



Unemployment Insurance (UI) Benefit Operations Self-Assessment Tool: *Intake-Initial Claims*

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: %

- 2.** First Payment Promptness - Interstate
(Acceptable Level of Performance = 70%)

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

SECTION 1: Procedures, Policies, and Confidentiality

Resources may include manuals, handbooks, including [ET Handbook No. 392](#), desk aids, computer help screens, training guides, organized collections of procedures or policies, or other readily accessible instructions 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.** Does the state have written policies and procedures for filing initial claims?
 - 1a.** If yes, were the policies and procedures updated or modified during the review period?
 - 1b.** Does the state take its own Interstate Liable claims (e.g., remote filing by phone or Internet)?

- 2.** How are policies and procedures for taking initial claims made available to staff? (*check all that apply*)
 - Online
 - Hard-copy handbook
 - Training materials
 - Other (*explain*)

- 2a.** Are all formats consistent and up-to-date?

2b. What practices does the state utilize to ensure all formats are consistent and up-to-date?

3. Were there any law changes during the review period that affected the state’s initial claims policies and procedures?

3a. If yes, what law changes did the state implement, when were these changes implemented, and what was the effect on the state’s initial claims policies and procedures?

3b. If yes, have the state’s policies, procedures, and training materials been updated to reflect these changes?

3c. If no (to question 3b), explain.

4. Were there any organizational changes during the review period that affected the state’s initial claims policies and procedures?

4a. If yes, what organizational changes did the state implement, when were these changes implemented, and what was the effect on the state’s initial claims policies and procedures?

4b. If yes, have the state’s policies, procedures, and training materials been updated to reflect these changes?

4c. If no (to question 4b), explain.

5. Were there any automation or technology upgrades or releases during the review period that affected the state’s initial claims policies and procedures?

5a. If yes, what automation or technology upgrades did the state make and when were they implemented?

5b. If yes, have the state’s policies, procedures, and training materials been updated to reflect these changes?

5c. If no (to question 5b), explain.

6. Does the state have policies and procedures for determining the effective date of an initial claim relative to the filing date?

7. Does the state’s policy allow backdating of initial claims?

7a. If yes, does the state periodically review a sampling of initial claims for which requests for backdating have been approved to ensure the policies are being properly applied?

7b. What problems, if any, has the state identified through these reviews and how have the problem areas been addressed?

7c. Does the state have policies and procedures in place to backdate a liable state claim when an invalid Interstate Benefits (IB) initial claim was processed?

8. Do the state’s policies and procedures provide staff definitions of initial claim types, i.e., regular UI, UCFE, UCX, CWC (including explanation of filing options), and Interstate claims?

9. Do the policies and procedures cover the collection of information about any dependent(s) and calculation of the allowance, if the state pays dependents' allowances?

10. Does the state allow a claimant to sign up for voluntary withholding for Federal and/or state income tax during the initial claim process?

11. Do the state's policies and procedures conform to the child support intercept requirements of Section [303\(e\)\(2\)\(A\)\(iii\)\(III\)](#) of the Social Security Act?

12. Do the state's policies and procedures provide for obtaining a claimant's authorization for work with each initial claim if they are not a U.S. citizen?

13. Do the state's policies and procedures provide for the verification of a claimant's authorization for work with each initial claim if they are not a U.S. citizen?
 - 13a. If the claimant is authorized for work, is information about their alien status documented for future reference?

14. For the following claims filing methods, check all identity verification methods used to verify the claimant's identity when filing initial claims. *(check all that apply)*

*SSA – Social Security Administration

**DMV – State Department of Motor Vehicles

Internet claims:

SSA*	DMV**	Other	Real-Time	Batch
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Telephone claims:

SSA*	DMV**	Other	Real-Time	Batch
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In-person claims:

SSA*	DMV**	Other	Real-Time	Batch
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Question 14 check boxes continue on next page

Mass layoff or employer filed claims:

SSA* DMV** Other Real-Time Batch

Other claim types or verification processes (*explain*):

SSA* DMV** Other Real-Time Batch

15. Does the state’s law require that the claimant serve a waiting period before benefit payments can begin?

15a. If yes, is this reflected in the state’s policies and procedures?

