



Unemployment Insurance (UI) Benefit Operations Self-Assessment Tool: *Intake Claims-Unemployment Compensation for Federal Employees (UCFE)*

REVIEW PERIOD: **Begins**

Ends

Unless otherwise noted, all questions are applicable to the review period.

Enter your state's first payment promptness scores for each quarter of the review period.

Link to UI PERFORMS ALPs/Performance Criteria: [Acceptable Level of Performance](#)

1. First Payment Promptness

(Acceptable Level of Performance = 87%)

1st Quarter: % 2nd Quarter: % 3rd Quarter: % 4th Quarter: %

SECTION 1: Procedures, Policies, and Confidentiality

Information may include manuals, handbooks, desk aids, computer help screens, training guides, organized collections of procedures or policies, or other readily accessible instructions—including [ETA Handbook No. 391](#)—that can help staff do their work correctly. 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. Reviewers may need to look in many places to examine all relevant instructions.

1. Were there any law changes during the review period that affected the state's UCFE claims policies and procedures?

1a. If yes, what law(s) did the state implement, when were these changes implemented, and what was the effect on the state's UCFE claims policies and procedures?

1b. If yes, have the state's policies, procedures, and training material been updated to reflect these changes?

1c. If no (to question 1b), explain.

2. Were there any new business processes implemented during the review period that affected the state's UCFE claims policies and procedures?

2a. If yes, what business process changes did the state implement, when were these changes implemented, and what was the effect on the state's UCFE claims policies and procedures?

2b. If yes, have the state's policies, procedures, and training material been updated to reflect these changes?

2c. If no (to question 2b), explain.

3. Are there procedures in place to identify individuals with possible Federal wages to be used on a UCFE claim?

4. Do the policies and procedures address the claimant's filing options when they have Federal wages and have earned wages in one or more states?

5. Are there written procedures established for requesting necessary information from the Federal Claims Control Center (FCCC)?

6. Are there written procedures established for appropriate action to be taken after a response from FCCC is received?

6a. If yes, is the handling of incoming responses automated?

6b. Are there written procedures on actions to take when no reply is received from FCCC?

7. Does the state have written procedures related to UCFE affidavits (form ETA 935) to be used when the Federal agency or its agent does not respond to the initial wage/separation request (form ETA 931), consistent with Federal guidelines?

- 8.** Are there written procedures on how to handle updates to the Federal agencies directory/address codes?
 - 8a.** If yes, how does the UCFE system receive updates to the Federal agencies directory/address codes?
Automated updates Manual updates
- 9.** Are written policies and procedures established for timely and accurate completion of Federal form ETA 931, Request for Wage and Separation Information?
- 10.** Does the state have written policies and procedures to ensure the proper assignment of wages, including lag period wages, based on the claimant's work history?

SECTION 1: Comments

Document any issues that were identified when completing this section. This comment section may also be used to provide additional information relating to any specific question(s) in this section.

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, reviewers must look for 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).

1. Does the state include UCFE training in its regular training plan for new staff?

2. Are all claims takers trained to take UCFE claims?
 - 2a. If no, are UCFE trained staff available at all access points to handle UCFE initial claims?

SECTION 2: Comments

Document any issues that were identified when completing this section. This comment section may also be used to provide additional information relating to any specific question(s) in this section.

SECTION 3: Performance Management

The state's practices for monitoring program performance and compliance with Federal and state law and regulations are examined.

- 1.** Does the state have a unit or office that is responsible for monitoring the performance of the state's UCFE Intake program operations?
 - 1a.** If yes, what unit or office has this responsibility?

- 2.** What methods are used to monitor the UCFE Intake operations to ensure the program is operated in accordance with Federal and state law and regulations?

SECTION 3: Comments

Document any issues that were identified when completing this section. This comment section may also be used to provide additional information relating to any specific question(s) in this section.

SECTION 4: Information Technology (IT)

The reviewer will examine the use of information technology (IT) to support the state's UCFE claims operations. 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.

- 1.** During the review period did the state experience any issues/problems with telecommunicating UCFE information to and/or from the Federal Claims Control Center (FCCC)?
 - 1a.** If yes, how long did the problem(s) last and was it corrected? *(The response to this question may be addressed in the Comments at the end of this section, if more space is needed.)*

- 2.** During the review period, did the state experience any issues/problems with receipt of wage and separation information from any Federal agencies?
 - 2a.** If yes, how long did the problem(s) last and was it corrected?

3. What IT systems does the state use for filing UCFE claims? (*check all that apply*)
 - Internet claims
 - Interactive Voice Response (IVR)
 - Kiosks
 - Mainframe terminals
 - Online assistance for claims takers
 - Other (*explain*)

4. Are there written procedures for IT related to updating the Federal agency directory/address codes?

5. Indicate how the UCFE system receives updates to the Federal agency directory/address codes.
 - Automated updates Manual updates

SECTION 4: Comments

Document any issues that were identified when completing this section. This comment section may also be used to provide additional information relating to any specific question(s) in this section.

4. If wages are assigned/used by another state(s), how is the claimant advised of the filing options?

SECTION 5: Comments

Document any issues that were identified when completing this section. This comment section may also be used to provide additional information relating to any specific question(s) in this section.

SECTION 6: Operational Efficiency / Resource Allocation

The reviewer will provide information regarding the state's UCFE initial claims processes and workloads. Effective analysis of initial claims performance results assures the most productive utilization of resources.

1. Is staff intervention or review required before UCFE claims are processed?

2. Does the state use statistics (talk time, first payment, or other) to determine the efficiency of the UCFE claims taking process?

3. Does the state have Federal agencies located in the state which would have the potential for a large influx of UCFE claims in the event of a Federal agency or Federal government shutdown that closes in-state offices or causes furloughs?
 - 3a. If yes, indicate the number (or estimated number) of Federal agencies and Federal employees in the state.

Number of Federal agencies:
Number of Federal employees in state:
 - 3b. Did the state experience UCFE workload spikes during the review period?
 - 3c. If yes, explain.

4. Indicate how FCCC responses are reviewed/processed.
Automated processing Manual processing

- 4a.** Is there a designated UCFE unit/staff person(s) that reviews and takes appropriate action on all FCCC responses?

- 4b.** During the review period, were there instances where Federal employers were incorrectly charged for benefits paid?

- 4c.** If yes, explain.

SECTION 6: Comments

Document any issues that were identified when completing this section. This comment section may also be used to provide additional information relating to any specific question(s) in this section.

SECTION 7: Staffing

Staffing levels and organizational changes all can affect the state's ability to manage its initial claims workload and meet first payment promptness standards.

1. Does the state have a trained and knowledgeable UCFE/Federal Program Coordinator?

2. Have there been any UI staffing/unit reorganizations during the review period impacting UCFE operations?
 - 2a. If yes, was there any net effect on workloads?

 - 2b. If yes, explain.

SECTION 7: Comments

Document any issues that were identified when completing this section. This comment section may also be used to provide additional information relating to any specific question(s) in this section.

SECTION 8: Concluding Summary Comments for Intake Claims-Unemployment Compensation for Federal Employees

For the following sets of questions, consider the overall operations related to UCFE initial claims. This is an opportunity to identify successful practices and/or any needed corrective action measures along with any other general comments or observations concerning this functional area of UI Benefits. Additional space for comments and reviewer notes is available on pages [24](#) and [25](#).

- 1.** Provide any observations of good and/or exemplary performance in the state's UCFE initial claims taking policies, procedures, or operations that would constitute successful practices to share with other states.

2. Document any issues detected in UCFE initial claims taking that adversely affects the state's performance, its ability to meet performance standards/measures, or customer service. Identify any corrective action measures that should be taken to improve the state's performance in regards to any weaknesses identified.

3. Add any additional comments, concerns, or observations regarding the state's performance or operations in this area that have not been addressed elsewhere and should be noted.

Additional Comments and Reviewer Notes:

Reviewer Information:

REVIEWER

Name:
Title:
Email:
Phone No.:

ADDITIONAL REVIEW TEAM MEMBER

Name:
Title:
Email:
Phone No.: