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# UI REPORTS HANDBOOK NO. 401

## ETA 9050 First Payment Time Lapse

### A. Facsimile of Form

#### ETA 9050 - TIME LAPSE OF ALL FIRST PAYMENTS EXCEPT WORKSHARE

STATE	REGION	REPORT FOR PERIOD ENDING						
Time Lapse (Days)	Intra-State				Inter-State			
	Total	UI	UCFE	UCX	Total	UI	UCFE	UCX
<b>Total</b>								
<=7								
8-14								
15-21								
22-28								
29-35								
36-42								
43-49								
50-56								
57-63								
64-70								
>70								

#### ETA 9050 - TIME LAPSE OF PARTIAL/PART TOTAL FIRST PAYMENTS

STATE	REGION	REPORT FOR PERIOD ENDING						
Time Lapse (Days)	Intra-State				Inter-State			
	Total	UI	UCFE	UCX	Total	UI	UCFE	UCX
<b>Total</b>								
<=7								
8-14								
15-21								
22-28								
29-35								
36-42								
43-49								
50-56								
57-63								
64-70								

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**ETA 9050 First Payment Time Lapse**

>70								
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**ETA 9050 - FIRST PAYMENT TIME LAPSE (WORKSHARE)**

STATE	REGION	REPORT FOR PERIOD ENDING
<b>Time Lapse (Days)</b>		<b>Workshare Claims</b>
<b>Total</b>		
<b>0-7</b>		
<b>8-14</b>		
<b>15-21</b>		
<b>22-28</b>		
<b>29-35</b>		
<b>36-42</b>		
<b>43-49</b>		
<b>50-56</b>		
<b>57-63</b>		
<b>64-70</b>		
<b>&gt;70</b>		

Comments:

**OMB No.:** 1205-0359      **OMB Expiration Date:** 11/30/2010      **OMB Burden Hours:** 30 Minutes  
**OMB Burden Statement:** These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

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**ETA 9050 First Payment Time Lapse**

**B. Purpose**

The ETA 9050 report contains monthly information on first payment time lapse. This report concerns the time it takes states to pay benefits to claimants for the first compensable week of unemployment. Similar time lapse data was formerly reported in Section C of the ETA 5159 report. That data addressed first payment time lapse for total unemployment only. This report contains monthly time lapse data for all first payments, i.e., total, partial/part-total. A separate section of this report is reserved for Workshare (Short-Time Compensation) first payments only. Workshare will be reported separately and is excluded from that part of the report for "ALL" first payments.

**C. Due Date and Transmittal**

The report is due in the ETA National Office on the 20th of the month following the month to which the data relates. This report will be transmitted electronically.

**D. General Reporting Instructions**

The First Payment Time Lapse measure requires that the state computer read the universe of all first payment records. These counts are categorized by Intrastate and Interstate claims payments and, within those categories, the number that are under the state UI program, Unemployment Compensation for Federal Employees (UCFE), and Unemployment Compensation for Ex-Servicemembers (UCX). While included under the "All" category the sub-category of partial/part-total first payment time lapse will also be reported using a separate entry screen. These categories are further broken out by the number of first payments by program type and time lapse at seven day intervals.

Workshare will be reported separately and is excluded from that part of the report for "ALL" first payments.

- Includes total, partial/part-total first payments for new, additional and transitional claims.
- Includes combined wage claims first payments reported in the appropriate category determined by the nature of the base period wages.
- Includes offsets and intercepts.
- Excludes episodic claims programs such as Extended Benefits, Disaster Unemployment Assistance, and Trade Readjustment Allowances.
- Excludes retroactive payment for a compensable waiting period.
- Workshare will be reported separately and therefore is excluded from that part of the report for "ALL" first payments.

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### ETA 9050 First Payment Time Lapse

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

#### E. Definitions

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

1. Payment for First Compensable Week. To be a first payment recorded on this report, it must be the payment for the earliest compensable week in the benefit year. Such a payment must simultaneously conform to the definitions for a payment, a compensable week, and first compensable week. It is not automatically the first week paid; some benefit years will not have a payment for the first compensable week.
  - a. Payments. Benefit payments include total, partial and part-total payments, full or partial offsets to satisfy and outstanding overpayment, a child support intercept order or a food stamp over-issuance, waiting weeks waived by a governor under a state law and compensated because of a legally recognized disaster, and payments resulting from the reversal of a single or multi-claimant adjudication by a lower or higher authority appeal decision or by a court decision.
  - b. Compensable Week. Claimants who are monetarily eligible or who have a pending monetary determination may claim--submit for payment or waiting-week credit—a week of unemployment for which they believe they meet the state's weekly eligibility conditions. A week with excessive earnings—enough to reduce the weekly benefit amount payment to zero—is considered a week of employment and not unemployment and thus is not a “week claimed.”

Most states require a week to be served as a waiting period week prior to receiving a first payment. Claimants are required to meet all of the eligibility criteria to receive a benefit payment but the week is not a payable week. Some states will retroactively compensate the waiting week after the claimant has received payment for a number of weeks.

- c. First Compensable Week. The first compensable week is the earliest compensable week claimed in the benefit year.
  - 1) This will normally be the first week in the claims series in non-waiting week states and the second week in the claims series in waiting week states.
  - 2) If two or more weeks of benefits at the beginning of the claims series are paid at the same time (whether by separate checks or by one check), then the earliest week-ending date in the benefit year is the starting date for measuring the timeliness of the first payment.

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### ETA 9050 First Payment Time Lapse

- 3) The normal situation in (1) will not occur if the claimant is disqualified by nonmonetary denial or penalty for what would have been the waiting week or the usual first compensable week. In either of these situations, no payment for a first compensable week is reported on the 9050 report; instead, the first week paid is a continued week and reported on the 9051 report.
- 4) If the waiting-week denial is later reversed on appeal, it may be either paid (if the claimant had already served a waiting week) or used for waiting week credit. If it is paid, it becomes a payment for the first compensable week.
- 5) In summary, in waiting week states, if the first week in the series is credited as a waiting week, the second week is the first compensable week. If any other week is credited as a waiting week, the very first week in the claim series becomes the first compensable week unless the claimant had excessive earnings.

The table below provides instructions for determining which weeks would be reported as first compensable weeks (for first payment time lapse) and continued weeks (for continued weeks time lapse) under some common scenarios in waiting week and non-waiting week states.

<b>Scenarios for Waiting Week States</b>						
#	Scenarios	Claimed Weeks				
	<b>Scenarios for reporting paid weeks time lapse. Payments for weeks reversed on appeal shown in parenthesis</b>	Week 1	Week 2	Week 3	Week 4	Week 5
1	No Issue	WW	P-9050	P-9051	P-9051	P-9051
2	Week 1 denied; not appealed. No first compensable week will ever be reported.	D	WW	P-9051	P-9051	P-9051
3	Week 1 denied; reversed on appeal after claimant served waiting week in week 2. Week 1 reported as first compensable week after initial denial is reversed.	D (r-9050)	WW	P-9051	P-9051	P-9051
4	All 4 weeks denied; no weeks allowed. Claimant returned to work in week 5 before receiving any payments. Denials later reversed on appeal. Week 1 is ww; week 2 is first compensable.	D (r-WW)	D (r-9050)	D (r-9051)	D (r-9051)	NC
5	Week 1 not considered a week claimed because claimant had excess	No WC; ex-earn	WW	P-9050	P-9051	P-9051

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**ETA 9050 First Payment Time Lapse**

	earnings. Claims series begins in week 2.					
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<b>Scenarios for Non-Waiting Week States</b>						
<b>#</b>	<b>Scenarios</b>	<b>Claimed Weeks</b>				
	<b>Scenarios for reporting paid weeks time lapse. Payments for weeks reversed on appeal shown in parenthesis</b>	<b>Week 1</b>	<b>Week 2</b>	<b>Week 3</b>	<b>Week 4</b>	<b>Week 5</b>
1	No issue	P-9050	P-9051	P-9051	P-9051	P-9051
2	Week 1 denied; not appealed. No first compensable week will ever be reported.	D	P-9051	P-9051	P-9051	P-9051
3	Week 1 denied; reversed on appeal. Week 1 reported as first compensable week after initial denial is reversed.	D (r-9050)	P-9051	P-9051	P-9051	P-9051
4	All 4 weeks denied; no weeks allowed. Claimant returned to work in week 5 before receiving any payments. Denials later reversed on appeal. Week 1 is first compensable.	D (r-9050)	D (r-9051)	D (r-9051)	D (r-9051)	NC
5	Week 1 not considered a week claimed because claimant had excess earnings. Claims series begins in week 2.	No WC; ex-earn	P-9050	P-9051	P-9051	P-9051

<b>Above Tables Legend</b>	
WW	Waiting Week
WC	Week Claimed
P	Paid Week
D	Denied Week because of Nonmonetary Issue
R	Week Reversed on Appeal
NC	Not Claimed

2. **First Payment Time Lapse.** A measurement of the number of days from the week ending date of the first compensable week in the benefit year to the date the payment is made in person, mailed or offset or intercept is applied on the claim.
3. **Mail Date.** The mail date is the date the State Workforce Agency (SWA) actually mails the first payment to the claimant. SWAs determine the mail date and provide DOL with its procedure(s) to derive it.

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

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### ETA 9050 First Payment Time Lapse

4. Joint Claims. Claims involving (1) a combination of state unemployment trust funds and Federal program funds or (2) a combination of Federal program funds.

Includes claims with state UI in combination with UCFE and/or UCX employment and wages (UI/UCFE/UCX, UI/UCFE, or UI/UCX) and UCFE claims in combination with UCX employment and wages (UCFE/UCX).

Excludes claims that do not include a combination of state UI and UCFE and/or UCX employment and wages or a combination of UCFE and UCX employment and wages.

5. Partial/Part-Total Payments. Payments that are reduced from the claimant's weekly benefit amount as a result of wages, commissions, bonuses, tips or gratuities, back-pay awards, odd jobs or self-employment income.

6. Total Payments. Payments for weeks of total unemployment in which the claimant received a full weekly benefit check that is not reduced as a result of wages, commissions, bonuses, tips or gratuities, back-pay awards, odd jobs or self-employment income.

7. State Unemployment Insurance (UI). A state program that provides benefits to individuals financed (1) wholly from state trust funds (UI) or (2) partially from state trust funds and partially from UCFE and/or UCX program funds (joint UI/UCFE, UI/UCX, UI/UCFE/UCX claim).

8. Unemployment Compensation for Federal Employees (UCFE). A Federal program that provides benefits to individuals based on Federal civilian service.

Includes claims based (1) wholly on Federal civilian service (UCFE, no UI) or (2) partially on Federal civilian service and partially on Federal military service (UCFE/UCX) claim.

Excludes claims funded partially from state trust funds.

9. Unemployment Compensation for Ex-Servicemembers (UCX). A Federal program that provides benefits to individuals based on Federal military service. Includes claims based wholly on Federal military service (UCX only).

Excludes claims funded partially from state trust funds and/or Federal civilian service.

10. Workshare (Short-Time Compensation (STC) Program). A state program which is an alternative to employee layoffs, whereby a group of workers simply work shorter work weeks and are compensated for their lost work time with partial benefits. Such benefits are payable to these individuals as a percentage of their weekly benefit amount equivalent to the percentage of

## UI REPORTS HANDBOOK NO. 401

### ETA 9050 First Payment Time Lapse

work hours reduced. Benefits would not be payable to these workers under a state's normal partial benefits formula. To participate in the Workshare or STC program employers must submit their plans to the state agency for approval.

#### F. Item by Item Instructions

Enter in each column and time lapse interval all first payments made during the report period for Intrastate and Interstate claims. Workshare first payments are reported separately.

1. All Intrastate First Payments. (Includes Total and Partial/Part-Total Payments)
  - a. Column 1, Total Intrastate First Payments. Enter under column 1 the total number of all Intrastate first payments and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
  - b. Column 2, UI Intrastate First Payments. Enter under column 2 the total number of all state UI Intrastate first payments and individual totals for each time lapse interval. These payments represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
  - c. Column 3, UCFE Intrastate First Payments. Enter under column 3 the total number of all UCFE Intrastate first payments and individual totals for each time lapse interval. These payments represent UCFE only and UCFE in combination with UCX (joint claims).
  - d. Column 4, UCX Intrastate First Payments. Enter under column 4 the total number of all UCX Intrastate first payments and individual totals for each time lapse interval. These payments represent UCX only.
2. All Interstate First Payments. (Includes Total and Partial/Part-Total Payments)
  - a. Column 1, Total Interstate First Payments. Enter under column 1 the total number of all Interstate first payments and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
  - b. Column 2, UI Interstate First Payments. Enter under column 2 the total number of all state UI Interstate first payments and individual totals for each time lapse interval. These payments represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
  - c. Column 3, UCFE Interstate First Payments. Enter under column 3 the total number of all UCFE Interstate first payments and individual totals for each time lapse interval. These payments represent UCFE only and UCFE in combination with UCX (joint claims).
  - d. Column 4, UCX Interstate First Payments. Enter under column 4 the total

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### ETA 9050 First Payment Time Lapse

number of all UCX Interstate first payments and individual totals for each time lapse interval. These payments represent UCX only.

#### 3. Intrastate Partial/Part-Total First Payments Only.

- a. Column 1, Total Intrastate Partial/Part-Total First Payments. Enter under column 1 the total number of all Intrastate partial/part-total first payments and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
- b. Column 2, UI Intrastate Partial/Part-Total First Payments. Enter under column 2 the total number of all state UI Intrastate partial/part-total first payments and individual totals for each time lapse interval. These payments represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
- c. Column 3, UCFE Intrastate Partial/Part-Total First Payments. Enter under column 3 the total number of all UCFE Intrastate partial/part-total first payments and individual totals for each time lapse interval. These payments represent UCFE only and UCFE in combination with UCX (joint claims).
- d. Column 4, UCX Intrastate Partial/Part-Total First Payments. Enter under column 4 the total number of all UCX Intrastate partial/part-total first payments and individual totals for each time lapse interval. These payments represent UCX only.

#### 4. Interstate Partial/Part-Total First Payments Only.

- a. Column 1, Total Interstate Partial/Part-Total First Payments. Enter under column 1 the total number of all Interstate partial/part-total first payments and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
- b. Column 2, UI Interstate Partial/Part-Total First Payments. Enter under column 2 the total number of all state UI Interstate partial/part-total first payments and individual totals for each time lapse interval. These payments represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
- c. Column 3, UCFE Interstate Partial/Part-Total First Payments. Enter under column 3 the total number of all UCFE Interstate partial/part-total first payments and individual totals for each time lapse interval. These payments represent UCFE only and UCFE in combination with UCX (joint claims).
- d. Column 4, UCX Interstate Partial/Part-Total First Payments. Enter under column 4 the total number of all UCX Interstate partial/part-total first payments and individual totals for each time lapse interval. These

## UI REPORTS HANDBOOK NO. 401

### ETA 9050 First Payment Time Lapse

payments represent UCX only.

5. Workshare First Payments.
  - a. First Payments. Enter the total number of all Workshare first payments and individual totals for each time lapse interval.
  
6. Comments. Explain in the comments area significant variations in time lapse in benefit payments from levels in the prior period or the same period one year ago.
  - a. Administrative Factors. Describe administrative factors, such as changes in operating procedures, issuance of rules and regulations, and staff turnover. These may affect data reported in such a way that they cannot be compared with data from prior reports or with current reports from other state agencies.
  
  - b. Legal Factors. Describe legal factors, such as new laws or policies. These may affect data reported in such a way that they cannot be compared with data from prior reports or on current reports from other state agencies.
  
  - c. Economic Factors. Describe economic factors which may affect data reported in such a way that conditions will be reflected in any of the tabulations. Cover such factors affecting benefit payment time lapse, e.g., mass layoffs and seasonal fluctuations in employment.

