## APPENDIX D

### DATA SYSTEMS SURVEY

Reference No.: 06863

# MATHEMATICA Policy Research

## Evaluation of the Unemployment Compensation Provisions of the American Recovery and Reinvestment Act of 2009

**Data Systems Survey** 

(Insert State Name)\_\_\_\_\_

October 11, 2012

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1225-0089. The time required to complete this information collection is estimated to average 30 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collected. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Labor, Rm. S2312, 200 Constitution Ave., NW, Washington, DC 20210. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: The UCP Project.

Mathematica and the Urban Institute are conducting an evaluation for the U.S. Department of Labor (DOL) about the implementation and effectiveness of the Unemployment Compensation (UC) provisions contained in the American Recovery and Reinvestment Act of 2009 (ARRA) legislation. As part of this study, our research team will be visiting your state and 19 others to learn about how states decided which optional provisions to adopt and to learn about their experiences implementing all ARRA-related UC provisions. In this advance survey, we'd like to gather information about your state's experience implementing any information systems changes needed to comply with the UC ARRA requirements. If you have any questions regarding this survey, please contact Grace Roemer of Mathematica Policy Research at <u>GRoemer@mathematica-mpr.com</u> or (609) 936-2782, or Brandon Kyler at <u>BKyler@mathematica-mpr.com</u> or (609) 716-4381.

State Name:	_
Respondent(s):	
Respondent Title(s):	
Respondent Department(s):	
Date:	
(Prefilled by Mathematica here and in modules)	
EMERGENCY UNEMPLOYMENT COMPENSATION (UC) TIERS 3 AND 4 IN STATE SINCE 2008?	<sup>1</sup> □ Yes $_0$ □ No → IF "NO," SKIP MODULE 4
EXTENDED BENEFITS (EB) IN STATE SINCE 2008?	1 □ Yes 0 □ No → IF "NO," SKIP MODULE 5
ANY AMERICAN RECOVERY AND REINVESTMENT ACT (ARRA) MODERNIZATION FUNDS RECEIVED?	1 □ Yes 0 □ No → IF "NO," SKIP MODULE 6

		Module 1—Federal Additional Com	pensa	tion (	FAC) (All Respondents)
1.	that ben	at systems changes did your state make so t Federal Additional Compensation (FAC) refits payments could be made, tracked, usted, and/or reported?	3.	the	at challenges did you encounter in making se systems changes? RK ALL THAT APPLY
2.	adju MAR 1    2    3    4    5    6    7    7    7    7    7    7    7		4.	1 2 3 4 5 6 7 8 Was sys pay MAF n 1 2	Insufficient financial resources to make appropriate systems changes or establish alternate systems Insufficient personnel Insufficient understanding of UC ARRA requirements Insufficient time to respond to legislative changes Difficulty maintaining data quality (including accuracy of benefit amounts) Unable to create, track and report FAC benefits payments No challenges encountered Other (Specify) Syour state able to complete necessary tems changes so that timely FAC benefits ments could be made? RK ONE ONLY Not applicable, no systems changes needed Yes, all benefits paid in timely manner
	Ϋ́				

5.	Did FAC overpayments present any specific systems challenges?	7.	What was the approximate cost of making the FAC-related systems changes?
	- 1 🗆 Yes		MARK ONE ONLY
	$_{\circ}$ $\Box$ No $\rightarrow$ GO TO Q.5b		1 □ \$0 (no FAC-related systems changes) → GO TO MODULE 2, Q.1
∳ 5a.	If yes, which FAC overpayments-related systems changes were challenging to implement?		2 □ \$1 to \$50,000 3 □ \$50,001 to \$100,000
	<ul> <li>MARK ALL THAT APPLY</li> <li>1 Calculating exact overpayments</li> <li>2 Establishing overpayments</li> <li>3 Applying overpayments in proper order</li> <li>4 Offsetting overpayments</li> <li>5 Distinguishing between existing and new overpayments</li> <li>6 Offsetting fraud and nonfraud overpayments</li> <li>7 Accounting and reporting of overpayments</li> <li>8 None</li> </ul>	7a.	<ul> <li>4□ \$100,001 to \$250,000</li> <li>5□ \$250,001 to \$500,000</li> <li>6□ \$500,001 to \$1,000,000</li> <li>7□ Greater than \$1,000,000</li> <li>Does this cost estimate include other UC ARRA improvements?</li> <li>1□ Yes</li> <li>0□ No</li> <li>If yes, please specify which ones:</li> </ul>
	9 □ Other <i>(Specify)</i>		
5b.	Please provide the total amount of FAC-related outstanding overpayments, not including write- offs or waived overpayments, as of 12/31/2012.	7b.	How were these systems changes financed? MARK ALL THAT APPLY 1 Modernization funds 2 State administrative grants
6.	<ul> <li>Did FAC reporting present any specific challenges?</li> <li>MARK ALL THAT APPLY</li> <li>1 Yes, lack of specific reporting guidance</li> <li>2 Yes, lack of designated Unemployment Insurance Required Reports (UIRR) forms or cells on existing forms</li> </ul>		<ul> <li>General revenue</li> <li>4 □ Other (Specify)</li> </ul>
	3 □ Yes (Other)		
	₀ □ <b>No</b>		

	Module 2— First \$2,400 in Benefits Free	f Federal Inc	ome Tax (All Respondents)
1.	What systems changes did your state make to ensure that the first \$2,400 in benefits payments in 2009 would be paid, tracked, adjusted, and/or reported as free of federal income tax?	these	challenges did you encounter in making systems changes? ALL THAT APPLY
2.		1 □ Ir a 2 □ Ir 3 □ Ir 6 □ Ir 5 □ D a 6 □ N 7 □ C - 4. Was y systel could MARK ∩ □ N 1 □ Y m 2 □ So 3 □ N 4 □ N	ALL THAT APPLY asufficient financial resources to make ppropriate systems changes or establish lternate systems asufficient personnel asufficient understanding of UC ARRA equirements asufficient time to respond to legislative hanges ifficulty maintaining data quality (including ccuracy of benefit amounts) to challenges encountered other (Specify) four state able to complete necessary ms changes so that benefits payments be properly adjusted in a timely manner? ONE ONLY tot applicable, no systems changes needed es, all benefits properly adjusted in timely anner omewhat, some benefits properly adjusted in time and some retroactively to, not all benefits due were properly adjusted other (Specify)

5.	What was the approximate cost of making these	Module 3—EUC08 Tiers 1 and 2 (All Respondents)
	systems changes? MARK ONE ONLY 1 □ \$0 (no systems changes) → GO TO MODULE 3, Q.1	1. What systems changes did your state make so that EUC08 Tier 1/Tier 2 benefits eligibility and payments could be made, tracked, adjusted, and/or reported?
	2 □ \$1 to \$50,000	MARK ALL THAT APPLY
	3 □ \$50,001 to \$100,000	<sup>1</sup> □ No changes needed, systems capacity already
	₄ □ \$100,001 to \$250,000	existed $\rightarrow$ GO TO Q.6
	₅ □ \$250,001 to \$500,000	<ul> <li>2 □ Unable to capture, track, report on EUC08 Tier</li> <li>1/Tier 2 requirements → GO TO Q.6</li> </ul>
	6 □ \$500,001 to \$1,000,000	₃ □ Added fields/flags/indicators to state claims systems
	<sup>7</sup> □ Greater than \$1,000,000	Added screens to state claims systems
5a.	Does this cost estimate include other UC ARRA improvements?	₅ □ Benefit payment control (BPC) system changes (for overpayments)
	₁□ Yes	6 Linked UC and Employment Service (ES) data or data systems to comply with UIPL 20-11
	₀ □ No	<sup>7</sup> □ Handled outside state claims/BPC systems
	If yes, please specify which ones:	<ul> <li>(for example, ad hoc spreadsheets, databases)</li> <li><sup>8</sup> □ Used TEUC system/screens as foundation for capturing, tracking, and reporting EUC08 information</li> </ul>
		$\square$ Other (Specify)
5b.	How were these systems changes financed? MARK ALL THAT APPLY	2. What facilitated your state's efforts to make the changes needed for EUC08 Tier 1/Tier 2?
	MARK ALL THAT AFFLT 1 □ Modernization funds	MARK ALL THAT APPLY
		1 □ State political leadership/support
	<sup>2</sup> State administrative grants	<sup>2</sup> Agency leadership/support
	3 □ General revenue	3 □ Staff support
	<sup>₄</sup> □ Other (Specify)	4 Leadership knowledge of UC ARRA requirements
		5 □ Staff knowledge of UC ARRA requirements
		6  Resources available
		7
		<sup>8</sup> □ Nothing
		<sup>9</sup> □ Other (Specify)