16. Do the state’s policies and procedures provide staff guidance regarding the identification of the following issues that may affect a claimant’s eligibility for benefits? (*check all that apply*)

- Discharge
- Voluntary Quit
- Leave of Absence
- Educational institution employment
- Professional athletes
- Labor dispute
- Pension
- School attendance
- Worker’s Compensation
- Corporate Officers
- Able and Available issues
- Job referral / Job refusal
- Self-employment
- Disability payments
- Holiday, vacation and severance pay reporting
- Active search for work
- Failure to report/contact the agency, as directed

17. Do the state’s policies and procedures address required information that claimants must receive as part of their Benefit Rights Information when filing an initial claim?

17a. If yes, does the claimant need to acknowledge receipt of the Benefits Rights Information when filing the initial claim?

17b. What information is included in the Benefits Rights Information? (*check all that apply*)

Work registration requirements, including exemption for union members and job-attached claimants, if applicable

Able and available requirements

Work search requirements, including exemptions, if applicable

How to file continued claims

Internet claims, if available

Telephone claims, if available

Paper claims, if required

How to file an appeal of a Monetary Determination

How separation fact-finding interviews will be scheduled, if applicable

Importance of participating in fact-finding interviews (if applicable) and appeal hearings (if applicable)

How to get claim status information

Determination notices that will be mailed to the claimant

Refusal of suitable work

Confidentiality requirements — i.e., information pertaining to the claim will only be released to the party that provided the information

How to report work and earnings

Consequences and penalties for committing fraud

Instructions for issuing and using UI debit card

Direct deposit information

Taxation of UI Benefits

18. Do the state’s policies and procedures regarding providing services to claimants comply with Federal Equal Employment Opportunity laws and regulations in accordance with [29 CFR Part 31](#) and [29 CFR Part 32](#)?

18a. If not, in what area(s) do the state’s policies and procedures fail to meet these requirements?

19. If the state takes initial claims in-person, does the state require claimants to present proof of identity before processing the initial claim?

19a. If no, explain.

20. Do the state’s policies and procedures address the use of the following systems, as needed?
(check all that apply)

- Interstate Benefit Withdrawal of Invalid Claim (IBWI)
- Withdrawal of Invalid Claim (WIC2)
- Interstate Handbook (HAND)
- State Identification Inquiry (SID)
- Interstate Inquiry (IBIQ)
- Interstate Connection (ICON)

21. If out-of-state wages have been identified (through the State Identification Inquiry (SID) and Interstate Inquiry (IBIQ) applications in the Interstate Connection (ICON) system) that do not appear to belong to the claimant, what action(s) does the state take to resolve the issue?

22. What unit/position is responsible for maintaining and making updates to the state's section of the HAND application?

22a. Is the state's information in HAND up-to-date?

23. Do the state's policies and procedures provide for the confidentiality of UI claims records in accordance with [20 CFR 603.5](#)?

23a. If yes, how does the state monitor its practices to ensure compliance with the policies and procedures?

24. Does the state have procedures to inform claimants that confidential information provided for the UI claim may be requested and utilized for other governmental purposes, including verification of eligibility under other governmental programs, in accordance with [20 CFR 603.11](#)?

24a. If yes, how and when is this information provided to the claimant?

25. Does the state have procedures to inform employers that wage information and other confidential information provided relating to an unemployment compensation claim may be requested and utilized for other governmental purposes, including verification of an individual’s eligibility for other governmental programs in accordance with [20 CFR 603.11](#)?

25a. If yes, how and when is this information provided to employers?

- 26.** Do the state’s policies and procedures for taking the following initial claims differ from policies and procedures for taking initial intrastate claims?

Interstate:

If yes, explain.

Unemployment Compensation for Federal Employees (UCFE):

If yes, explain.

Unemployment Compensation for Ex-Servicemembers (UCX):

If yes, explain.

Question 26 continues on next page

Disaster Unemployment Assistance:

If yes, explain.

Trade Readjustment Allowances:

If yes, explain.

Short-Time Compensation:

If yes, explain.

27. Does the state use an automation system for all phases of the Monetary Determination process?

27a. If no, what processes are not automated? (*check all that apply*)

- Establishing Benefit Year
- Determining Base Period
- Alternate Base Period
- Weekly Benefit Amount (WBA) calculation
- Maximum Benefit Amount (MBA) calculation
- Dependence Allowance calculation
- Monetary redeterminations
- Wage deletion – insufficient requalifying wages for a second benefit year
- Cancellation of wages –between term school wages
- Cancellation of wages – between term professional athlete wages
- TRA (basic, additional, and completion)
- Alternative Trade Adjustment Assistance (ATAA)
- Reemployment Trade Adjustment Assistance (RTAA)
- Extended benefits
- Other (*explain*)

28. Indicate whether the written Monetary Determination displays information and/or provides an explanation for the following. (*check all that apply*)

- Claimant Identification
- Base Period
- Weekly Benefit Amount (WBA)
- Maximum Benefit Amount (MBA)
- Earned wage credits
- Employer(s) name
- Explanation of information on determination
- Procedures for Monetary Redeterminations
- Appeal rights

Question 28 check boxes continue on next page

Requalifying earnings for subsequent benefit years

Other (*explain*)

29. Does the written Monetary Determination explain that any possible pending wages or additional base period wages received or identified may be added to the determination?

29a. If no, explain.

30. If a Nonmonetary Determination is issued that results in the cancellation of wages, is a new Monetary Determination mailed to the claimant?

30a. If yes, is this process for a Monetary Redetermination completed automatically by the Monetary Determination system?

31. Does the Monetary Determination contain specific instructions the claimant must follow to request a Monetary Redetermination or to dispute or appeal the Monetary Determination?

31a. What are the procedures for handling a dispute of missing or incorrect wages?

31b. Are there written procedures for handling missing or disputed wages that were transferred from another state?

32. Does the state have policies and procedures in place for timely implementation when there is an adjustment to the maximum and/or minimum weekly benefit amount(s) available in the state?

32a. If yes, do the procedures include any of the following actions? (*check all that apply*)

Programming changes

Notification to claimants

Updates of claimant information, as appropriate

Website updates

Other (*explain*)

33. For confidentiality purposes, does the state truncate or otherwise conceal the social security number when the Monetary Determination is mailed to the claimant?

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 that 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). There should be procedures for identifying general and specific training needs and for delivering training as needed.

1. Does the state have a dedicated training staff or unit to deliver initial claims intake training?

2. Does the state have a formal training plan for new claims taking staff?
 - 2a. If yes, how long is the formal training?
 - Less than one week
 - One to two weeks
 - More than two weeks
 - Other (*explain*)

Total training time (in hours):

3. Does the state have a “refresher” training plan to provide continuing training to initial claims staff?

3a. If yes, how often is the continuing training conducted?

Monthly Quarterly Annually On an as-needed basis
Other (*explain*)

4. How does the state agency deliver staff training? (*check all that apply*)

Classroom setting
On-the-job training
Self-guided online course
One-on-one training
Attend Interstate Connection Network (ICON) webinars
Other (*explain*)

5. Describe any technology or operational changes that were made during the review period that affected initial claimstaking.

5a. Were all affected staff trained on these technology or operational changes prior to implementation of the changes?

- 6.** Describe any new laws, program implementations, policy or procedural changes that occurred during the review period that affected initial claimstaking.
 - 6a.** Were all affected staff trained on the new laws, program implementations, and policy and procedural changes prior to implementation of the changes?

- 7.** Is there a method to obtain feedback from participants regarding the effectiveness of the training given?
 - 7a.** If yes, how is feedback obtained from participants?

- 8.** Is there a means to obtain feedback from management staff on the effectiveness of the training, based upon staff performance following training?
 - 8a.** If yes, how is feedback obtained from management staff?

9. What means are used by the state to determine training topics and content?

- Call Center Performance
- Benefits, Timeliness, and Quality review results
- Benefit Accuracy Measurement results
- Claimant feedback/complaints
- Error review monitoring
- U.S. Department of Labor/ICON guidance
- State law/policy changes
- Supervisor feedback/input
- Other (*explain*)

10. Are all staff who take initial claims trained on how weekly and maximum benefit amounts are calculated?

11. Are all staff who take initial claims trained on the state’s monetary redetermination process?

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: Workload Analysis / Management Controls

The state’s ability to manage initial claims workloads, particularly through periods of unforeseen spikes in claims volume, is analyzed. Methods used to mitigate backlogs, when they occur, substantially affect the state’s ability to provide timely benefit payments to claimants. Reviewers will address process-improvement initiatives aimed at minimizing initial claims backlogs.

1. Does the state have a systematic method for tracking workload backlogs of initial claims?
 - 1a. If yes, is the data collection automated?
 - 1b. If yes, are the backlogs identified by category? (e.g., identity verification, earnings, etc.)
2. If the state tracks initial claims backlogs, how often are these reports generated?

Real-time	Daily	Weekly	Monthly	Quarterly	As needed	N/A
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3. Does the state’s system generate reports on timeliness of processing initial claims?
4. What practices does the state utilize for handling an expected or unexpected high volume of initial claims? (*check all that apply*)
 - Hire additional temporary staff
 - Assign qualified staff from different units
 - Overtime
 - Adjusted work schedules, including extended and weekend hours
 - Temporary adjustments to claims taking methods (*explain*)

Question 4 check boxes continue on next page

Other (*explain*)

5. Did the state experience backlogs in processing initial claims during the review period?

5a. If yes, what was the cause of the initial claims backlogs? (*check all that apply*)

Seasonal workload increases (*explain*)

Operational issues related to facilities, budget or staffing (*explain*)

Information Technology hardware or software issues (*explain*)

Question 5a check boxes continue on next page

Economic downturn, localized or statewide (*explain*)

Law or policy changes (*explain*)

Other (*explain*)

6. Does the state monitor workloads to identify potential problem areas?

6a. If yes, is this monitoring process automated or manual?

Automated Manual

6b. At what levels is the state’s reporting system capable of providing performance data?

(check all that apply)

Statewide

Office

Claimstaker

Question 6b check boxes continue on next page

Other (*explain*)

7. During the review period, did the state conduct any business process analysis efforts to improve initial claims taking processes and increase efficiency?

7a. If yes, what changes have been made and what was the result of those changes?

7b. If yes, have the process changes generated an increase in invalid non-monetary issues?

7c. If yes, what (if any) changes were recommended but not made?

7d. Is there a systematic review process of initial claims questions to identify and revise any that are confusing to claimants or that cause an unacceptable error rate?

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: Performance Management

The state’s practices for monitoring program performance and compliance with Federal and state law and regulations is examined. Preparation and monitoring of corrective action plans are necessary functions to further program performance improvements.

1. Was the state required to complete a Corrective Action Plan(s)(CAP) during the review period?

1a. If yes, what performance areas required a CAP?

Core Measures:

First Payment Promptness

Secretary’s Standards:

First Payment Promptness: Intrastate within 14/21

First Payment Promptness: Intrastate within 35 days

First Payment Promptness: Interstate within 14/21 days

First Payment Promptness: Interstate within 35 days

2. If the state was required to submit CAP(s) during the review period, did the state meet its milestones for its CAP(s) during each quarter of the review period?

2a. If not, explain which milestones were not met and why.

3. If the state has submitted multi-year CAP(s), identify the areas covered by the multi-year CAP(s).

3a. What progress has the state made in addressing the issue(s) that resulted in the multi-year CAP?

4. What unit or office is responsible for monitoring UI program performance regarding its initial claims intake operations?

4a. What method(s) are used to monitor the UI Intake operations (e.g., claims review, monitoring reports/complaints) to ensure the program is operated in accordance with Federal and state law and regulations?

5. Does the state monitor UI Intake program activity and performance in addition to monitoring set out in Federal requirements?

5a. If yes, explain what areas are monitored and the methods used.

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.

SECTION 5: Information Technology (IT)

The reviewer will assess the IT department’s delivery of programming and technical support to the UI Benefits Section. The reviewer will document IT projects relating to UI initial claims completed during the review period and any identified unmet IT needs. The state’s use of ICON applications will also be reviewed. Having a disaster recovery plan as well as contingency planning to implement emergency UI programs with a short lead time is vital to continued operations under extreme conditions.

- 1.** During the review period, were there any IT projects that impacted the UI initial claims system?
 - 1a.** If yes, describe the project(s) and indicate whether completed or on-going. If on-going, what is the expected completion date (for each)?

- 2.** During the review period, were there IT needs for the initial claims system(s) that were not met that affected program performance?
 - 2a.** If yes, describe the IT needs that were not met, the reason they were not met, and what effect, if any, it had on the program and the state’s plan(s) to meet these needs.

- 3.** Does the state have a disaster recovery plan that will ensure continued operations of the initial claims system in the event of a natural disaster or pandemic incident?

3a. If yes, has the state tested the plan, and if so, what was the date of the most recent test and results of the test?

4. What IT system(s) does the state use for taking initial claims? (*check all that apply*)

Internet claims

Interactive Voice Response (IVR)

Kiosks

Mainframe terminals

Online assistance

Other (*explain*)

5. Describe the measures that the UI agency has in place to ensure that only the claimant or someone authorized by the claimant can access claim information online or via phone (e.g., passwords, codes, Personal Identification Number (PIN), etc.).

- 6.** During the review period did the state experience any issues with telecommunicating IB initial claims information to and/or from the following Interstate Connection (ICON) applications?

IB1
IB13
UI Mail
SID
IBIQ
WIC2
LADT
IB HAND commuter system
IB 8606 (request for IB recovery of OP)
N/A

- 6a.** If yes, how long were the issues experienced and were they corrected?

- 7.** Does the state have designated/dedicated ICON IT programmer(s) to correct issues and make updates to the ICON interface system?

- 8.** Does the state have policies and procedures for the Liable/Agent Data Transfer (LADT) record to transfer records to the agent state (state of residence) from the ICON system?

- 9.** Does the state provide IB claim data to agent states via the LADT system?

- 9a.** If yes, has the state validated the system to ensure accurate information is transmitted?

9b. If yes, when was the last validation performed and what were the state’s findings?

10. Are all LADT reports sent (initial claims, continued claims, and commuter information) according to Federal requirements? (Reference [UIPL No. 38-96, Change 2](#))

11. How often are the LADT files processed?

11a. During the review period, did the state experience any backlogs in processing LADT files, as the agent state?

11b. If yes, explain.

11c. Is the state current in its processing of LADT files?

11d. If no, explain.

12. Does the system provide a Predetermination/Pseudo-Monetary Determination for claimants at the time that the claim is filed?

12a. If yes, what information is provided to the claimant during the filing of the initial claim or inquiry calls?

13. Does a new initial claim generate a notice of claim filed to all base period employers?

13a. If no, explain.

14. Does the IT system track all benefit balances as payments or payment offsets occur?

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: Claimant / Employer Access & Communication

The reviewer will provide information regarding the methods used by the state for taking initial claims and for publicizing the methods available to ensure claimants are aware of their claim-filing options. States need to maintain compliance with requirements set forth in Federal law. Claim-filing systems should be user-friendly, customer-facing systems and integrated operating systems to provide the best customer experience and efficient operations.

1. What method(s) does the state use for initial claims taking? (*check all that apply*)

Internet Telephone In-person Mail
Other (*explain*)

- 1a. Indicate the percentage of initial claims filed by each of the following methods if used in the state. (*indicate N/A or 0% if not used*)

Internet: %

Telephone: %

In-person: %

Mail: %

Other (*explain*):

%

- 1b.** Indicate how each of the state’s filing methods are publicized so that claimants are made aware of them. (*check all that apply for each filing method*)

Internet:

- Website
- Posters in Job Centers
- Media
- Rapid Response Meetings
- Other (*explain*)

N/A

Telephone:

- Website
- Posters in Job Centers
- Media
- Rapid Response Meetings
- Other (*explain*)

N/A

In-person:

- Website
- Posters in Job Centers
- Media

Question 1b check boxes continue on next page

Rapid Response Meetings

Other (*explain*)

N/A

Mail:

Website

Posters in Job Centers

Media

Rapid Response Meetings

Other (*explain*)

N/A

Question 1b check boxes continue on next page

Other:

Website

Posters in Job Centers

Media

Rapid Response Meetings

Other (*explain*)

Other:

Website

Posters in Job Centers

Media

Rapid Response Meetings

Other (*explain*)

2. What resources are available to a claimant to file an initial claim? (*check all that apply*)

Internet:

Workforce/One-Stop Centers

Kiosks

Other (*explain*)

N/A

Telephone:

Workforce/One-Stop Centers

Other (*explain*)

N/A

In-person:

Workforce/One-Stop Centers

Kiosks

Other (*explain*)

N/A

3. What types of assistance is available to aid claimants in filing a claim for each claim filing method available? *(check all that apply for each filing method)*

Internet:

- Online tutorials
- Help screens
- Hyperlinks to FAQs
- Online chat with staff
- Other *(explain)*

N/A

Telephone:

- Staff assisted
- FAQ Menu
- Other *(explain)*

N/A

In-person:

- Staff assisted
- Brochures/pamphlets
- Other *(explain)*

N/A

4. How are forms obtained when claims are filed using the following methods?
(check all that apply for each filing method)

Internet:

Mail Email

Other (*explain*)

N/A

Telephone:

Mail Email

Other (*explain*)

N/A

In-person:

In-person Mail Email

Other (*explain*)

N/A

4a. Does the state make it a practice to advise claimants not to include personally identifiable information in emailed documents?

5. How are forms provided to claimants and employers to complete for claims filed using the following methods? (*check all that apply*)

Internet:

Downloadable forms

Online web form

Mailed

Other (*explain*)

Other (*explain*)

N/A

Telephone:

Downloadable forms

Online web form

Mailed

Question 5 check boxes continue on next page

Other (*explain*)

Other (*explain*)

N/A

In-person:

Online web form

Handouts

Other (*explain*)

Question 5 check boxes continue on next page

Other (*explain*)

N/A

Mail:

Mailed

Other (*explain*)

Other (*explain*)

N/A

- 6.** How is the Benefits Rights Information provided to claimants for the following claim filing methods?
(*check all that apply for each method*)

Internet:

Electronic certification (web)

Telephone/IVR certification

Verbal by claimstaker

Mailed

Question 6 check boxes continue on next page

Other (*explain*)

N/A

Telephone:

Telephone/IVR certification

Verbal by claimstaker

Mailed

Other (*explain*)

N/A

In-person:

Verbal by claimstaker

Printed handout

Signed BRI

Mailed

Other (*explain*)

N/A

Question 6 check boxes continue on next page

Mail:

Verbal by claimstaker

Mailed

Other (*explain*)

N/A

- 7.** Indicate the claim types and self-service options the state offers for the filing methods used and for other claims activities. (*check all that apply*)

Internet:

Initial Claims

Continued Claims

Claim Status

Address Change

Forms Download

Benefit Rights Information

Other (*explain*)

N/A

Telephone:

Initial Claims

Continued Claims

Claim Status

Address Change

Forms Download

Question 7 check boxes continue on next page

Benefit Rights Information

Other (*explain*)

N/A

In-person:

Initial Claims

Continued Claims

Claim Status

Address Change

Forms Download

Benefit Rights Information

Other (*explain*)

N/A

8. Indicate the security procedures in place for each of the claim-filing methods used to validate an address change request and verify the requestor’s identity to ensure that only authorized changes are made.

Internet:

Telephone:

In-person:

Mail:

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: Operational Efficiency / Resource Allocation

The reviewer will examine various initial claims processes and assess efficiencies and automation that the state has employed to improve performance and provide better services to its customers.