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**ETA 9051 Continued Weeks Compensated Time Lapse**

**A. Facsimile of Form**

**ETA 9051 - TIME LAPSE COUNTS FOR ALL CONTINUED WEEKS COMPENSATED**

STATE	REGION	REPORT FOR PERIOD ENDING						
Time Lapse (Days)	Intra-State				Inter-State			
	Total	UI	UCFE	UCX	Total	UI	UCFE	UCX
Total								
<=7								
8-14								
15-21								
22-28								
29-35								
36-42								
43-49								
50-56								
57-63								
64-70								
>70								

**ETA 9051 - TIME LAPSE FOR CONTINUED WEEKS: PARTIAL/PART TOTAL PAYMENTS**

STATE	REGION	REPORT FOR PERIOD ENDING						
Time Lapse (Days)	Intra-State				Inter-State			
	Total	UI	UCFE	UCX	Total	UI	UCFE	UCX
Total								
<=7								
8-14								
15-21								
22-28								
29-35								
36-42								
43-49								
50-56								
57-63								
64-70								
>70								

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### ETA 9051 Continued Weeks Compensated Time Lapse

#### ETA 9051 - CONTINUED CLAIMS TIME LAPSE (WORKSHARE)

STATE	REGION	REPORT FOR PERIOD ENDING	
<b>Time Lapse (Days)</b>		<b>Workshare Claims</b>	
Total			
0-7			
8-14			
15-21			
22-28			
29-35			
36-42			
43-49			
50-56			
57-63			
64-70			
>70			

Comments:

**OMB No.:** 1205-0359      **OMB Expiration Date:** 11/30/2010      **OMB Burden Hours:** 30 Minutes  
**OMB Burden Statement:** These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

## B. Purpose

The ETA 9051 report contains monthly information on continued weeks compensated time lapse. This report concerns the time it takes states to pay benefits to claimants for compensable weeks of unemployment other than the "first payment." Continued weeks compensated time lapse data was not formerly reported. This report contains monthly time lapse data for all continued weeks compensated, i.e., total, partial/part-total. A separate entry screen will be used for a breakout of partial/part-total continued weeks compensated. Workshare (Short-Time Compensation) continued weeks compensated will be reported on a third entry screen. Workshare continued weeks compensated are not reported in the total count of "All" continued weeks compensated.

## C. Due Date and Transmittal

The report is due in the ETA National Office on the 20th of the month following the month to which the data relate. This report will be transmitted electronically.

## D. General Reporting Instructions

The Continued Weeks Compensated Time Lapse measure requires that the state computer read the universe of all weeks compensated records and exclude first payments. These counts are categorized by Intrastate and Interstate claims and, within those categories, the number that are compensated under the state UI program, Unemployment Compensation for Federal Employees (UCFE), and Unemployment Compensation for Ex-Servicemembers (UCX). While included under the "All" category the sub-category of partial/part-total continued weeks compensated will also be reported. These categories are further broken out by the number of continued weeks compensated by program type and time lapse at seven-day intervals.

- Includes total, partial/part-total continued weeks compensated.
- Includes combined wage claims continued weeks compensated reported in the appropriate category determined by the nature of the base-period wages.
- Includes offsets and intercepts.
- Excludes retroactive payment for a compensable waiting period.
- Excludes episodic compensation programs such as Extended Benefits, Disaster Unemployment Assistance, and Trade Readjustment Allowances.
- Excludes adjustments.
- Excludes workshare claims. Workshare will be reported separately and is excluded from that part of the report for "ALL" continued weeks compensated.

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### ETA 9051 Continued Weeks Compensated Time Lapse

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

#### E. Definitions

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

1. Continued Weeks Compensated. For purposes of this report, these are payments for weeks of unemployment subsequent to the payment for the first compensable week in a benefit year.

Includes total, partial/part-total payments, full or partial offsets to satisfy an outstanding overpayment, a child support intercept order or a food stamp overissuance, and payments resulting from the reversal of a single or multi-claimant adjudication by a lower or higher authority appeal decision or by a court decision.

Excludes all adjustment payments for a previously paid week. For discussion of determining the first compensable week, see 9050, E.1, page V-1-5.

2. Continued Weeks Compensated Time Lapse. The number of days from the end of the continued week to the date the payment is made in-person, mailed or offset or an intercept is applied on a claim.

#### F. Item by Item Instructions

Enter in each column and time lapse interval all continued weeks compensated made during the report period for Intrastate and Interstate claims. Workshare continued weeks compensated are reported separately.

1. All Intrastate Continued Weeks Compensated. (Includes Total and Partial/Part-Total Payments)
  - a. Column 1, Total Intrastate Continued Weeks Compensated. Enter under column 1 the total number of all Intrastate continued weeks compensated and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
  - b. Column 2, UI Intrastate Continued Weeks Compensated. Enter under column 2 the total number of all state UI Intrastate continued weeks compensated and individual totals for each time lapse interval. These payments represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
  - c. Column 3, UCFE Intrastate Continued Weeks Compensated. Enter under column 3 the total number of all UCFE Intrastate continued weeks compensated and individual totals for each time lapse interval. These

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### ETA 9051 Continued Weeks Compensated Time Lapse

payments represent UCFE only and UCFE in combination with UCX (joint claims).

- d. Column 4, UCX Intrastate Continued Weeks Compensated. Enter under column 4 the total number of all UCX Intrastate continued weeks compensated and individual totals for each time lapse interval. These payments represent UCX only.
2. All Interstate Continued Weeks Compensated. (Includes Total and Partial/Part-Total Payments)
    - a. Column 1, Total Interstate Continued Weeks Compensated. Enter under column 1 the total number of all Interstate continued weeks compensated and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
    - b. Column 2, UI Interstate Continued Weeks Compensated. Enter under column 2 the total number of all state UI Interstate continued weeks compensated and individual totals for each time lapse interval. These payments represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
    - c. Column 3, UCFE Interstate Continued Weeks Compensated. Enter under column 3 the total number of all UCFE Interstate continued weeks compensated and individual totals for each time lapse interval. These payments represent UCFE only and UCFE in combination with UCX (joint claims).
    - d. Column 4, UCX Interstate Continued Weeks Compensated. Enter under column 4 the total number of all UCX Interstate continued weeks compensated and individual totals for each time lapse interval. These payments represent UCX only.
  3. Intrastate Partial/Part-Total Continued Weeks Compensated Only.
    - a. Column 1, Total Intrastate Partial/Part-Total Continued Weeks Compensated. Enter under column 1 the total number of all Intrastate partial/part-total continued weeks compensated and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
    - b. Column 2, UI Intrastate Partial/Part-Total Continued Weeks Compensated. Enter under column 2 the total number of all State UI Intrastate partial/part-total continued weeks compensated and individual totals for each time lapse interval. These payments represent State UI only and State UI in combination with UCFE and/or UCX (joint claims).

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### ETA 9051 Continued Weeks Compensated Time Lapse

- c. Column 3, UCFE Intrastate Partial/Part-Total Continued Weeks Compensated. Enter under column 3 the total number of all UCFE Intrastate partial/part-total continued weeks compensated and individual totals for each time lapse interval. These payments represent UCFE only and UCFE in combination with UCX (joint claims).
  - d. Column 4, UCX Intrastate Partial/Part-Total Continued Weeks Compensated. Enter under column 4 the total number of all UCX Intrastate partial/part-total continued weeks compensated and individual totals for each time lapse interval. These payments represent UCX only.
4. Interstate Partial/Part-Total Continued Weeks Compensated Only.
- a. Column 1, Total Interstate Partial/Part-Total Continued Weeks Compensated. Enter under column 1 the total number of all Interstate partial/part-total continued weeks compensated and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
  - b. Column 2, UI Interstate Partial/Part-Total Continued Weeks Compensated. Enter under column 2 the total number of all State UI Interstate partial/part-total continued weeks compensated and individual totals for each time lapse interval. These payments represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
  - c. Column 3, UCFE Interstate Partial/Part-Total Continued Weeks Compensated. Enter under column 3 the total number of all UCFE Interstate partial/part-total continued weeks compensated and individual totals for each time lapse interval. These payments represent UCFE only and UCFE in combination with UCX (joint claims).
  - d. Column 4, UCX Interstate Partial/Part-Total Continued Weeks Compensated. Enter under column 4 the total number of all UCX Interstate partial/part-total continued weeks compensated and individual totals for each time lapse interval. These payments represent UCX only.
5. Workshare Continued Weeks Compensated. Enter the total number of all Workshare continued weeks compensated and individual totals for each time lapse interval.
6. Comments. Explain in the comments area significant variations in time lapse in benefit payments from levels in the prior period or the same period one year ago.
- a. Administrative Factors. Describe administrative factors, such as changes in operating procedures, issuance of rules and regulations, and staff turnover. These may affect data reported in such a way that they cannot

## UI REPORTS HANDBOOK NO. 401

### ETA 9051 Continued Weeks Compensated Time Lapse

be compared with data from prior reports or with current reports from other State agencies.

- b. Legal Factors. Describe legal factors, such as new laws or policies. These may affect data reported in such a way that they cannot be compared with data from prior reports or on current reports from other State agencies.
- c. Economic Factors. Describe economic factors which may affect data reported in such a way that conditions will be reflected in any of the tabulations. Cover such factors affecting benefit payment time lapse, e.g., mass layoffs and seasonal fluctuations in employment.

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ETA 9052 Nonmonetary Determination Time Lapse, Detection Date

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**UI REPORTS HANDBOOK NO. 401**

**ETA 9052 Nonmonetary Determination Time Lapse, Detection Date**

**A. Facsimile of Form**

**ETA 9052 - NONMONETARY DETERMINATION TIME LAPSE DETECTION DATE**

STATE	REGION	REPORT FOR PERIOD ENDING

**SECTION A. SEPARATION ISSUES**

Time Lapse (Days)	Intra-State				Inter-State			
	Total (1)	UI (2)	UCFE (3)	UCX (4)	Total (1)	UI (2)	UCFE (3)	UCX (4)
<b>Total</b>								
<=7								
8-14								
15-21								
22-28								
29-35								
36-42								
43-49								
50-56								
57-63								
64-70								
>70								

**SECTION B. NON-SEPARATION ISSUES**

Time Lapse (Days)	Intra-State				Inter-State			
	Total (1)	UI (2)	UCFE (3)	UCX (4)	Total (1)	UI (2)	UCFE (3)	UCX (4)
<b>Total</b>								
<=7								
8-14								

**UI REPORTS HANDBOOK NO. 401**

<b>ETA 9052 Nonmonetary Determination Time Lapse, Detection Date</b>
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15-21								
22-28								
29-35								
36-42								
43-49								
50-56								
57-63								
64-70								
>70								

SECTION C. MULTI-CLAIMANT ISSUES			
Time Lapse (Days)	Total (1)	Multi-claimant Labor Disputes (2)	Multi-claimant "Other" (3)
<b>Total</b>			
<=7			
8-14			
15-21			
22-28			
29-35			
36-42			
43-49			
50-56			
57-63			
64-70			

# UI REPORTS HANDBOOK NO. 401

## ETA 9052 Nonmonetary Determination Time Lapse, Detection Date

>70			
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Comments:

**OMB No.:** 1205-0359      **OMB Expiration Date:** 11/30/2010      **OMB Burden Hours:** 60 Minutes  
**OMB Burden Statement:** These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

## UI REPORTS HANDBOOK NO. 401

### ETA 9052 Nonmonetary Determination Time Lapse, Detection Date

#### B. Purpose

The ETA 9052 report contains monthly information on the time it takes states to issue nonmonetary determinations from the date the issues are first detected by the agency. Single-claimant and multi-claimant nonmonetary determinations are included in the report. Nonmonetary determinations made by organizational units such as Benefits Accuracy Measurement (BAM) and Benefit Payment Control (BPC) are also included in the report. Note: Overpayment notices on uncontested earnings detected by any method (e.g., crossmatch) should not be included. A separate section of this report is reserved for multi-claimant determinations only.

#### C. Due Date and Transmittal

The report is due in the ETA National Office on the 20th of the month following the month to which the data relates. This report will be transmitted electronically.

#### D. General Reporting Instructions

The Nonmonetary Determination Time Lapse measure requires that the state computer read the universe of all nonmonetary determination records. These counts are categorized by Intrastate and Interstate Nonmonetary Determinations and, within those categories, by the number that are under the state UI program, the Unemployment Compensation for Federal Employees (UCFE) program, and Unemployment Compensation for Ex-servicemembers (UCX) program. These categories are further divided by nonmonetary determination time lapse for single-claimant separation and nonseparation issues versus multi-claimant issues. These figures will be equivalent to those reported on the ETA 207 respectively.

1. Excludes overpayment notices on uncontested earnings detected by any method (e.g., crossmatch).
2. Excludes episodic claims programs such as Extended Benefits, Disaster Unemployment Assistance, and Trade Readjustment Allowances.
3. Excludes Nonmonetary Redeterminations.
4. Other exclusions are described in HB 401, ETA 207, Nonmonetary Determination Activities (see E.b).

#### E. Definitions

Definitions, unless otherwise specified in these instructions, will be the same definitions used for the ETA 207 and ETA 9050 found elsewhere in this handbook.

1. Nonmonetary Determinations Time Lapse. The number of days from the date an issue is first detected on a claim to the date on the determination.

## UI REPORTS HANDBOOK NO. 401

### ETA 9052 Nonmonetary Determination Time Lapse, Detection Date

2. Issue Detection Date. The earliest date that the agency, including organizational units such as BAM, BPC and any department that works on behalf of UI, is in possession of information indicating the existence of a nonmonetary issue.

a. New, Additional, or Reopened Claims.

The issue detection date is the date the new, additional, or reopened claim is filed. If no issue exists at the time a claim is filed but information is later received that presents an issue, then the issue detection date is the date this information is received by the agency.

The exception to the above is a case where the claimant fails to file a timely certification and the state has a policy of waiting for a week to be claimed prior to making a determination. In such cases, the detection date for the original unresolved issue(s) is the date the claimant subsequently files an additional or reopened claim.

In either case described above, if the adjudicator establishes that no issue exists, there is no reportable nonmonetary determination.

b. Continued Weeks Claimed. Examples of issue detection date:

- 1) Continued claims filed by mail are optically scanned or processed by a voice response unit (VRU). A claimant reports that he/she was not able and available for work during the week for which he/she is claiming benefits. The optical scanner or voice response unit flags the claim with an issue. An adjudicator confirms the issue. If the certification is scanned or processed by the VRU during normal business hours, the date the continued week claim is flagged is the issue detection date. If the certification is scanned or processed by the VRU after normal business hours, the next business day is the issue detection date. If the adjudicator establishes that no issue actually exists, there is no reportable determination.
- 2) Same situation as in example 1 except that the claimant answers all weekly certification questions in a manner that does not raise an issue. However, the claimant adds information that is read by the agency's optical scanner or recognized by the VRU as an exception to normal processing. The claim is flagged and referred to an adjudicator. The adjudicator confirms that there is an issue and the week(s) to which it applies. If the certification is scanned or processed by the VRU during normal business hours, the date the continued claim is flagged is the issue detection date. If the certification is scanned or processed by the VRU after normal business hours, the next business day is the issue detection date. If the adjudicator establishes that no issue exists, there is no reportable determination.

## UI REPORTS HANDBOOK NO. 401

### ETA 9052 Nonmonetary Determination Time Lapse, Detection Date

- 3) The claimant is in a continuous weekly/biweekly filing status and the agency receives information that presents an issue by letter or telephone call (other than VRU). The date the agency received the information is the issue detection date. The agency should keep a record of the date and time of call and include such information in the claim file for quality and data validation purposes.
  - 4) The claimant is in a continuous weekly/biweekly filing status and an issue is raised in-person by the claimant or another party. The date the issue is raised (in-person) is the issue detection date.
  - 5) A unit of the agency (BPC, BAM, Appeals, etc.) discovers an issue during the course of its work and refers the issue to the adjudication unit or to some other unit for action. The issue detection date is the date the unit discovered the issue and not the date the other unit within the agency receives the referred issue.
3. Date of Determination. The date printed on the determination notice, or, if no notice is required, the date payment is authorized, waiting week credit is given, or an offset is applied.

#### F. Item by Item Instructions

Enter in each column and time lapse interval the number of nonmonetary determinations made during the report period representing the number of days from the date an issue is first detected on a claim to the date on the determination.

1. All Intrastate Single Claimant Separations.
  - a. Column 1, Total Intrastate Single Claimant Separations. Enter under column 1 the total number of all Intrastate single claimant separation determinations and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
  - b. Column 2, UI Intrastate Single Claimant Separations. Enter under column 2 the total number of all state UI Intrastate single claimant separation determinations and individual totals for each time lapse interval. These determinations represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
  - c. Column 3, UCFE Intrastate Single Claimant Separations. Enter under column 3 the total number of all UCFE Intrastate single claimant separation determinations and individual totals for each time lapse interval. These determinations represent UCFE only and UCFE in combination with UCX (joint claims).

## UI REPORTS HANDBOOK NO. 401

### ETA 9052 Nonmonetary Determination Time Lapse, Detection Date

- d. Column 4, UCX Intrastate Single Claimant Separations. Enter under column 4 the total number of all UCX Intrastate single claimant separation determinations and individual totals for each time lapse interval. These determinations represent UCX only.
2. All Interstate Single Claimant Separations.
    - a. Column 1, Total Interstate Single Claimant Separations. Enter under column 1 the total number of all Interstate single claimant separation determinations and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
    - b. Column 2, UI Interstate Single Claimant Separations. Enter under column 2 the total number of all state UI Interstate single claimant separation determinations and individual totals for each time lapse interval. These determinations represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
    - c. Column 3, UCFE Interstate Single Claimant Separations. Enter under column 3 the total number of all UCFE Interstate single claimant separation determinations and individual totals for each time lapse interval. These determinations represent UCFE only and UCFE in combination with UCX (joint claims).
    - d. Column 4, UCX Interstate Single Claimant Separations. Enter under column 4 the total number of all UCX Interstate single claimant separation determinations and individual totals for each time lapse interval. These determinations represent UCX only.
3. All Intrastate Single Claimant Nonseparations.
    - a. Column 1, Total Intrastate Single Claimant Nonseparations. Enter under column 1 the total number of all Intrastate single claimant nonseparation determinations and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
    - b. Column 2, UI Intrastate Single Claimant Nonseparations. Enter under column 2 the total number of all state UI Intrastate single claimant nonseparation determinations and individual totals for each time lapse interval. These determinations represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
    - c. Column 3, UCFE Intrastate Single Claimant Nonseparations. Enter under column 3 the total number of all UCFE Intrastate single claimant nonseparation determinations and individual totals for each time lapse

## UI REPORTS HANDBOOK NO. 401

### ETA 9052 Nonmonetary Determination Time Lapse, Detection Date

interval. These determinations represent UCFE only and UCFE in combination with UCX (joint claims).

- d. Column 4, UCX Intrastate Single Claimant Nonseparations. Enter under column 4 the total number of all UCX Intrastate single claimant nonseparation determinations and individual totals for each time lapse interval. These determinations represent UCX only.
4. All Interstate Single Claimant Nonseparations.
    - a. Column 1, Total Interstate Single Claimant Nonseparations. Enter under column 1 the total number of all Interstate single claimant nonseparation determinations and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2, 3, and 4.
    - b. Column 2, UI Interstate Single Claimant Nonseparations. Enter under column 2 the total number of all state UI Interstate single claimant nonseparation determinations and individual totals for each time lapse interval. These determinations represent state UI only and state UI in combination with UCFE and/or UCX (joint claims).
    - c. Column 3, UCFE Interstate Single Claimant Nonseparations. Enter under column 3 the total number of all UCFE Interstate single claimant nonseparation determinations and individual totals for each time lapse interval. These determinations represent UCFE only and UCFE in combination with UCX (joint claims).
    - d. Column 4, UCX Interstate Single Claimant Nonseparations. Enter under column 4 the total number of all UCX Interstate single claimant nonseparation determinations and individual totals for each time lapse interval. These determinations represent UCX only.
  5. All Multi-claimant Determinations. Report only one multi-claimant determination based on a single set of facts which apply to two or more similarly situated individuals and which may result in the issuance of one or more notices, depending upon the number of individual claimants involved.
    - a. Column 1, Total Multi-claimant Determinations. Enter under column 1 the total number of all multi-claimant determinations and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2 and 3.
    - b. Column 2, Labor Dispute. Enter under column 2 the total number of all multi-claimant determinations resulting from labor disputes and individual totals for each time lapse interval.

## UI REPORTS HANDBOOK NO. 401

### ETA 9052 Nonmonetary Determination Time Lapse, Detection Date

- c. Column 3, Other Multi-claimant Determinations. Enter under column 3 the total number of all other multi-claimant determinations not involving labor disputes and individual totals for each time lapse interval.
6. Comments. Explain in the comments area significant variations in time lapse in nonmonetary determinations from levels in the prior period or the same period one year ago.
    - a. Administrative Factors. Describe administrative factors, such as changes in operating procedures, issuance of rules and regulations, and staff turnover. These may affect data reported in such a way that they cannot be compared with data from prior reports or with current reports from other state agencies.
    - b. Legal Factors. Describe legal factors, such as new laws or policies. These may affect data reported in such a way that they cannot be compared with data from prior reports or on current reports from other state agencies.
    - c. Economic Factors. Describe economic factors which may affect data reported in such a way that conditions will be reflected in any of the tabulations. Cover such factors affecting nonmonetary determinations time lapse, e.g., mass or prolonged unemployment.

#### G. Checking the Report

1. Single Claimant Determinations.
  - a. The total for each column should equal the sum of all time lapse intervals within the column.
  - b. Column 1 should equal the sum of columns 2, 3 and 4.
2. Multi-claimant Determinations.
  - a. The total for each column should equal the sum of all time lapse intervals within the column.
  - b. Column 1 should equal the sum of columns 2 and 3.

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# UI REPORTS HANDBOOK NO. 401

## ETA 9054 Appeals Time Lapse

### A. Facsimile of Form

#### ETA 9054L - LOWER AUTHORITY APPEALS TIME LAPSE

STATE	REGION	REPORT FOR PERIOD ENDING		
Time Lapse (Days)		Total	Intrastate	Interstate
Total				
<=30				
31-45				
45-60				
61-75				
76-90				
91-120				
>120				

#### ETA 9054H - HIGHER AUTHORITY APPEALS TIME LAPSE

Time Lapse (Days)	Total	Intrastate	Interstate
Total			
<=45			
46-60			
61-75			
76-90			
91-120			
121-150			
151-180			
181-210			
211-240			
241-270			
271-300			
301-330			
331-360			
>360			

Comments:

**OMB No.:** 1205-0359      **OMB Expiration Date:** 11/30/2010      **OMB Burden Hours:** 30 Minutes

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

## UI REPORTS HANDBOOK NO. 401

### ETA 9054 Appeals Time Lapse

#### **B. Purpose**

The ETA 9054 report contains monthly information on the time it takes states to issue lower authority and higher authority appeals decisions from the date the request for a lower authority hearing or a higher authority appeal is filed to the date on the decision.

#### **C. Due Date and Transmittal**

The report is due in the ETA National Office on the 20th of the month following the month to which the data relates. This report will be transmitted electronically.

#### **D. General Reporting Instructions**

Appeals Time Lapse measures require that the state report the universe of all appeals to derive counts of the number of records for both Intrastate and Interstate claims. Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

##### 1. Lower Authority Appeals Time Lapse

- a. Includes remanded and reopened cases. If a case is remanded from higher authority appeals for a new hearing and decision by the lower authority, time lapse begins on the date the case is remanded from the higher authority.
- b. Excludes episodic claims programs such as Extended Benefits, Disaster Unemployment Assistance, and Trade Readjustment Allowances.

##### 2. Higher Authority Appeals Time Lapse

- a. Includes remanded and reopened cases. If a case is remanded or reopened to the lower authority for additional evidence and will be returned to the higher authority for a decision, the higher authority time lapse measurement continues without interruption. If a case is remanded to the lower authority for a new hearing and decision, the higher authority time lapse stops at that point because it is considered a decision.
- b. Excludes episodic claims programs such as Extended Benefits, Disaster Unemployment Assistance, and Trade Readjustment Allowances.

#### **E. Definitions**

Definitions, unless otherwise specified in these instructions, will follow the definitions for the ETA 5130 found elsewhere in this handbook.

## UI REPORTS HANDBOOK NO. 401

### ETA 9054 Appeals Time Lapse

1. Date Appeal Filed. Generally, this will be date on which an appeal was filed by mail or in person. State law may consider a dated postmark or dated private postal meter to be the date of filing. However, a dated postmark is frequently not available. In this case, a date on the appeal request should be used. If this is also not available, then the date one day prior to receipt by the agency may be used. The agency authorized to accept appeals may be the local office, the lower or higher authority appeals unit, or any other agency or person authorized to accept appeals on behalf of the appeals authority.
2. Decision Date. The date the decision was mailed to the interested parties concerned.

#### F. Item by Item Instructions

Enter the total number of lower authority and higher authority appeals decisions issued for the report period in the appropriate Intrastate or Interstate column and individual totals for each time lapse interval.

1. All Intrastate/Interstate Lower Authority Appeals Time Lapse.
  - a. Column 1, Total Decisions. Enter under column 1 the total number of all Intrastate and Interstate lower authority appeals decisions and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2 and 3.
  - b. Column 2, Intrastate Decisions. Enter under column 2 the total number of all Intrastate lower authority appeals decisions and individual totals for each time lapse interval.
  - c. Column 3, Interstate Decisions. Enter under column 3 the total number of all Interstate lower authority appeals decisions and individual totals for each time lapse interval.
2. All Intrastate/Interstate Higher Authority Appeals Time Lapse.
  - a. Column 1, Total Decisions. Enter under column 1 the total number of all Intrastate and Interstate higher authority appeals decisions and individual totals for each time lapse interval. Each total reported in this column equals the sum of columns 2 and 3.
  - b. Column 2, Intrastate Decisions. Enter under column 2 the total number of all Intrastate higher authority appeals decisions and individual totals for each time lapse interval.
  - c. Column 3, Interstate Decisions. Enter under column 3 the total number of

## UI REPORTS HANDBOOK NO. 401

### ETA 9054 Appeals Time Lapse

all Interstate higher authority appeals decisions and individual totals for each time lapse interval.

3. Comments. Explain in the comments area significant variations in time lapse in lower and higher authority appeals decisions from levels in the prior period or the same period one year ago.
  - a. Administrative Factors. Describe administrative factors, such as changes in operating procedures, issuance of rules and regulations, staff turnover, change in administrative policies, precedent decisions, and increase or decrease in initial determinations, which may affect data reported in such a way that they will lack comparability with the data on prior reports or on current reports submitted by other state agencies.
  - b. Legal Factors. Describe legal factors, such as new laws or amendments or change in interpretation of existing laws, which may affect the data reported in such a way that they cannot be compared with data from prior reports or on current reports from other state agencies.
  - c. Economic Factors. Describe economic factors which may affect data reported.

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## UI REPORTS HANDBOOK NO. 401

### ETA 9055 Appeals Case Aging

#### A. Facsimile of Form

##### ETA 9055L - LOWER AUTHORITY APPEALS, CASE AGING

STATE	REGION	REPORT FOR PERIOD ENDING
<b>Time Lapse Days</b>		<b>Appeals</b>
<b>Total Pending Cases</b>		
<=25		
26-40		
41-90		
91-120		
121-180		
181-360		
>360		
		<b>Time Lapse (Days)</b>
<b>Average Age</b>		
<b>Median Age</b>		

Comments:

##### ETA 9055H - HIGHER AUTHORITY APPEALS, CASE AGING

STATE	REGION	REPORT FOR PERIOD ENDING
<b>Time Lapse Days</b>		<b>Appeals</b>
<b>Total Pending Cases</b>		
<=40		
41-70		
71-120		
121-180		
181-360		
>360		
		<b>Time Lapse (Days)</b>
<b>Average Age</b>		
<b>Median Age</b>		

Comments:

**OMB No.:** 1205-0359      **OMB Expiration Date:** 11/30/2010      **OMB Burden Hours:** 60 Minutes  
**OMB Burden Statement:** These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

## B. Purpose

The ETA 9055 report gathers monthly information on the inventory of lower authority and higher authority single claimant appeals cases that have been filed but not decided. Appeals case aging provides information about the number of days from the date an appeal was filed through the end of the month covered by the report. Also included are the average and median ages of the pending single claimant appeals cases.

## C. Due Date and Transmittal

The report is due in the ETA National Office on the 20th of the month following the month to which the data relates. This report will be transmitted electronically.

## D. General Reporting Instructions

Appeals Case Aging measures require states to report data on the universe of all single claimant appeals cases that have not been decided prior to the end of the reporting period. Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

1. Pending Lower Authority Single Claimant Appeals Case Aging.
  - a. Includes all lower authority single claimant appeals cases, including those remanded by the higher authority for a hearing and decision and reopened appeals cases not decided at the end of the month.
  - b. Excludes episodic claims programs such as Extended Benefits, Disaster Unemployment Assistance, and Trade Readjustment Allowances. Also excludes pending multi-claimant appeals cases (See F.3.d. below for further instructions about pending multi-claimant appeals cases).
2. Pending Higher Authority Single Claimant Appeals Case Aging.
  - a. Includes all higher authority single claimant appeals cases, including remanded and reopened appeals cases, not decided at the end of the month. An appeals case that has been remanded to the lower authority for additional evidence and will be returned to the higher authority for a decision is reported in this inventory. An appeals case that has been remanded to the lower authority for a new hearing and decision, is not a pending higher authority appeals case and should not be counted as such.
  - b. Excludes episodic claims programs such as Extended Benefits, Disaster Unemployment Assistance, and Trade Readjustment Allowances. Also excludes pending multi-claimant appeals cases (See F.3.d. below for further instructions about pending multi-claimant appeals cases).

## UI REPORTS HANDBOOK NO. 401

### ETA 9055 Appeals Case Aging

#### E. Definitions

Definitions, unless otherwise specified in these instructions, will follow the definitions for the ETA 5130 found elsewhere in this handbook.

1. Pending Single Claimant Appeals Case Age.

The age of an appeals case is the date of the last day of the month being reported minus the date the appeal was filed.

2. Average Age of Pending Single Claimant Appeals Cases.

The total age of all pending appeals cases (lower or higher authority) divided by the total number of pending lower or higher authority appeals cases.

3. Median Age of Pending Single Claimant Appeals Cases.

If all of the pending appeals cases (lower or higher authority) are ranked from the lowest to the highest age, the median is the age of the case at the midpoint of the ranked cases. If there are an odd number of cases ( $n$ ), the median is the age of the  $[(n+1)/2]th$  case. If there are an even number of cases ( $n$ ), the median is the value midway between the age of the  $(n/2)th$  case and the  $[(n/2)+1]th$  case.

#### F. Item by Item Instructions

Enter the number of single claimant appeals cases that fall within each category.

1. Age of Pending Lower Authority Single Claimant Appeals Cases.

a. Total Pending Lower Authority Single Claimant Appeals Cases. Enter in the "Total" column of Section A, the total number of pending lower authority single claimant appeals cases and the individual totals for each pending appeals case age interval.

2. Age of Pending Higher Authority Single Claimant Appeals Cases.

a. Total Pending Higher Authority Single Claimant Appeals Cases. Enter in the "Total" column of Section B, the total number of pending higher authority single claimant appeals cases and the individual totals for each pending appeals case age interval.

3. Comments. Explain in the comments area significant variations in case aging in lower and higher authority appeals cases not decided from levels in the prior period or the same period one year ago. In response to Item d. below, describe in the "Comments" section the inventory, if any, of pending multi-claimant appeals cases at the end of the reporting period. Pending multi-claimant appeals cases should not be reported in Section A or B.

