

## **Unemployment Insurance (UI) Benefit Operations Self-Assessment Tool:**

### ***Intake Claims-Unemployment Compensation for Federal Employees (UCFE)***

This self-assessment review of the state's Intake Claims for the UCFE functional area will examine the UCFE processes and program operations. The reviewer will consult with appropriate staff regarding each operational element, as necessary, to ensure accurate and complete information is reported. This will include Unemployment Insurance (UI) administrators, IT managers, fiscal officers, office/call center managers, claims supervisors, and the Federal Program Coordinator or reviewers.

The reviewer will provide information regarding the state's performance for each calendar quarter of the review period for first payment promptness. Use this link for more information regarding UI PERFORMS ALPs/Performance Criteria: [Acceptable Level of Performance](#).

Upon completion of this self-assessment review, the results should be shared with UI administrators, and appropriate program manager(s), and supervisors. The self-assessment findings can provide a very good analysis of the state's UCFE claims operations and can be used to drive process and program-improvement initiatives.

A comments section is provided for each operational element, which the reviewer should use to document any observations regarding issues identified related to that specific operational element. This space may also be used to provide any additional information relating to a specific question in this section. In doing so, the reviewer should reference the specific question by number and insert the additional information related to that question.

In addition, a concluding comments section is provided at the end of the self-assessment instrument to capture any strengths identified by the reviewer in this functional area which could constitute a successful practice(s) to be shared with other states; any issues identified by the reviewer in the functional area that adversely impacts the state's performance and to identify any possible corrective actions to address the issue; and general comments about this functional area. The reviewer can provide information here that Federal reviewers and state UI administrators and managers can use to assess program operations and the state's effectiveness in providing quality services in this functional area.

***Save your entries regularly as you complete the review and when you close the self-assessment to ensure your answers are saved.***

## SECTION 1: Procedures, Policies, and Confidentiality

The purpose of this section is to review the policies and procedures provided by the agency for staff to use in operating this functional area of the UI program. These are the written (in hard-copy, electronically, or both formats) standards, instructions, and guidelines that staff regularly use in the operation of the program. The reviewer may utilize resources that include manuals, handbooks, desk aids, computer help screens, training guides, organized collections of procedures or policies, or other readily accessible instructions which can help staff do their work correctly, including [ETA Handbook No. 391](#) for guidance regarding UCFE Initial Claims. Instructions will normally include general information such as compilations of relevant laws and regulations, as well as detailed instructions for carrying out individual jobs in the agency. The reviewer may need to examine all relevant instructions and consult with UI administrators, office/call center managers, claims supervisors and the state's Federal Program Coordinator.

The reviewer will document whether the state has policies and procedures sufficient to provide guidance and instruction to staff processing UCFE Initial Claims. Existing policies and procedures should be examined to determine whether they are up-to-date and address all law changes, organizational changes and technology changes that occurred during the review period.

### Helpful Info.

*Question 1a:* The reviewer should list all law changes that were implemented during the review period that affect UCFE Initial Claims processes and explain the effect on the program.

*Question 2a:* The reviewer should list all business process changes that were implemented during the review period that affect UCFE Initial Claims processes and explain the effect on the program. *(If space is not adequate to fully respond to this question, the reviewer may use space in the Comments area at the end of this section.)*

*Question 8:* The reviewer should check for accuracy of Federal Agency directory/address codes. The Federal Agency directory/address codes should be kept up-to-date at all times so that correct employers are contacted for wage and separation information which will aid in making first payment promptness possible. The reviewer will report whether the state has procedures in place to ensure the directory and address code updates are implemented promptly.

*Comment:* The reviewer should verify that *Question 26, Section 1 (about the filing methods used for UCFE claims) in the Intake-Initial Claims functional area set of questions has been answered correctly.*

## SECTION 2: Training

Managers/employees should possess and maintain a level of expertise which enables them to accomplish their assigned duties. Training systems should be sufficient to ensure that personnel understand and perform their duties properly. When reviewing training systems, the reviewer should consult with the state's training unit/staff and examine formal training procedures (e.g., the training is conducted using an established schedule and using set guidelines to make judgments about the quality of work being produced).

## SECTION 3: Performance Management

The reviewer will examine the state's practices for monitoring program performance and compliance with Federal and state law and regulations. If the state has a performance management unit, the reviewer should consult with performance management staff in addition to UI administrators, office/call center managers and claims supervisors, and the Federal Program Coordinators when completing this section.

### Helpful Info.

*Question 2:* The reviewer will document the methods the state uses to monitor its UCFE Initial Claims operations. If the state's processes for monitoring its UCFE Initial Claims performance are considered to be particularly effective and/or efficient, explain fully in Comments at the end of the section.

## SECTION 4: Information Technology (IT)

When completing this section of the self-assessment the reviewer should consult with UI and IT administrators and office/call center managers. The reviewer will assess the IT department's delivery of programming and technical support to the UCFE Initial Claims functional area. The reviewer will identify any issues the state experienced with telecommunicating UCFE data to/from the Federal Claims Control Center (FCCC) and whether they have been resolved at the time of this review.

### Helpful Info.

*Question 1:* The Federal Claims Control Center (FCCC) was established by the U.S. Department of Labor (USDOL) to be the official source of military wage and separation information to determine UCX entitlement. It maintains the Department's copy of the DD 214 and any DD 215 for UCX purposes. The FCCC also maintains a system of "claims control records" for program integrity purposes. See [UIPL No. 27 - 06](#).

**Helpful Info. (continued)**

Question 1a: If the state experienced any issues/problems related to its UCFE initial claims program, the reviewer should document the issues, whether the issues were corrected, and how long the issues lasted.

Question 3: The reviewer will indicate all filing methods used by the state for UCFE initial claims.

**SECTION 5: Claimant/Employer Access & Communication**

The reviewer will examine the state's methods for taking and processing UCFE Initial Claims. Methods used must comply with requirements set forth in Federal law. The reviewer will consult with UI administrators, office/call center managers, and claims supervisors when completing this section of the self-assessment.

**Helpful Info.**

Question 2a: If the state has implemented procedures to improve the accuracy of Federal employer/agency information, including addresses, the reviewer will document the methods the state has implemented and the results of these efforts. If the state's processes are considered to be particularly effective and/or efficient, explain fully in the Comments area at the end of this section.

**SECTION 6: Operational Efficiency/Resource Allocation**

Through interviews with UI administrators and office/call center managers the reviewer will identify efficiencies and automation the state has used to improve performance and provide better service to the public.

**Helpful Info.**

Question 4c: The reviewer should give an explanation if there have been instances where Federal employers were incorrectly charged for benefits paid.

## SECTION 7: Staffing

The reviewer will examine organizational changes that occurred during the review period, if any, and their effect on the state's ability to manage its UCFE claims workload and to meet first payment promptness standards for UCFE Initial Claims. The reviewer should consult with UI administrators, office/call center managers and the state agency's human resource manager when completing this section of the self-assessment.

### Helpful Info.

Question 2b: If applicable, the reviewer should explain the reorganization's impact on the UCFE workload.

## SECTION 8: Concluding Summary Comments

The reviewer will use the Concluding Summary Comments section to highlight the state's strengths and weaknesses that impact the UCFE intake functional area and to identify issues that have not been addressed in any other section of the self-assessment. These comments are intended to provide Federal reviewers and the state's UI administrators with additional insight into these program areas, focusing on methods that have proven to be successful and can be capitalized upon or areas where corrective measures may be needed.

The first comment area provides the reviewer an opportunity to share any examples of good and/or exemplary operations in this functional area after reviewing each operational element. The reviewer can use this space to identify any policy, procedure or operation that would constitute a successful practice that can be shared with other states.

The second comment area provides the reviewer an opportunity to document issues detected during the review that are having an adverse impact on the functional area, affecting the state's performance, ability to meet performance standards or customer service. It is also a place to recommend corrective actions for the agency's leadership to consider implementing.

The final comment area in this section provides the reviewer space to share any additional comments, concerns or observations regarding the state's operations in this functional area.