

FOREWORD

The Federal Office of Child Support Enforcement (OCSE), Department of Health and Human Services (HHS), promulgated regulations at 45 CFR section 303.108 regarding “Quarterly Wage and Unemployment Compensation Claims Reporting to the National Directory of New Hires”.

The regulation addresses specifically the dates, format and data elements necessary for states to furnish the quarterly wage and unemployment compensation data to the National Directory of New Hires (NDNH). In developing the regulation, OCSE consulted with representatives from State Child Support agencies, State Workforce Agencies, U.S. Department of Labor, Social Security Administration, Interstate Conference of State Employment Security, and employer groups.

This document, *NDNH Guide for Data Submission*, contains various requirements, which are contained in the regulation.

The regulation addresses requirements on states for submitting quarterly wage and unemployment compensation claims data to the NDNH. The regulation is not applicable to Federal Agencies. The requirement set forth in this document for Federal agencies to submit quarterly wage data to the NDNH was determined based on provisions in the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 and Executive Order 12953 (February 27, 1995).

24.0 DESCRIPTION OF UNEMPLOYMENT INSURANCE COMPONENT

The Unemployment Insurance (UI) component of the NDNH maintains, on a quarterly basis, unemployment insurance information of individuals who have received, or made application for, unemployment benefits as reported from the states. For the purposes of this document, UI is defined as Unemployment Insurance claimant data. The purpose of including UI data in the NDNH is to provide states with the ability to quickly locate information on the address of, and UI compensation being paid to, parents with child support obligations.

24.1 Legislation

Section 453A(g)(2)(B) of the Social Security Act (the Act) requires states “on a quarterly basis, furnish to the NDNH information concerning ... unemployment compensation paid to individuals, by such dates, in such format, and containing such information as the Secretary of HHS shall specify in regulations”.

Section 3304(a)(16) of the Internal Revenue Code of 1986 requires states to furnish unemployment compensation information contained in the records of the state agency administering the unemployment compensation program to the Secretary of Health and Human Services, in accordance with regulations promulgated by the Secretary, as may be

necessary for the purposes of the National Directory of New Hires under section 453(i)(1) of the Act.

Section 303(h)(1)(A) of the Act requires the state agency charged with the administration of the unemployment compensation program, on a reimbursable basis, to disclose quarterly, to the Secretary of Health and Human Services, unemployment compensation claim information, as required pursuant to section 453(i)(1) of the Act, that is contained in the records of such agency.

Section 303(h)(3)(B) defines ‘claim information’ as “information regarding whether an individual is receiving, has received, or has made application for, unemployment compensation, the amount of any such compensation being received (or to be received by such individual), and the individual’s current (or most recent) home address”.

The first reporting period for UI data is October 1, 1997 through December 31, 1997.

Refer to the Appendix J, “PRWORA Sections 313 and 316”, for a reference to the PRWORA law specific to the NDNH.

24.2 Timeframes

There are timeframes associated with the reporting of UI data, the performance of matches, and reporting by the NDNH. Some of the timeframes are requirements of the Social Security Act. Other timeframes are functions of the NDNH System processing. Chart 24-1, “UI Timeframes”, shows the activities associated with UI reporting and their corresponding timeframes.

CHART 24-1: UI TIMEFRAMES	
Activity	Timeframe
State transmittal of UI data to the NDNH	States must transmit UI data within one month after the end of the reporting quarter: <ul style="list-style-type: none"> • January through March data is due no later than April 30. • April through June data is due no later than July 31. • July through September is due no later than October 31. • October through December data is due no later than January 31.
Enter UI data from states into the NDNH	UI data must be entered into the NDNH within two business days of the NDNH System receiving the data.
Return summary and transmittal data, including error reporting, to the state	The NDNH sends transmittal, summary and error data to the submitting state within four business days of the NDNH System receiving the data.
Management information delineating and summarizing each state's submittal data	The NDNH produces reports on a periodic basis.
Compare NDNH and FCR data	NDNH data and FCR data must be cross-matched not less than every two business days.
Report matches from the NDNH and FCR comparison back to the Child Support Enforcement IV-D agency	The FCR must report NDNH and FCR matching information to the IV-D agency within two business days of the match.

25.0 UI DATA REQUIREMENTS

Each state collects UI data and forwards this information to the NDNH. Federal law requires each state to furnish data regarding unemployment insurance by such dates, in such format, and containing such information as the Secretary of HHS specifies in regulations. The states supply claim information, which is already contained in the records of the state agency administering the unemployment compensation program. There is no requirement to collect additional claim information for purposes of the NDNH. In addition, states are only required to furnish the NDNH with claim information that is processed electronically.

25.1 Data Requirements

States should transmit the following data elements to the NDNH:

1. Claimant Name
2. Claimant SSN
3. Claimant Address
4. Claimant Benefit Amount, and
5. Reporting Period.

Refer to the Section 26.1, “UI Record Layouts”, for the specifications for transmitting this data to the NDNH.

DESCRIPTION OF THE DATA ELEMENTS

Claimant Name:	This is the claimant’s first name, middle name or initial, and last name.
Claimant SSN:	This is the 9-digit number SSA assigns to an individual.
Claimant Address:	This is the number, street name or rural route, city, state, and zip code where an individual resides.
Benefit Amount:	This is the gross amount, prior to any deductions, of benefits paid to a claimant during a reporting quarter. This may be zero if an individual has filed for unemployment insurance benefits, but no amount was paid during the reporting quarter, such as when a claim is pending or denied.
Reporting Period:	This is the calendar quarter and year of the UI being reported. Reporting quarter: 1 – January 1 through March 31 2 – April 1 through June 30 3 – July 1 through September 30 4 – October 1 through December 31

25.2 UI Data Source

Within a state, the source of UI information is the state agency charged with the administration of the unemployment compensation program. The state then forwards the claimant information to the NDNH via CONNECT:Direct (C:D).

26.0 UI TRANSMISSION

Each state transmits UI records via SSA's closed-line C:D system. Each transmission must contain three types of records in the following order:

1. UI Transmitter Header Record – This record precedes the UI data records and contains information about the submitter.
2. UI Data Records – These records contain the actual UI data.
3. UI Total Record – This record follows the UI data records and is a summary of the transmission.

26.1 UI Record Layouts

States must transmit the UI data according to the specified record layouts. The general rules that apply to all the record formats are shown below:

1. All data must be in EBCDIC format.
2. All alphabetic data must be upper case.
3. All alphabetic and alphanumeric data must be left justified.
4. All numeric data must be right justified and zero filled.
5. All dates must be in the Year 2000-compliant format of CCYYMMDD.
 - CC represents the century.
 - YY represents the year.
 - MM represents the month and must be a number greater than 00, but less than 13.
 - DD represents the day of the month and must be a valid number for the designated month (e.g., 01-31 for months 01, 03, 05, 07, 08, 10 or 12; 01-30 for months 04, 06, 09, or 11; and 01-29 for the month 02).
6. Name fields cannot include suffixes, such as 'Jr.', 'Sr.' or 'III'.
7. The hyphen is the only special character allowed in the Claimant Name or City fields.
8. All state and territory abbreviations in addresses must be valid U.S. Postal Service abbreviations.
9. All foreign country codes in addresses must be the two-letter FIPS codes assigned to foreign countries. Refer to Appendix D in this *Guide* or to the U.S. Department of Commerce FIPS Code Manual, National Institute of Standards and Technology, FIPS PUB 10-4 (April 1995) to derive this code. In addition, FIPS codes may be found on the Internet at: <http://earth-info.nga.mil/gns/html/fips10-4.html>.
 - Products
 - Other Information – Publications
 - Federal Information Processing Standards Publications (FIPS) Series
 - FIPS Index by Category
 - Data Standards and Guidelines
 - FIPSPUB 6-4 (or 10-4)
 - Index
 - Without HTML Tags
10. If an address is less than 40 characters per line, do not concatenate into one line

System processing requires the completion of all fields in the UI Transmitter Header Record. See Chart 26-1, "UI Transmitter Header Record".

CHART 26-1: UI TRANSMITTER HEADER RECORD

OMB CONTROL NO: 0970-0166 EXPIRATION DATE: 04/30/2007

Field Name	Location	Length	A/N	Comments
Record Identifier	1-2	2	A/N	Required This must contain the characters 'HU'.
Transmitter State Code	3-4	2	A/N	Required This must contain the two-digit FIPS code of the state or territory that is transmitting data to the NDNH. Refer to Appendix C of this <i>Guide</i> or to the Department of Commerce FIPS Code Manual, National Institute of Standards and Technology FIPS PUB 5-2 (April 1995) for a list of these codes. In addition, FIPS codes may be found on the Internet at: http://www.itl.nist.gov/fipspubs/fip5-2.htm
Filler	5-13	9	A/N	Required This will be used in future versions. For the current version this should be all spaces.
Transmission Type	14-15	2	A/N	Required This must contain the characters 'UI'.
Filler	16	1	A/N	Required This will be used in future versions. For the current version this should be all spaces.
Version Control Number	17-18	2	A/N	Required This must contain the numbers '01'. OCSE will notify the states when this field changes.
Date Stamp	19-26	8	N	Required This must contain the transmission date of the UI data to the NDNH. This must be in the Year 2000-compliant format of CCYYMMDD.
Batch Number	27-32	6	N	Required This is a number generated by the transmitting state. Do not repeat batch numbers.

CHART 26-1: UI TRANSMITTER HEADER RECORD				
OMB CONTROL NO: 0970-0166 EXPIRATION DATE: 04/30/2007				
Field Name	Location	Length	A/N	Comments
Filler	33-295	263	A/N	Required This will be used in future versions. For the current version this should be all spaces.

26.1.1 UI DATA RECORD

Although it is desirable to include all data elements in the UI Data Record, it is recognized that this may not be possible initially. The intent of the system is to provide information for locating persons in response to requests from Child Support Enforcement IV-D agencies and to that end, the minimum number of data elements required are those which together constitute a meaningful locate record. A UI Data Record must include a Claimant First Name, Claimant Last Name, Claimant SSN, Reporting Period and the Claimant Address.

System processing requires the completion of the Record Identifier field of the UI Data Record.

CHART 26-2: UI DATA RECORD				
OMB CONTROL NO: 0970-0166 EXPIRATION DATE: 04/30/2007				
Field Name	Location	Length		Comments
Record Identifier	1-2	2	A/N	Required - This must contain the characters 'UI'.
Claimant SSN	3-11	9	N	Required - This must contain a nine-digit SSN. If this field is blank or contains any alphabetic characters, the system rejects the record.
Claimant Name First Name Middle Name Last Name	12-27 28-43 44-73	16 16 30	A A A	Required: At least one character in the First Name and one character in the Last Name If both the first and last names are blank, the system rejects the record. If the Claimant Middle Name is non-blank, it must contain at least one character. No special characters, except hyphens, are allowed.
Claimant Street Address Line (1) Line (2) Line (3)	74-113 114-153 154-193	40 40 40	A/N A/N A/N	Required: Line (1) If an address is less than 40 characters per line, do not concatenate into one line. If a claimant has a foreign address, place the country and foreign zip code in one of the address lines. Use Line (3) for military designation or Canadian Province Code.
Claimant City	194-218	25	A	Required - At least two characters. No special characters, except hyphens, are allowed.
Claimant State	219-220	2	A	Required This must be a valid two-letter U.S. Postal Service abbreviation of a state or territory. Refer to the Appendix C for state and territory abbreviations.
Claimant Zip Code Zip Code (1) Zip Code (2)	221-225 226-229	5 4	A/N A/N	Required: First five-digits This must be a five-digit U.S. Postal Service Zip Code. Zip Code (2) must be either all spaces or all numeric.

CHART 26-2: UI DATA RECORD				
OMB CONTROL NO: 0970-0166 EXPIRATION DATE: 04/30/2007				
Field Name	Location	Length		Comments
Benefit Amount	230-240	11	N	This is the gross amount of benefits, prior to any deductions, paid to a claimant during the reporting quarter. For reporting purposes, the date used should be the file (process) date, rather than the week ending date (WED). The last two positions are decimal places. All zeroes are allowed. Do not include a decimal point as part of this field. Negative values are not allowed.
Reporting Period	241-245	5	N	Required - This is the time period of the UI being reported. For reporting purposes, the date used should be the file (process) date, rather than the week ending date (WED). The format is QCCYY. Q = Reporting quarter: 1 – January 1 through March 31 2 – April 1 through June 30 3 – July 1 through September 30 4 – October 1 through December 31 CC = Century YY = Year
Filler	246-295	50	A/N	This will be used in future versions. For the current version, this should be all spaces.

System processing requires the completion of all fields in the UI Total Record.

CHART 26-3: UI TOTAL RECORD				
OMB CONTROL NO: 0970-0166 EXPIRATION DATE: 04/30/2007				
Field Name	Location	Length	A/N	Comments
Record Identifier	1-2	2	A/N	Required This must contain the characters 'TU'.
Data Record Count	3-13	11	N	Required This must be the number of records in the transmission, including the header and total records.
Filler	14-295	282	A/N	Required This will be used in future versions. For the current version, this should be all spaces.

26.2 Pre-Transmission Editing

Prior to submitting UI data to the NDNH, states should perform edits on the data to ensure compliance with the requirements as outlined in the record layouts. This ensures that the data meets the requirements for acceptance to the NDNH and that the NDNH has accurate and complete information.

26.3 Transmission Errors

When transmitting UI data, there are errors that can occur at the transmission level. Depending upon the type of error, the system: 1) rejects the entire transmission, 2) rejects part of the transmission, or 3) accepts the transmission, but returns a warning code to the submitting agency. If a state receives notice of rejection due to transmission errors (1) and (2) above, correct the information and resubmit the data. Chart 26-4, “UI Transmission Error and Warning Code Table”, lists the error codes at the transmission level. UI data record errors are outlined in Section 27 “UI Data Validation and Verification”.

CHART 26-4: UI TRANSMISSION ERROR AND WARNING CODE TABLE	
Code	Error Message and Description
Transmission Error Codes – Full Transmission Rejected	
5000	The Transmitter Header record is required. The Transmission Header Record must be present at the beginning of each transmission file.
5001	The Transmitter Header Record does not contain the Transmitter State Code.
5002	The Transmitter Header Record does not contain the Version Control Number or has an invalid Version Control Number.
5003	The Transmitter Header Record contains a non-numeric Batch Number. The Transmission Header Record must contain a numeric Batch Number.
5004	The Transmitter Header Record contains a Batch Number that is a duplicate of a previously-received Batch Number. The Transmission Header Record must not contain a Batch Number that is a duplicate of a Batch Number received in a previous transmission from the state or territory within the same calendar year.
Transmission Error Codes – Part of Transmission Rejected	
5005	The Transmitter Header Record is not the first record. All records are rejected until a Transmitter Header Record is found.
Transmission Warning Codes – Transmission Accepted	
5006	The Transmission Type in the Transmitter Header Record must equal ‘UI’.
5007	The Transmitter Header Record does not contain the Date Stamp or the Date Stamp is an invalid date.
5008	The Total Record is missing.
5009	The Data Record Count is non-numeric.
5010	The Data Record Count does not equal the count of the records received.

26.4 Resubmittal Process

The re-submittal process is identical to the standard submittal process. States resubmit all corrected records and transmissions in the standard formats and via C:D. Submitters that are unable to correct the records or identify the transmission problems can contact technical

support for assistance. Refer to the Section 3.0 “Technical Support” for a list of the available technical support options.

27.0 UI DATA VALIDATION AND VERIFICATION

Accurate data is essential to ensure the integrity of the NDNH database. UI data transmitted by a state undergoes various validation and verification processes. Submitters receive information regarding validation and verification within four business days. Refer to Section 29.0, “UI Output to Submitters”, for more detail regarding return data.

27.1 Validation Process

NDNH edits incoming data at the various levels from file transmission to the individual record.

27.1.1 TRANSMISSION LEVEL EDITING

When a file is received by the NDNH, the Node ID in the dataset name for states is verified to determine if the submission is from a valid user. If the Node ID is not valid, the file will be suspended and the submitter will be contacted.

After the Node ID is validated, the Submitter ID in the Header Record is evaluated against a Master Table to determine the authenticity of the submission. If the Submitter ID is not registered in the Master Table, the batch will be suspended and the submitter will be contacted.

27.1.2 BATCH EDITING

All files that pass the transmission level editing are evaluated to ensure that the required records and data values in the header and file are present. If the required elements or records are missing, the transmission will be rejected. The edits will allow part of or the entire transmission to be processed if minor errors occur. Chart 27-1, “UI Batch Editing”, describes the types of edits performed and the output at the submission level.

CHART 27-1: UI BATCH EDITING	
Edit	Processing
Check for a Transmission Header Records in the file. If the Transmitter Header Record is missing, the file is rejected.	The transmission is rejected and an error code is returned to the submitter.
The Transmitter Header Record does not contain a valid Transmitter State or Federal Agency Code.	The transmission is rejected and an error code is returned to the submitter.
The Transmitter Header Record does not contain the Version Number or has an invalid Version Number.	The transmission is rejected and an error code is returned to the submitter.
The Transmitter Header Record contains a non-numeric Batch Number.	The transmission is rejected and an error code is returned to the submitter.
The Transmitter Header Record contains a Batch Number that is a duplicate of a Batch Number that was previously received from the submitter within the calendar year.	The transmission is rejected and an error code is returned to the submitter.
The Transmitter Header Record is not the first record in the file.	All records prior to the Header Record are rejected and all records after the Header Record are processed. A warning code is returned to the submitter.
The Transmission Type in the Transmitter Header Record is not equal to 'UI'.	All records are processed and a warning code is returned to the submitter.
The Date Stamp is missing or invalid in the Transmitter Header Record.	All records are processed and a warning code is returned to the submitter.
The Total Record is missing.	All records are processed and a warning code is returned to the submitter.
The Data Record Count is non-numeric.	All records are processed and a warning code is returned to the submitter.
The Data Record Count does not equal the count of the records received.	All records are processed and a warning code is returned to the submitter.

If a UI submitter receives notice of rejection, the submitter should correct the information and resubmit the data via CONNECT: Direct. If the submitter receives a warning notification, they should investigate the warning. If records were not processed because of the warning, the submitter should correct the issue and resubmit the data.

27.1.3 PRE-PROCESSING EDITING

Pre-processing edits examine certain key characteristics of each file to determine if these characteristics are within expected limits. The limits are based on past experience of data received from each submitter as well as standards set by OCSE. If one or more of these limits is exceeded, the file may be suspended. The Pre-Processing edits that result in suspension are:

- The file contains a specified percentage of records that are duplicates of records that were submitted in the previous quarter's submission;
- The number of records submitted is below or above the expected volume range for that submitter; or
- A large percentage of the records contain a benefit amount that is excessively high (over \$25,000).

If a UI file is suspended, the submitter is notified. The submitter has the option to request that the suspended file be processed or to correct the data and submit another file.

To determine whether a file is a duplicate, a sample of the records is compared to the NDNH current and previous quarter databases for matching records. The NDNH System considers two UI records to be duplicates if the contents of all the following fields are identical: Claimant SSN, Transmitter State Code, Claimant Name, Benefit Amount, and Reporting Period.

For each state a minimum and maximum volume of records to be received has been established based on previous submissions. If a submission is received with too few or too many records, the file is suspended and the submitter is contacted. If the volume of records received is determined to be correct, the file will be processed and the expected minimum/maximum volume for the submitter may be adjusted.

The Benefit Amount on each UI record is evaluated to determine if the Benefit Amount is greater than \$25,000. The number and percentage of benefit amounts over \$25,000 are evaluated against a pre-set threshold. If the file contains excessive amounts of records with benefit amounts over \$25,000, the file is suspended and the submitter is contacted. If the benefit amounts are determined to be correct, the file will be processed.

27.1.4 RECORD LEVEL EDITING

The NDNH edits each record to ensure that all the required data elements are present, that key values are valid, and that data conforms to the system standards before it is accepted.

27.1.4.1 SSN/Name Verification

The NDNH System performs edits on the SSN and Name entries and sends SSN/Name combinations that appear to be valid to SSA for verification. Section 5.0, "Social Security Number Verification", outlines the SSN verification processes and errors. Note that not all states submit name information or enough name information to complete a full SSN/Name verification. Not all the Error and Warning Codes will be returned to those states. Chart 27-2, "UI SSN/Name Verification", describes the types of SSN edits performed on each UI record.

CHART 27-2: UI SSN/NAME VERIFICATION	
Edit	Processing
The SSN is spaces.	The record is rejected with an error code and is returned to the submitter.
The SSN is non-numeric.	The record is rejected with an error code and is returned to the submitter.
The SSN is not greater than zeros.	The record is rejected with an error code and is returned to the submitter.
The first 5 digits of the SSN have not been issued by SSA.	The record is rejected with an error code and is returned to the submitter.
The Claimant Name is missing.	The record is rejected with an error code and is returned to the submitter.
The SSN and name do not match with SSA's records, or the SSN is not found at SSA.	The record is rejected with an error code and is returned to the submitter. This is returned after all attempts to verify the SSN and name fail.

Any records that do not pass the SSN or SSN/Name verification process are dropped from the system. All records passing the SSN or SSN/Name verification process will continue through the record edits.

27.1.4.2 Minimal Data Validation

Each UI data is validated to ensure that it contains a Claimant Address. If the record does not contain a Claimant address, it is rejected with an error code and returned to the submitter.

27.1.4.3 General Validation

General Validation edits are performed on all records passing the SSN/Name and Minimal Data Validation. These edits will determine the validity of the data provided or identify missing data that would be beneficial to NDNH users. General validation will only create warning codes for the UI record. These warning codes will not keep records from being posted to the NDNH.

The claimant data is checked for a first and last name. If the first or last name is missing a warning code is returned to the submitter.

The benefit amount is checked to ensure that it is numeric. If the amount is non-numeric, a warning code is returned to the submitter.

The reporting quarter is checked to ensure that it is numeric. If the reporting quarter is numeric, the quarter is validated for a 1, 2, 3, or 4. The year is also validated to ensure that it is a valid year. If the reporting quarter is non-numeric or does not contain a valid quarter and year, a warning code is returned to the submitter.

The claimant address data are analyzed to determine the validity of the data provided. Chart 27-3, “UI General Validation”, describes how the analysis is performed:

CHART 27-3: UI GENERAL VALIDATION	
Edit	Processing
The Claimant Zip Code is missing or non-numeric.	A warning code is returned to the submitter.
The Claimant Zip Code does not match the City.	A warning code is returned to the submitter.
The FEIN is non-numeric.	A warning code is returned to the submitter.
The FEIN is blank or zeros.	A warning code is returned to the submitter.
The Claimant State is missing.	A warning code is returned to the submitter.
The Claimant State is invalid (not a valid 2-character USPS abbreviation).	A warning code is returned to the submitter.
The Claimant Name is blank.	A warning code is returned to the submitter.
The Claimant Address Line 1, 2 and 3 are all blanks.	A warning code is returned to the submitter.
The Claimant City is blank.	A warning code is returned to the submitter.

27.2 Error Codes and Explanations

There are a variety of data errors that can occur in any submission. The type of error determines the next processing step. In addition to the errors that occur in the SSN verification processes, records may be found to be incomplete or invalid due to other data errors. The following sections discuss these types of errors.

27.2.1 INCOMPLETE RECORDS

Incomplete UI data records are records that are missing one or more of the required data elements, but contain the minimum critical information to make the record useful to users of NDNH data. If a UI data record contains a Claimant Name, SSN, Reporting Period and a Claimant Address, the information is helpful to the users. The NDNH System accepts and stores incomplete UI records and sends a notification warning the submitter of the data that is missing from the record.

27.2.2 REJECTED RECORDS

Invalid UI data records are those that have not met the critical edits. When the critical edits are not met, the system designates the record as invalid and rejects the record. The NDNH System does not store invalid records, but notifies the submitter of the rejected records and the reason(s) for rejection. Refer to Section 29.0, “UI Output to Submitters”, for the record formats for data returned to submitters. The critical edits that determine the retention or rejection of a UI record are:

1. The record contains an SSN that is all numeric;
2. The record contains at least one character in the Claimant Name;

3. The record contains a valid Reporting Period;
4. The record contains the Claimant Address; and
5. The SSN/Name combination is verified.

27.2.3 OTHER ERRORS

Other errors that can occur relate to the Transmitter Header Record and the Transmitter Total Record, rather than to a specific UI data record. These errors may cause the NDNH System to reject the full transmission, reject part of the transmission or accept the transmission and warn the submitter of the error. Section 26.0, "UI Transmission", discusses transmission level errors.

27.3 Error Codes and Explanations

Chart 27-4, "UI Error and Warning Codes", outlines the UI record error and warning codes.

CHART 27-4: UI ERROR AND WARNING CODES	
Code	Error Description
ERROR CODES – RECORD REJECTED AND NOT ADDED TO NDNH	
0001	SSN and name do not match.
0002	SSN is invalid or out of range.
0011	SSN is non-numeric.
0015	SSN is missing or is not greater than zeroes.
0016	Claimant Name is missing.
0017	Claimant Address is missing.
WARNING CODES – RECORD ACCEPTED AND ADDED TO NDNH	
0020	Claimant Zip Code is non-numeric; format must be a five-digit U.S. Postal Service Zip Code
0021	Claimant Zip Code is invalid, Zip Code does not exist or city and Zip Code do not match
0022	Claimant State abbreviation is missing
0023	Claimant State abbreviation is invalid; format should be two letter state or territory abbreviation
0024	Claimant First Name is missing.
0027	Claimant Street Address Lines are missing.
0028	Claimant City is missing.
0034	Benefit Amount is non-numeric.
0051	Reporting Period is invalid.

28.0 UI NDNH UPDATE

The NDNH System stores UI records in the NDNH UI File. The UI records in the NDNH UI File are used for proactive matching with the FCR and for locate searches in response to a locate request.

28.1 Duplicates

If the NDNH receives a UI file that contains a threshold number of duplicate records, the NDNH suspends the file and the submitter is notified by phone. The submitter has the option to request that the suspended file be processed. In order to determine whether a file is a duplicate, the records of the received file are sampled methodically and are compared to the NDNH Database for matching records. In comparing an incoming file to the NDNH Database, the NDNH System considers two UI records to be duplicates if the content of the following fields are identical: Claimant SSN, Transmitter State Code, Claimant Name, Benefit Amount, and Reporting Period.

In subsequent batch editing, batches with duplicate batch numbers are rejected.

On the record level, if a state submits one or more duplicate records within a transmission, the NDNH System processes the first of those records and ignores the duplicate UI record(s). If a state submits a duplicate record in a subsequent transmission, the NDNH stores the duplicate UI record, unless the file was suspended for containing the threshold numbers of duplicates. During comparison of two UI records within a batch to determine if they are duplicates, the records are considered to be duplicates of each other if the contents of the following fields are the same: SSN, State Code, Node-ID, Benefit Amount, Reporting Period, Claimant Name, and Claimant Address.

29.0 UI OUTPUT TO SUBMITTERS

Within four business days, the NDNH System returns information regarding UI data to the submitter. The NDNH System returns the following:

1. The number of records received in a transmission, including the Transmitter Header Record and Total Record;
2. The number of rejected records;
3. The number of records in a transmission with errors or warnings regardless of the return error suppression matrix choices;
4. The number of records accepted and written to the NDNH UI File;
5. Transmission error codes; and
6. Each UI data record that has errors or warnings along with up to five error or warning codes.

In addition to receiving data about UI records, states also receive an MI summary report on a regular basis. Refer to Section 30.0, “UI Management Information”, for details and information on MI reports.

29.1 Output Record Layouts

The NDNH returns UI record transmission and error information via SSA’s closed-line C:D system. A trailer or total record is not returned to the submitting state in response to UI transmissions. Each transmission contains two types of records in the following order:

1. UI Transmission Control Record – This record precedes the returning UI data records and contains information about the submitter’s transmission.
2. UI Data Records – These records contain the actual UI data and associated errors or warnings.

The NDNH transmits the returning UI information according to specified record layouts. The UI data records are formatted exactly as submitted with error codes appended. The general rules are identical to the requirements for data transmission. Refer to Section 26.0, “UI Transmission”, for specific information on transmission rules.

Chart 29-1, “UI Transmission Control Record”, describes the information that is returned to the submitter in that record.

CHART 29-1: UI TRANSMISSION CONTROL RECORD			
OMB CONTROL NO: 0970-0166 EXPIRATION DATE: 04/30/2007			
Field Name	Location	Length	Alpha/Numeric
Record Identifier	1-2	2	A/N
Transmitter State Code	3-4	2	A/N
Filler	5-13	9	A/N
Transmission Type	14-15	2	A/N
Filler	16	1	A
Version Control Number	17-18	2	A/N
Date Stamp	19-26	8	N
Batch Number	27-32	6	N
Records Received	33-43	11	N
Records Rejected	44-54	11	N
Error Records Returned	55-65	11	N
Records Posted to NDNH	66-76	11	N
Filler	77-98	22	A/N
Error Code 1	99-102	4	A/N
Error Code 2	103-106	4	A/N
Error Code 3	107-110	4	A/N
Error Code 4	111-114	4	A/N
Error Code 5	115-118	4	A/N
Filler	119-325	207	A/N

Data in the UI Transmission Control Record is a duplicate of the information submitted by the state, with the exception of the following:

- Record Identifier:** This is the character 'RU', which identifies the record as the header record containing returning UI data.
- Records Received:** This is the total number of records received in the transmission, including the header and trailer records.
- Records Rejected:** This is the total number of records rejected in the transmission.
- Error Records Returned:** This is the total number of UI data records with errors or warnings returned in the transmission.

Records Posted to NDNH: This is the total number of UI data records in the transmission that were accepted and posted to the NDNH UI File.

Error Code 1: *This is an error at the transmission level.

Error Code 2: *This is an error at the transmission level.

Error Code 3: *This is an error at the transmission level.

Error Code 4: *This is an error at the transmission level.

Error Code 5: *This is an error at the transmission level.

Filler: This field is all spaces.

*Refer to Chart 27-4, “UI Transmission Error and Warning Codes”, for the error and warning codes and their explanation.

Chart 29-2, “UI Data Record (Returned to Submitter)”, describes the information that is returned to the submitter in that record.

CHART 29-2: UI DATA RECORD (RETURNED TO SUBMITTER)			
OMB CONTROL NO: 0970-0166 EXPIRATION DATE: 04/30/2007			
Field Name	Location	Length	Alpha/Numeric
Record Identifier	1-2	2	A/N
Claimant SSN	3-11	9	N
Claimant Name			
First Name	12-27	16	A
Middle Name	28-43	16	A
Last Name	44-73	30	A
Claimant Street Address			
Line (1)	74-113	40	A/N
Line (2)	114-153	40	A/N
Line (3)	154-193	40	A/N
Claimant City	194-218	25	A
Claimant State	219-220	2	A
Claimant Zip Code			
Zip Code (1)	221-225	5	N
Zip Code (2)	226-229	4	A/N
Claimant Benefit Amount	230-240	11	N
Reporting Period	241-245	5	N
Filler	246-295	50	A/N
Error Code 1	296-299	4	A/N
Error Code 2	300-303	4	A/N
Error Code 3	304-307	4	A/N
Error Code 4	308-311	4	A/N
Error Code 5	312-315	4	A/N
Filler	316-325	10	A/N

All returning UI data records are duplicates of the information submitted by the state, with the exception of the following:

- Record Identifier:** This is the characters 'UO' identifying the record as containing returning UI claimant and employer data.
- Error Code 1:** *This is an error on the UI record.
- Error Code 2:** *This is an error on the UI record.
- Error Code 3:** *This is an error on the UI record.
- Error Code 4:** *This is an error on the UI record.
- Error Code 5:** *This is an error on the UI record.

*Refer to Chart 27-4, “UI Error and Warning Codes” for the error and warning codes and their explanation.

29.2 Output Mode

The NDNH returns UI data via SSA’s closed line C:D system. Each state receives return data within four business days, as scheduled by SSA. The NDNH does not return any data by hard copy.

29.3 Output Control Matrix

During the processing of UI records, the system may detect errors or identify abnormal conditions that can cause the return of a record to the submitter with error or warning messages. The NDNH Output Control Matrix determines which UI records with errors, warnings, or information codes are returned to each submitter. A copy of the UI Output Control Matrix Registration Form is shown on the following page as Figure 29-1.

This form cannot be used to suppress transmission- or submission-level errors. Submission of the form is optional; the default is to return all records with error or warning codes.

Each state can set some of the report parameters of the Output Control Matrix based on their requirements and needs for returned information by completing the form. This gives the state the ability to restrict some of the returned data that they receive from the NDNH System.

If a state chooses to set the parameters, they must complete the UI Output Control Matrix Registration Form and the Output Suppression Options and send it to OCSE. A state can change the parameters by notifying OCSE at the address that appears on the form.

For a complete description of UI errors and warnings refer to Section 27, “UI Data Validation and Verification”.

UI OUTPUT CONTROL MATRIX REGISTRATION FORM

To suppress processed UI records and associated error, warning, or information codes, send this registration to:

Department of Health and Human Services
Administration for Children and Families
Office of Child Support Enforcement
Federal Parent Locator Service
2nd Floor
370 L'Enfant Promenade, S.W.
Washington, D.C. 20447

Date: _____

Submitting Agency: _____

Requester: _____ Phone number: _____

Address: _____

City: _____ State: _____

Zip Code: _____

OUTPUT SUPPRESSION OPTIONS

Error Codes	Condition Description	An 'X' suppresses output
-------------	-----------------------	--------------------------

RECORDS REJECTED AND RETURNED WITH ERROR CODES

0001	SSN and name do not match.	
0002	SSN is invalid or out of range.	
0011	SSN is non-numeric.	
0015	SSN is missing or is not greater than zeroes.	
0016	Claimant Name is missing.	
0017	Claimant Address is missing.	

RECORDS ACCEPTED AND RETURNED WITH WARNING CODES

0024	Claimant First Name is missing.	
0020, 0021, 0022, 0023, 0027, 0028	Claimant Address contains errors.	
0034	Benefit Amount is non-numeric.	
0051	Reporting Period is invalid.	

30.0 UI MANAGEMENT INFORMATION

30.1 General Information

The NDNH produces Management Information (MI) reports to assist the states in performing statistical analysis, tracking data, and analyzing trends.

30.2 MI Report and Explanation

Figure 30-1 “Summary for State of UI Data Processed”, is a sample of the available MI report. This sample report contains contrived data to clarify what is present in an actual report.

REPORT 1 - SUMMARY FOR STATE/AGENCY OF UI DATA SUBMITTED

The NDNH produces this report for each state submitter. For each batch in a given report period (e.g., week, month, quarter or year), the report displays:

1. The Header date,
2. The Process date,
3. The batch number,
4. The number of records in each batch,
5. The number and percent of records that were:
 - Accepted and posted to the UI NDNH File;
 - Rejected with an unverified SSN;
 - Rejected, including the records that are rejected because of unverified SSNs; and
 - Duplicated within a batch.

The report displays the totals of all the above counts for the report period. In addition, the report lists the totals of the same information for a pre-set prior period, and sums these numbers to create cumulative totals.

REPORT 1

PAGE: 1
REPORT: NU008-S

DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES
OFFICE OF CHILD SUPPORT ENFORCEMENT
NATIONAL DIRECTORY OF NEW HIRES
SUMMARY FOR STATE OF UI DATA PROCESSED

DATE REPORT PRODUCED: 11/17/2003
PERIOD COVERED- FROM: 10/29/2003
TO: 10/31/2003
CUMULATIVE SINCE: 01/30/1998

STATE:
24-MARYLAND

HEAD DATE PROC DATE	BATCH NUMBER	TOTAL RECORDS SUBMITTED	RECORDS POSTED TO UI NDNH FILE		RECORDS REJECTED WITH UNVERIFIED SSNS		TOTAL RECORDS REJECTED INCLUDING UNVER SSNS		DUPLICATE RECORDS	
			NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
TOT THIS PER.		0	0	.0 %	0	.0 %	0	.0 %	0	.0 %
TOT PRIOR PER.		2,397,104	2,334,490	97.3 %	62,614	2.6 %	62,614	2.6 %	0	.0 %
CUMULATIVE TOT		2,397,104	2,334,490	97.3 %	62,614	2.6 %	62,614	2.6 %	0	.0 %

New page for each change of STATE.

Report totals on last page.

AGENCY / STATE :

HEAD DATE PROC DATE	BATCH NUMBER	TOTAL RECORDS SUBMITTED	RECORDS POSTED TO UI NDNH FILE		RECORDS REJECTED WITH UNVERIFIED SSNS		TOTAL RECORDS REJECTED INCLUDING UNVER SSNS		DUPLICATE RECORDS	
			NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
FINAL THIS PER		201,591	198,249	98.3 %	3,342	1.6 %	3,342	1.6 %	0	.0 %
FINAL PRIOR PER		164,149,417	158,966,318	96.8 %	4,972,124	3.0 %	5,183,099	3.1 %	0	.0 %
CUMULATIVE FINL		164,351,008	159,164,567	96.8 %	4,975,466	3.0 %	5,183,441	3.1 %	0	.0 %

NDNH REPORT 1 FIELD DESCRIPTIONS

- Page Number:** This is the page number within the total report (which includes all states) on which a state's report data is located. The page number on an individual state report may not begin with the number one.
- Report Number:** This number is NU008. The 'N' identifies the report as an NDNH report. The 'U' indicates that the report contains summary data of submitted UI data. The numbers distinguish this report from other UI reports.
- State:** This field contains the name of the state that submitted the UI data.
- Date Report Produced:** This is the date of the report run.
- Period Covered:** These are the inclusive dates for the UI data presented in this report. This "window" is the quarter of submission being reported.
- Cumulative Since:** This is 10/1/97, the start date of the NDNH.
- Header Date:** This is the date in the Date Stamp field for a specific UI batch.
- Process Date:** This is the date a specific UI batch was processed.
- Batch Number:** This is the unique Batch Number submitted with each UI submission.
- Total Records Submitted:** This is the total number of UI Data Records submitted. Header and Total Records are not counted. This is expressed for each specific batch in the report period, and as:
1. a total for the report period,
 2. a total for the prior report period, and
 3. cumulative from the "Cumulative Since" date.
- Records Posted to UI NDNH File:** This is the total number and percent of UI data records that met validation and SSA verification criteria and were added to the NDNH UI File. This is expressed for each specific batch in the report period, and as:
1. a total for the report period,
 2. a total for the prior report period, and
 3. cumulative from the "Cumulative Since" date.
- Records Rejected with Unverified SSNs:** This is the total number and percent of UI records that have unverified SSNs and are rejected by the NDNH. This is expressed for each specific batch in the report period, and as:
1. a total for the report period,
 2. a total for the prior report period, and
 3. cumulative from the "Cumulative Since" date.
- Total Records Rejected Including Unverified SSNs:** This is the total number and percent of UI data records that did not meet the minimum information requirements or contain an unverified SSN. These records were rejected and individually returned to the submitter at the time of transmission. This information is expressed for each specific batch in the report period, and as:
1. a total for the report period,
 2. a total for the prior report period, and
 3. cumulative from the "Cumulative Since" date.

Duplicate Records: This is the number and percent of duplicate UI data records received with each batch. Duplicate records are not added to the UI NDNH file, but were rejected and individually returned to the submitter at the time of transmission. This information is expressed for each specific batch in the report period, and as:

1. a total for the report period,
2. a total for the prior report period, and
3. cumulative from the “Cumulative Since” date.

Percentages: The percentages are derived by dividing each “number” by the “Total Records Submitted” for that row.

Total for This Period: This line is the sum of all records:

1. posted to the UI NDNH File,
 2. rejected with unverified SSNs, and
 3. total records rejected including unverified SSNs
- for the report period specified “Period Covered” in the report heading.

Total for Prior Period: This line is the sum of all records:

1. posted to the UI NDNH File,
 2. rejected with unverified SSNs, and
 3. total records rejected including unverified SSNs
- for the period from the “Cumulative Since” date to the day prior to the “Period Covered” in the report heading.

Cumulative Total: This line is the sum of all records:

1. posted to the UI NDNH File,
 2. rejected with unverified SSNs, and
 3. the total number of rejected records
- for the entire period from the “Cumulative Since” date up to and including the “Period Covered” in the report heading.

31.0 UI SUMMARY, CONCLUSION AND RECOMMENDATIONS

States submit unemployment insurance data on a quarterly basis to the NDNH. This *Guide* provides an overview of the requirements and specifications to assist the submitters in forwarding the data to the NDNH. Technical support and help are available to each submitter. We recommend that the states use the support that is available to ensure the successful transmission of the required information. Refer to the Section 3.0, “Technical Support”, for information on obtaining assistance with reporting UI data.

There will be changes made to the NDNH as new needs and requirements are identified, and as user recommendations are received. Future releases of the NDNH will include updates to this manual.