## UI REPORTS HANDBOOK NO. 401

### ETA 9055 Appeals Case Aging

- a. Administrative Factors. Describe administrative factors, such as changes in operating procedures, issuance of rules and regulations, staff turnover, change in administrative policies, and increase or decrease in initial determinations, which may affect data reported in such a way that they will lack comparability with the data on prior reports or on current reports submitted by other state agencies.
- b. Legal Factors. Describe legal factors, such as new laws or amendments or change in interpretation of existing laws, which may affect the data reported in such a way that they cannot be compared with data from prior reports or on current reports from other state agencies.
- c. Economic Factors. Describe economic factors which may affect data reported.
- d. Pending Multi-Claimant Appeals Cases. Describe the inventory of pending lower and higher authority multi-claimant appeals cases.

For example:

At lower authority there are 3 groups of multi-claimant appeals cases pending; in one group, there are 150 claimants, in a second group, there are 40 claimants, and in a third group, there are 500 claimants. At higher authority, there is one group of multi-claimant appeals cases pending, and in that group, there are 250 claimants.

UI REPORTS HANDBOOK NO. 401

ETA 9056 Nonmonetary Determination Quality Review

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# UI REPORTS HANDBOOK NO. 401

## ETA 9056 Nonmonetary Determination Quality Review

### A. Facsimile of Form

#### ETA 9056 - NONMONETARY DETERMINATION QUALITY DATA COLLECTION INSTRUMENT

	1. IDENTIFICATION # 00000 (5-digit sample sequence) <b>(skeleton field)</b>		
	2. ISSUE CODE (2-digit code) <b>(skeleton field)</b>		
	3. CASE MATERIAL FOUND? (Y/N) (If "N", remaining elements are left blank)		
	4. DATE ON DETERMINATION: (mmddyyyy) <b>(skeleton field)</b>		
	5. CORRECT DATE ON DETERMINATION? (Y/N)		
	6. CORRECTED DATE ON DETERMINATION: (mmddyyyy)		
	7. CORRECT ISSUE CODE? (Y/N) (If "Y", then item 8 is blank)		
	8. IF ITEM 7 IS "N", ENTER THE CORRECT CODE FROM BELOW. (If no issue existed, enter "00"; if a nonmonetary redetermination, enter "01")		
	<b>SEPARATION</b>	<b>NON-SEPARATIONS</b>	<b>MULTI-CLAIMANT</b>
	10 Quit 20 Discharge (MC)	30 Able/Available 31 Reporting Requirements 40 Work Search 50 Disq/Ded. Income 60 Refusal of Work; Failure to Apply/Accept Referral 70 JS Registration 73 Profiling	80 School Employee 81 Alien 82 Athlete 83 Unemployment Status 84 Seasonality 85 Removal of DQ 86 Fraud Administrative Penalty
			90 Labor Dispute 99 Multi-Claimant (Other)
	9. INTRASTATE CLAIM? (Y/N)		
	10. PROGRAM TYPE:    UI    UCFE    UCX		
	11. NONMONETARY DETERMINATION OUTCOME: <u>A</u> LLOWED <u>D</u> ENIED		
	12. OUTCOME REPORTED CORRECTLY? (Y/N)		
	13. SWA USE ONLY		
	14. W/E DATE OF FIRST WEEK AFFECTED BY DETERMINATION: (mmddyyyy) <b>(skeleton field)</b>		
	15. CORRECT WEEK ENDING DATE? (Y/N)		
	16. CORRECTED WEEK ENDING DATE (blank if item 15 is "Y"): (mmddyyyy)		
	17. ISSUE DETECTION DATE: (mmddyyyy)		
	18. CORRECT ISSUE DETECTION DATE? (Y/N)		
	19. CORRECTED ISSUE DETECTION DATE (blank if item 18 is "Y"): (mmddyyyy)		
	20. CLAIMANT INFORMATION: <u>A</u> dequate=15, <u>I</u> nadequate=10, <u>N</u> ot Obtained=0		
	21. EMPLOYER INFORMATION: <u>A</u> dequate=15, <u>I</u> nadequate=10, <u>N</u> ot Obtained=0, NA( <u>X</u> )=15		
	22. INFO/FACTS FROM OTHERS: <u>A</u> dequate=15, <u>I</u> nadequate=10, <u>N</u> ot Obtained=0, NA( <u>X</u> )=15		
	23. LAW/POLICY: <u>M</u> eets=45, <u>Q</u> uestionable=30, Does not meet ( <u>W</u> )=0		
	24. WRITTEN DETERMINATION: <u>A</u> dequate=10, <u>I</u> nadequate=5, <u>W</u> rong (W)=0 (If "W" then #23 cannot be "M")		

Comments:

## UI REPORTS HANDBOOK NO. 401

### ETA 9056 Nonmonetary Determination Quality Review

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

## B. Purpose

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## UI REPORTS HANDBOOK NO. 401

### ETA 9056 Nonmonetary Determination Quality Review

The ETA 9056 report provides quarterly information on the quality of nonmonetary determinations that state agencies issue to claimants and employers in the report period. Intrastate and Interstate single-claimant and multi-claimant separation and nonseparation nonmonetary determinations are included in the report. Nonmonetary determinations made by organizational units such as Benefits Accuracy Measurement (BAM) and Benefit Payment Control (BPC) are also included in the report. Notices of overpayments on uncontested earnings detected by any method (e.g., crossmatch) are excluded from the report.

#### C. Due Date and Transmittal

The report is due in the ETA National Office on the 20th of the second month following the quarter to which the data relates. This report will be transmitted electronically.

#### D. General Reporting Instructions

Each state will select a sample (see ETA Handbook 301, Benefits Timeliness and Quality (BTQ) Nonmonetary Determinations Quality Review (revised July, 2005), Appendix A) of nonmonetary determinations from the nonmonetary determinations time lapse universe for the preceding quarter. The sample universe is based on the time lapse data reported on the ETA 9052 for each month in the review quarter. Basic information or "skeleton" data that uniquely identifies each determination selected must be entered via the state's Sun machine into the UIRR data base by the 15<sup>th</sup> of the first month following the end of the review quarter. Skeleton data will either be automatically loaded as part of the state's sample selection program or will be manually entered into the database. Once all skeleton data is entered, the state will invoke a sample validation program to verify that the determinations selected meet the parameters of a valid sample. If the selected sample meets validation, each nonmonetary determination will then be evaluated according to the instructions provided in ETA Handbook 301. After the quality evaluation is complete, the official results will be entered into the database. The system will automatically compute the quality scores when all data has been entered.

**Nonmonetary determinations from the following categories are included in the quality review:**

1. Intrastate UI, Unemployment Compensation for Federal Employees (UCFE), Unemployment Compensation for Ex-Servicemen (UCX), Combined Wage Claims (CWC)
2. Interstate UI, UCFE, UCX, CWC claims
3. Multi-claimant Labor Dispute Determinations
4. Multi-claimant "Other" Determinations, i.e., determinations which do not involve a labor dispute but affect a class of claimants from the same

## UI REPORTS HANDBOOK NO. 401

### ETA 9056 Nonmonetary Determination Quality Review

employer with a common issue

5. BPC/BAM generated determinations
6. Other inclusions are described in HB 401, ETA 207, Nonmonetary Determination Activities (See E. 1(a) and 3(a) – (l))

#### The following categories are excluded from the quality review:

1. Excludes overpayment notices on uncontested earnings detected by any method (e.g., crossmatch).
2. Excludes episodic claims programs such as Extended Benefits (EB), Disaster Unemployment Assistance (DUA), and Trade Readjustment Allowances (TRA).
3. Excludes Nonmonetary Redeterminations.
4. Other exclusions are described in HB 401, ETA 207, Nonmonetary Determination Activities (see E.b)

#### E. Definitions

Definitions, unless otherwise specified in these instructions, are the same definitions used for the ETA 207, ETA 9050 and ETA 9052 reports found elsewhere in this Handbook and in ETA Handbook 301.

#### F. Data Collection Elements

1. Identification Number. This is a unique 5 digit number, beginning with 00001, assigned automatically by the state system to identify the nonmonetary determinations selected for review by state random selection software. This is a skeleton data item.
2. Issue Code. Enter the appropriate issue code. This is a skeleton data item.

Code	Separation Issue
10	Voluntary Quit
20	Discharge

Code	Nonseparation Issue
30	Able / Available
31	Reporting Requirements
40	Work Search
50	Disqualifying or Deductible Income
60	Refusal of Suitable Work / Failure to Apply / Accept Referral
70	Job Service Registration
73	Worker Profiling and Reemployment Services

## UI REPORTS HANDBOOK NO. 401

### ETA 9056 Nonmonetary Determination Quality Review

80	School Employee Between / Within Terms
81	Alien Status
82	Professional Athlete
83	Unemployment Status
84	Seasonality
85	Removal of All or Part of a Disqualification
86	Fraud Administrative Penalties
90	Labor Dispute
99	Other Multi-claimant

For detailed instructions on data collection items 3 through 24, refer to ETA Handbook 301, Chapter V.

#### **G. Checking the Report**

The electronic reporting system will edit the data at three different stages: 1) If possible, each element or field in the report is validated before data entry can proceed to the next, 2) saving the report for each sampled case invokes the system's Review-Edit program which compares each element against any conditions it is required to meet including any arithmetic operations. The program will list any errors or warnings generated. If possible, the user is advised to resolve "errors" before saving the data because 3) prior to transmitting the data, the system will run the same Review-Edit program.

The transmission function will generate an exception report identifying the case and the items that failed the edit(s). All cases failing the review edit must be corrected by the report date to allow transmission to the National Office. All cases must pass the review edit, otherwise, case transmission will not occur.

Detailed instructions on edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

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# UI REPORTS HANDBOOK NO. 401

## ETA 9057 Lower Authority Appeals Quality Review

### A. Facsimile of Form

#### ETA 9057 - LOWER AUTHORITY APPEALS QUALITY REVIEW STATE EVALUATION SCORE SHEET

STATE	REGION	REPORT FOR PERIOD ENDING				
Case Identification Number:						
Docket Number:						
		Good	Fair	Unsatisfactory	Did Not Occur	Score
1.	Explanation	G	F	U	D	
2.	Opening Statement	G	F	U		
3.	Exhibits	G	F	U	D	
4.	Witness Order	G	F	U	D	
5.	Order of Witnesses' Testimony	G	F	U		
6.	Question Own Witness*	G	F	U	D	
7.	Clear Language by H.O.	G		U		
8.	Compound Questions	G	F	U		
9.	Clarified Testimony	G	F	U	D	
10.	Confrontation*	G	F	U	D	
11.	Cross-Examination*	G	F	U	D	
12.	Repetitive Testimony	G	F	U		
13.	Leading Questions	G	F	U		
14.	Interruptions	G	F	U	D	
15.	"Off the Record"	G	F	U	D	
16.	Interpreters	G		U	D	
17.	Continuance	G	F	U	D	
18.	Conclusion of Hearing	G	F	U		
19.	Within Scope of Notice*	G	F	U		
20.	Gratuitous Comments	G	F	U		
21.	Attitude	G	F	U		

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### ETA 9057 Lower Authority Appeals Quality Review

22.	Bias and Prejudice*	G		U		
23.	Obtain Available Evidence*	G	F	U		
24.	Issue Statement	G		U		
25.	Findings Supported by Evidence*	G		U		
26.	Findings of Fact*	G	F	U		
27.	Necessary Conclusions Included	G		U		
28.	Logical Reasoning	G	F	U		
29.	Form and Style	G	F	U		
30.	Decision States Legal Effect	G	F	U		
31.	Understandable Decision	G	F	U		
32.	Percent Score:					
33.	Intent of Decision	A - Allow	D - Deny			
34.	Effect on Appealed Determ.	A - Affirm	R - Reverse	M - Modify		
35.	Date of Decision					
36.	Date Implemented:					
37.	Case Material Status	OK - OK TI - Tape Inaudible TM - Tape Missing	DM - Documents Missing IM - Tape Inaudible and Documents Missing MM - Tape and Documents Missing			
38.	Time Required for Evaluation of Case in Minutes					

Comments:

**OMB No.:** 1205-0359      **OMB Expiration Date:** 11/30/2010      **OMB Burden Hours:** 210 Minutes  
**OMB Burden Statement:** These reporting instructions have been approved under the Paperwork reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is mandatory under SSA 303(a)(6). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Security, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

**B. Purpose**

The ETA 9057 report provides quarterly information on the quality of state agencies' single and two party lower authority appeals hearings and decisions in the report period.

**C. Due Date and Transmittal**

The report is due in the ETA National Office on the 20th of the second month following the quarter to which the data relates. This report will be transmitted electronically.

**D. General Reporting Instructions**

Each State will select a sample of lower authority appeals hearings for a quarter. (See Appendix A.) Basic, or skeleton, information about each hearing will be entered into the system. Each one of these hearings will then be evaluated according to instructions provided in ETA Handbook 382, 2<sup>nd</sup> Edition. The results of the evaluation will be entered into the system along with the skeleton data. The system will compute scores when all cases are completed.

- Includes single and two party appeal hearings.
- Excludes withdrawals, dismissals, and episodic claims programs such as Extended Benefits, Disaster Unemployment Assistance, and Trade Readjustment Allowances.

**E. Definitions**

Definitions, unless otherwise specified in these instructions, will follow the definitions for the ETA 5130 report found elsewhere in this handbook and in ETA Handbook 382, 2nd Edition.

**F. Item by Item Instructions**

Instructions below are specific to the form. Specific instructions on the case evaluation criteria are in Handbook 382, Second Edition. For items 1 through 31 on the state Evaluation Score Sheet, enter the appropriate score marked by the evaluator.

1. Case ID Number. This is a unique 5 digit number, beginning with 00001, assigned by the state to identify the appeals hearing selected for review by state random selection software. This is a skeleton data item.
2. Docket Number. Enter the state designation for a case. Twelve characters

## UI REPORTS HANDBOOK NO. 401

### ETA 9057 Lower Authority Appeals Quality Review

are provided. If state designations are larger than this, then some truncation, abbreviation or other alteration must be made, as long as the designation is unique. This is a skeleton data item.

3. Hearing Officer. Enter an ID number or other designation for the hearing officer.
4. Evaluator. Enter an ID number or other designation for the individual who did the evaluation.
5. Item 32, Total Points Scored (Optional). If desired, enter the sum of the points scored in the column. This can then be compared to the scores calculated by the computer to assure proper data entry.
6. Item 33, Intent of Decision. From the evaluation sheet, enter the appropriate code to indicate the intent of the decision to allow or deny benefits.
7. Item 34, Effect on Appealed Determination. From the evaluation sheet, enter the appropriate code indicating the effect the decision had on the prior status of the nonmonetary determination that was appealed.
8. Item 35, Date Decision Issued. From the evaluation sheet, enter the date the decision was mailed using a mm/dd/yyyy format. This is a skeleton data item.
9. Item 36, Date Decision Implemented. Enter the date the decision was implemented using a mm/dd/yyyy format.
10. Item 37, Case Material Status. Enter the status of case materials as indicated on the State Evaluation Score Sheet.
11. Item 38, Time Required for Evaluation. Enter the time required to evaluate the case in minutes format.

#### G. Checking the Report

The electronic reporting system will edit the data at three different stages. First, if possible, each element or field in the report is validated before data entry can proceed to the next. Second, saving the report for each sampled case invokes the system's Review-Edit program which compares each element against any conditions it is required to meet including any arithmetic operations. The program will list any errors or warnings generated. The user is advised to resolve "Errors" before saving the data. Thirdly, prior to transmitting the data, the system will run the same Review-Edit program. If the "Errors" are not resolved, the errors can be saved but not transmitted to the National Office.

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### ETA 9057 Lower Authority Appeals Quality Review

The transmission function will generate an exception report identifying the case and the items that failed the edit(s). All cases failing the review edit must be corrected by the report date to allow their transmission to the National Office. All cases must pass the review edit before transmission. If these steps are not followed, case transmission will not occur.

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