 through 208 on line 209 which is marked "Totals."

3. Section C – Administrative Funds. This section concerns actual and estimated internal fraud cases involving UI program administrative funds. The items in this section represent the major areas of internal fraud cases involving administrative funds reported by SWAs. These items are classified as follows:
- a. Employee embezzled or misused UI program administrative funds (including Petty Cash funds).
 - b. Employee misused equipment or supplies (including theft and sabotage).
 - c. Employee falsified time and attendance records.
 - d. Employee falsified travel vouchers.
 - e. Employee made unauthorized telephone calls.
 - f. Miscellaneous (All other cases)

Line items 301 through 306 correspond to items 1 through 6 above. Enter columns 1 through 4 the number of actual and estimated internal fraud cases detected and prevented; the actual and estimated dollar amounts involved in such cases and enter in columns 5 and 6 the number of actual cases in which employees acted alone or acted with others in committing internal fraud.

Enter in columns 1 through 6 the totals of lines 301 through 306 on line 307 which is marked "Totals."

4. Section D – Detection and Prevention Activities. This section concerns the activities used by SWAs to detect or prevent internal fraud in the UI program. The items in this section represent the activities used to detect or prevent all of

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the internal fraud cases which were reported in sections A, B, or C. These items are classified as follows:

- a. Fraud cases detected as a result of audits.
- b. Fraud cases detected as a result of matching systems.
- c. Fraud cases detected as a result of communications from concerned sources.
- d. Fraud cases detected as a result of controls established.
- e. Miscellaneous. (All other activities)

Line 401, Fraud Cases Detected as a Result of Audits. Enter in columns 7 and 9 the number of actual internal fraud cases and dollar amounts detected as a result of audits or reviews conducted by the SWA or other state or federal agency.

Line 402, Fraud Cases Detected as a Result of Matching Systems. Enter in columns 7 and 9 the number of actual internal fraud cases and dollar amounts detected as a result of matching systems (e.g. crossmatch or SWA employee payrolls with UI benefit files)

Line 403, Fraud Cases Detected as a Result of Communications from Concerned Sources. Enter in columns 7 and 9 the number of actual internal fraud cases and dollar amounts detected as a result of communications from concerned sources (e.g. other SWA employees, employers, sources outside the SWA)

Line 404, Fraud Cases Detected as a Result of Controls Established. Enter in columns 8 and 10 the number of estimated internal fraud cases prevented and dollar amounts saved as a result of controls or safeguards established (e.g. The amount of savings estimated from a safeguard implemented to correct a particular vulnerability noted in a risk analysis)

Line 405, Miscellaneous. Enter in columns 7 and 10 the number of all other actual or estimated internal fraud cases and dollar amounts.

Line 406, Totals. Enter in columns 7 and 10 the totals of lines 401 through 405 on line 406. the sum totals of section D (line 406) should equal the sum totals of Section A, B and C (lines 109, 209 and 307).

5. Section E, Action Against Employees. This section concerns the criminal and administrative actions taken by the SWA and the US Department of Labor's Office of Inspector General (OIG) against SWA employees who committed

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internal fraud. This section also includes instances where no action was taken by SWA or the OIG. These actions are classified as follows:

Line 501, Criminal Actions. Enter in columns 11 through 15 the number of employees who as a result of internal fraud were charged, arrested, prosecuted, convicted or imprisoned. If any such action was taken after the case was referred to the OIG, enter the number only in line 502, columns 17 through 21. Enter in column 16 the number of such employees against whom no criminal action was taken.

Line 502, OIG Referrals. Enter in columns 17 through 21 the number of employees who as a result of internal fraud were charged, arrested, prosecuted, convicted or imprisoned after the cases were referred to the OIG. Enter in column 22 the number of such employees against whom no criminal action was taken.

Line 503, Administrative Actions. Enter in columns 23 through 27 the number of employees who as a result of internal fraud were reprimanded, suspended, demoted, discharged or who resigned to avoid discharge. Enter in column 28 the number of such employees against whom no administrative action was taken.

G. Checking Form ETA 9000

1. General Check. The region code, state code, state name and report period ended date appear at the top of the report.

The date that the report is prepared and the name and title of the state agency head or designated representative are typed at the bottom of the report and the signature is immediately above the typed name.

Entries are required for all fields. If an item is not applicable enter "NA." If no activity corresponding to the item occurred during the report period enter "0."

The area titled "Remarks" located at the bottom of each page should be used to describe miscellaneous entries in lines 108, 208, 306 and 405 on the report (including amended reports).

2. Section A. Column 1, lines 101 through 109, should equal the sum of column 5 and 6, lines 101 through 109, in each respective line.

Column 1 through 6, line 109, should equal the sum of columns 1 through 6, lines 101 through 108, in each respective line.

3. Section B. Column 1, lines 201 through 209, should equal the sum of columns 5 and 6, line 201 through 209, in each respective line.

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- Column 1 through 6, line 209, should equal the sum of columns 1 through 6, lines 201 through 208, in each respective line.
4. Section C. Column 1, lines 301 through 307, should equal the sum of columns 5 and 6, line 301 through 307, in each respective line.

Column 1 through 6, line 307, should equal the sum of columns 1 through 6, lines 301 through 306, in each respective line.

5. Section D. Columns 7 through 10, line 406, should equal the sum of columns 1 through 4, lines 109, 209 and 307, in each respective line.

Column 7 through 10, line 406, should equal the sum of columns 7 through 10, lines 201 through 208, in each respective line.

6. Section E. A check of this section against other sections of the ETA 9000 is not applicable since numbers reported in this section do not necessarily apply to numbers reported in the other sections. Numbers reported in this section apply to criminal and administrative actions taken against past, as well as, present employees as such actions occur.

However, only those actions taken against employees during the reporting period should be reported in section E.