1. Does the state review uncontested Lack of Work initial claims at any stage of claim processing?
 - 1a. If yes, which filing methods and what aspects of the lack of work claims are being reviewed?
 - 1b. What problems has the state identified that necessitate the review of these claims and how have the problem areas been addressed?
2. Are there methods in place to pursue missing or inaccurate base period wages (e.g., wage investigations, assignments to monetary wage, or employer services staff)?
3. If the state takes initial claims via the Internet, do any claim types require staff review or intervention before the claim is processed?

3a. If yes, what claim types?

3b. How often are the initial claims sampled?

4. If the state takes initial claims through an Interactive Voice Response (IVR) telephone claims system, are any initial claim types, including additional and reopen claims, processed without human intervention?

4a. If yes, what claim types?

5. What is the state’s ratio of management staff to front-line staff in their telephone claims office/call center?

6. Is the initial claims system operated on a single computer platform?
 - 6a. If multiple platforms are in use, is there seamless integration between the systems being used?

7. How does the state handle supporting evidence that is sent in as hard-copy forms and documents?
 - They are kept and archived as hard-copy forms
 - They are imaged and stored as electronic forms/data
 - Other (*explain*)

8. Does the state have a section or unit that only responds to inquiry calls?
 - 8a. If yes, how many staff members are assigned to this section/unit?

9. Does the state track the most common reasons for inquiry calls?
 - 9a. Does the state regularly review inquiry call information to identify opportunities for program or process improvements that can help reduce call volume?

9b. If yes, what steps has the state taken, what have the results been, and how are the improvements being measured?

10. Does the state use statistics (talk time or other data) to determine the efficiency of the initial claims taking process?

10a. If yes, what statistics are used and how often are they reviewed?

11. Does the state utilize customer surveys or focus groups to gather input on the initial claims operations to identify efficiencies or operational improvements that could be made?

11a. If yes, indicate which are used.

Surveys Focus groups

12. Does the state have any type of monetary determinations that must be issued manually?

12a. If yes, what initial claims or monetary determination processes require manual processing?
(*check all that apply*)

Disaster Unemployment Assistance

Trade Readjustment Allowances (TRA)

Alternative Trade Adjustment Assistance (ATAA)

Reemployment Trade Adjustment Assistance (RTAA)

Extended Benefits

Question 12a check boxes continue on next page

Fraud redeterminations
Between term school wages
Between term professional athlete wages
Gross misconduct wage removal
Other (*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: 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. What is the percentage of state staff that is allotted (FTE allocation) for initial claims?
%
2. Does initial claims staff conduct any fact-finding?
3. Does initial claims staff adjudicate any issues?
4. How many FTEs were budgeted for initial claims during the review period?
5. How many FTEs, on average, were dedicated to initial claims during the review period?
6. Did personnel actions occur that impacted staffing levels of initial claims staff during the review period? *(check all that apply)*
 - Hiring freeze(s)
 - Temporary or permanent staff reductions
 - Retirement/buyouts
 - Other *(explain)*

N/A

- 6a.** If the state implemented a hiring freeze, when did it occur and how long did it last?
- 6b.** If the state underwent temporary or permanent staff reductions how many claims center staff were affected, when did the action occur, and how long did it last?
- 6c.** If the state experienced retirements in its claims centers or had a retirement buyout during the review period, provide the number of claimstaking staff that left due to retirement.
- 6d.** What percentage of the overall claimstaking staff was lost as a result of temporary or permanent staff reductions and/or retirements? %
- 6e.** If the state experienced turnover, what percentage of the claimstaking positions remain vacant?
%

- 7.** Have there been any UI staffing/unit reorganizations for initial claims during the review period?
 - 7a.** If yes, was there any net effect on workloads?
 - 7b.** If yes (to question 7a), explain.

SECTION 8: 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 9: Concluding Summary Comments for Intake-Initial Claims

For the following sets of questions, consider the overall operations of Intake of 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 [66](#) and [67](#).

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

2. Document any issues detected in 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.: