

UNEMPLOYMENT INSURANCE
DISASTER UNEMPLOYMENT ASSISTANCE HANDBOOK**REPORTING REQUIREMENTS****I**NTRODUCTION

1. **General Reporting Requirements.** State agencies are required to furnish to the Secretary such information and reports and make such studies as the Secretary decides are necessary or appropriate for carrying out the purposes of the DUA program. These reports and studies include, but are not limited to, monthly activity reporting on disaster payment activities (ETA 90-2), monthly UI Financial Transaction Summary (ETA 2112 Report) (OMB No. 1205-0154), administrative costs and benefits on the Financial Status Report (SF-269) (OMB No. 0348-0039) (both of these financial reports are discussed in Chapter IX), and a final narrative summary report to the Secretary. This Chapter provides instructions to be followed by the States in reporting for the DUA program. (See 20 CFR 625.16 and 625.19)

NOTE: Unless otherwise indicated, all data fields requiring a date on the reports must be completed in a MM/DD/YYYY format.

2. Definitions, for Reporting Purposes

a. **Effective Date of an Initial Application.** The first day of an applicant's first week of unemployment which results from a major disaster, and which starts with the first week following the date on which the major disaster began, as specified in the disaster notification. (See 20 CFR 625.2(e) and (f).)

b. **Eligible.** Meets qualifications for receiving disaster unemployment assistance 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 have DUA activities included in any DUA reports until such time as the individual meets the eligibility requirements for DUA.

ETA 90-2**3. ETA Form 90-2, DUA Activities Under the Stafford Act.**

a. **Purpose and Use.** This report provides information on the nature and scope of activities performed in administering provisions of Section 410 of the Stafford Act. Its workload items are also used with fiscal reports to estimate the cost of administering the Stafford Act.

b. Facsimile

Disaster Unemployment Assistance
Activities

U.S. Department of Labor
Employment and Training Administration

This Report is required in accordance
with 20 CFR Part 625

OMB Approval No. 1205-0051
Expiration Date: 06/30/2008

REPORT PERIOD ENDED	STATE	FEMA DR. NO	REPORT TYPE.	DECLARATION DATE	ANNOUNCEMENT DATE

Section A. Application and Payment Activities

CATEGORY	LINE NO.	INITIAL APPLICATIONS	NO. DETERMINED ELIGIBLE	FIRST PAYMENTS	WEEKS CLAIMED	WEEKS COMP.	AMOUNT COMPENSATED
		1	2	3	4	5	6
Total	101						\$
Self-employed	102						

Section B. Denial and Appeals Activity

CATEGORY	LINE NO.	WEEKS OF DUA DENIED	APPEALS DISPOSED		APPEALS DISPOSED		FAVOR OF APPELLANT	
			STATE	RA	STATE	RA	STATE	RA
			7	8	9	10	11	12
Total	201							
Self-employed	202							

Section C. Overpayment Activity and Administration

CATEGORY	LINE NO.	OVERPAYMENTS			ADMINISTRATIVE COSTS		
		CASES	WEEKS	AMOUNT	PERSONNEL	NPS	AS&T
		14	15	16	17	18	19
TOTAL	301			\$	\$	\$	\$
FRAUD	302			\$			

SIGNATURE	TITLE
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Persons are not required to respond to this collection of information unless it displays a currently valid OMB control number. Respondents' obligation to reply to these reporting requirements is required to obtain or retain benefits and is mandatory per 20 CFR 625. Public reporting burden for this collection of information is estimated to average 1/6 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of the collection of information, including suggestions for reducing this burden, to the Employment and Training Administration, Office of Workforce Security, Department of Labor, Room S-4231, 200 Constitution Avenue, NW, Washington, DC 20210 (Paperwork Reduction Project 1205-0051)

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Rev. Jan. 2004

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 and Transmittal

- (1) 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.)
- (2) 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-DUIO
Frances Perkins Building
200 Constitution Avenue, N.W.
Washington, D.C. 20210

One copy should be sent to the appropriate 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 Federal Supplementary Compensation, or any other program included and/or defined under 20 CFR 625.2(d).
- (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 made to replace DUA payments which were canceled for valid reasons should not be counted as first payments, or weeks compensated; and the amount of such reissued payments should not be included in the amount compensated.

f. Heading of Form ETA 90-2.

(1) **Report Period Ended.** Enter the month; last day of the month to which data relate; 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 DR 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 (i)nterim if the disaster workload and/or payment activity on going. Enter "F" for (f)inal if the disaster workload and/or payment activity ceased.

(5) **Declaration Date.** Enter the date the President declared the major disaster; e.g., 10/15/1998. (This was formerly entitled announcement date on old form ETA 90-2.)

(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., 10/18/1998.

g. Preparation of the ETA 90-2 Data Items.

NOTE: For columns 1, 2, and 8 through 13, the entry in the line labeled "Total" (lines 101 and 201) should be distributed, as applicable, to the next line (lines 102 and 202) reflecting the number of self-employed individuals included in the "Total".

(1) **Column 1, Initial Applications.** Enter the number of initial applications for DUA taken during the report period. This will equal the number of forms used by the State agency for filing 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.

(2) **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 (see Chapter III, Section 2. in this Handbook).

(3) **Column 3, First Payments.** Enter the number of payments which represent, for any individual, the first week for which assistance is paid in his/her disaster assistance period.

(4) **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 claim forms or weekly claims filed by telephone or other means received during the report period. If claims are filed other than weekly, the number of weeks will equal number of weeks claimed on forms or by telephone or other means during the report period.

(5) **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.

(6) **Column 6, Amount Compensated.** Enter the amount of DUA funds represented by the weeks reported in column 5.

(7) **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 or, when these do not exist, are those used in the State UI program.

(8) **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.

(9) **Columns 10 and 11, Appeals Disposed.** Enter in columns 10 and 11, the total number of cases decided during the month by authority level. In line 202, provide the number of cases disposed of involving self-employed individuals.

(10) **Columns 12 and 13, Favor of Appellant.** Enter in columns 12 and 13, the number of appeal decisions of those reported 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.

(11) **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 made in overpayment, represented by the cases reported in column 14, with a sub-breakout of the total weeks entered in line 301 for weeks of fraud to be entered in line 302.

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.

(12) **Columns 17, 18 and 19, Administrative Costs.** If available on a monthly basis, entries are needed in these items to better 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 individuals directly involved in the DUA program.

In **column 18,** NPS, enter the total dollars expended for non-personal service costs (e.g. supplies, travel, equipment, etc.).

Enter in **column 19**, AS&T, enter the total PC and NPS costs for staff performing AS&T functions to support the staff reported in column 17.

4. Checking the Report.

a. General Checks.

Entries should be made for all required items. If the item is inapplicable, or if applicable but no activity corresponding to the items occurred during the report period, a zero should be entered. A report containing missing data 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.

b. Arithmetic Checks.

(1) 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.

(2) 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.

ETA 2112

5. Monthly UI Financial Transaction Summary (ETA 2112 Report). If a State utilizes its benefit payment account or clearing account for processing DUA transactions (benefits), the ETA 2112 (OMB No. 1205-0154) must reflect such transactions. The DUA benefit deposits should be shown by the agency as a deposit on lines 24/25 with an explanation of the entries under the "Comments" portion of the report. The DUA benefit disbursements should be shown as a disbursement on line 45, along with appropriate comments. (*See ETA Reports Handbook No. 401, Section II-1-1, for instructions on preparing Form ETA 2112.*) This instruction is not applicable to the South Pacific Island jurisdictions as they have no State UI systems or accounts.

SF-269

6. Financial Status Report/Administrative Costs and Benefits (SF-269). States, including the South Pacific Island jurisdictions, must account for each disaster separately by administrative costs and benefits. All jurisdictions should use the SF-269 (OMB No. 0348-0039) to report these costs through the appropriate fiscal offices. (For additional information and/or instructions, see OMB Circular A-102, "Grants and Cooperative Agreements with State and Local Governments", as prescribed for use by the Office of Management and Budget.) The SF-269, for each disaster, will be submitted quarterly until the disaster is closed out. For instructions on reporting SF 26 financial data via Enterprise Information Management System (EIMS), refer to TEGL No. 17-00 and TEGL 17-01.

FINAL REPORT

7. Final Report.

a. **Purpose.** The final report to the Secretary, as required by 20 CFR 625.19(b), is designed to summarize in narrative form what took place during a specific disaster. It will also be used to recap the expenditure of funds for DUA benefit payments as well as for administration of the DUA program for the major disaster, and what amount of unspent funds, if any, were returned to FEMA.

b. **Due Date and Number of Copies.** Within 60 days following the end of payment activity or the disaster assistance period, the State agency will submit a final report to the Secretary. The State agency will forward this report to the Director, Office of Workforce Security (Attn: DUO), through the appropriate RA.

c. **Preparation of the Report.** (See APPENDIX D -- EXAMPLE OF A "FINAL NARRATIVE REPORT" ON THE DUA PROGRAM). This final summary report shall be in narrative form, and shall contain the following:

- (1) A chronological list of significant events;
- (2) Pertinent statistics about the disaster unemployment assistance provided to the victims;
- (3) Brief statements of major problems encountered;
- (4) Discussion of lessons learned;
- (5) Suggestions for improvement of the program during future major disasters; and
- (6) Summary account of expenditure of funds for DUA benefit payments as well as for administration of the DUA program for the major disaster.