8.	What challenges did you encounter in making these systems changes?	4.	Was your state able to implement a process by March 2012 for confirming EUC08 Tier 1/Tier 2 benefits eligibility in accordance with
	MARK ALL THAT APPLY		UIPL 20-11?
	<ul> <li>Insufficient financial resources to make appropriate systems changes or establish alternate systems</li> </ul>		
			$_{1}$ $\square$ Yes, direct link between UI and ES in real time
	2  Insufficient personnel		$_2$ $\square$ Yes, periodic matching of UI and ES data
	Insufficient understanding of UC ARRA requirements		3
	<ul> <li>Insufficient time to respond to legislative changes</li> </ul>		4    Yes, self-attestation by claimants
	5 Difficulty maintaining data quality (including accuracy of benefit amounts)		<ul> <li>5 No, process implemented, but not timely</li> <li>5a Identify process:</li> </ul>
	<sup>6</sup> □ Tracking more than 26 weeks (up to 34 weeks) of payments		6  No, process still not implemented
	<sup>7</sup> □ Tracking EUC08 tiers within modified (tierless) TEUC system	5.	Was your state able to complete necessary systems changes so that timely EUC08
	$_{8}$ $\square$ Lack of staff knowledge of TEUC/EUC08		Tier 1/Tier 2 benefits payments could be made?
	9  Gamma Augmenting Tier 1 with Tier 2 (applying supplements)		MARK ONE ONLY □ □ Not applicable, no systems changes needed
	10 D Paying on proper benefits claims (no reachbacks)		<ul> <li>Yes, all benefits paid in timely manner</li> </ul>
	Allocating overpayment reconciliation activities to general revenue instead of trust fund		<sup>2</sup> Somewhat, some benefits paid on time and some retroactively
	12   Establishing proper weekly benefit amounts		$_{3}\square$ No, all benefits paid retroactively
	13  Checking for wages/benefits at benefit year end		₄ □ No, not all benefits due were paid
	and quarter change for regular UI		$_5 \square$ Other (Specify)
	<sup>14</sup> Checking for wages/benefits at benefit year end and quarter change for CWC-IS		
	15  Withholding federal income tax		
	16  Matching individual identifiers across UI and ES systems		
	17  No challenges encountered		
	18  Other (Specify)		

6.	Did EUC08 Tier 1/Tier 2 overpayments present any specific systems challenges?		Did reporting EUC08 Tier 1/Tier 2 benefits present any specific challenges? MARK ALL THAT APPLY
6a.	<ul> <li>1 □ Yes</li> <li>0 □ No → GO TO Q.6b</li> <li>If yes, which EUC08 Tier 1/Tier 2 overpayments-related systems changes have been challenging to implement?</li> <li>MARK ALL THAT APPLY</li> <li>1 □ Calculating exact overpayments</li> <li>2 □ Establishing overpayments</li> </ul>		<ul> <li>Yes, lack of specific reporting guidance</li> <li>Yes, lack of designated UIRR forms or cells on existing forms</li> <li>Yes, revising prior ETA 218 and ETA 5159 reports to properly report for Tier 1 benefits</li> <li>Yes, programming to complete new ETA 9128U</li> <li>Yes (Other)</li> <li>No</li> </ul>
	<ul> <li>Applying overpayments in proper order</li> <li>Offsetting overpayments</li> <li>Distinguishing between existing and new overpayments</li> </ul>	8.	What was the approximate cost of making these systems changes? MARK ONE ONLY 1 □ \$0 (no systems changes) → GO TO MODULE 4, Q.1
6b.	<ul> <li>Generating fraud and nonfraud overpayments</li> <li>Reporting of overpayments</li> <li>Tracking overpayment adjustments to general revenue instead of trust fund</li> <li>None</li> <li>Other (Specify)</li> <li>Please provide the total amount of EUC08</li> <li>Tier 1/Tier 2-related outstanding overpayments, not including write-offs or waived overpayments, as of 12/31/2012.</li> </ul>	8a.	<ul> <li>2 \$1 to \$50,000</li> <li>3 \$50,001 to \$100,000</li> <li>4 \$100,001 to \$250,000</li> <li>5 \$250,001 to \$500,000</li> <li>6 \$500,001 to \$1,000,000</li> <li>7 Greater than \$1,000,000</li> <li>7 Greater than \$1,000,000</li> </ul> 1 Yes <ul> <li>1 Yes</li> <li>0 No</li> </ul>
			How were these systems changes financed? MARK ALL THAT APPLY 1 Modernization funds 2 State administrative grants 3 General revenue 4 Other (Specify)

	Module 4—EUC08 Ti	3 and 4 (Some Responde	ents)
	□ NO EUC08 TIERS 3 AND 4 IN STATE. IF CHECKED, SKIP MODULE 4	3. What challeng these systems	es did you encounter in making changes?
		MARK ALL THA	T APPLY
•	What additional systems changes did your so make so that EUC08 Tier 3/Tier 4 benefits payments could be made, tracked, adjusted, and/or reported?		t financial resources to make e systems changes or establish ystems
	MARK ALL THAT APPLY	2 🗆 Insufficient	personnel
	1 □ No changes needed, systems capacity alreated → GO TO Q.5	₃ □ Insufficient requireme	t understanding of UC ARRA nts
	2	₄ □ Insufficient changes	t time to respond to legislative
	3 □ Added screens to state claims systems		naintaining data quality (including of benefit amounts)
	<ul> <li>Benefit payment control (BPC) system changes (for overpayments)</li> </ul>	₀ □ Tracking m of paymen	nore than 26 weeks (up to 53 weeks) ts
	<ul> <li>5          Handled outside state claims/BPC systems         (for example, ad hoc spreadsheets, databased)     </li> </ul>	-	overpayment reconciliation amounts funding instead of trust fund
	6 □ Unable to capture, track, report on EUC08 Tier 3/Tier 4 requirement	₃ □ Establishir	ng proper weekly benefit amounts
	<sup>7</sup> □ Other ( <i>Specify</i> )		or wages/benefits at benefit year ender or change for regular UI
			or wages/benefits at benefit year end r change for CWC-IS
•	What facilitated your state's efforts to make t changes needed for EUC08 Tier 3/Tier 4?		g federal income tax
	MARK ALL THAT APPLY		ges encountered
	1  State political leadership/support	13 □ Other (Spe	ecify)
	<sup>2</sup> Agency leadership/support		
	3 □ Staff support	systems chan	e able to complete necessary ges so that timely EUC08 enefits payments could be made?
	4 Leadership knowledge of UC ARRA requirements	MARK ONE ONI	
	5 □ Staff knowledge of UC ARRA requirements	n 🗆 Not applica	able, no systems changes needed
	6 🗆 Resources available	1 □ Yes, all be	nefits paid in timely manner
	7	2 □ Somewhat some retro	, some benefits paid on time and actively
	s □ Nothing	з 🗆 No, all ben	efits paid retroactively
	$\square  \text{Other } (Specify)$	₄ □ No, not all	benefits due were paid

Yes No → GO TO Q.5b es, which EUC08 Tier 3/Tier 4 overpayments- ted systems changes have been challenging nplement? EX ALL THAT APPLY Calculating exact overpayments Establishing overpayments Applying overpayments in proper order Offsetting overpayments Distinguishing between existing and new overpayments Offsetting fraud and nonfraud overpayments Reporting of overpayment adjustments to stimulus	7a.	MARK ONE ONLY         1□       \$0 (no systems changes) → GO TO MODULE 5, Q.1         2□       \$1 to \$50,000         3□       \$50,001 to \$100,000         4□       \$100,001 to \$250,000         5□       \$250,001 to \$1,000,000         6□       \$500,001 to \$1,000,000         7□       Greater than \$1,000,000         Does this cost estimate include other UC ARRA improvements?         1□       Yes
es, which EUC08 Tier 3/Tier 4 overpayments- ted systems changes have been challenging inplement? EK ALL THAT APPLY Calculating exact overpayments Establishing overpayments Applying overpayments in proper order Offsetting overpayments Distinguishing between existing and new overpayments Offsetting fraud and nonfraud overpayments Reporting of overpayments	7a.	MODULE 5, Q.1         2 □       \$1 to \$50,000         3 □       \$50,001 to \$100,000         4 □       \$100,001 to \$250,000         5 □       \$250,001 to \$500,000         6 □       \$500,001 to \$1,000,000         7 □       Greater than \$1,000,000         Does this cost estimate include other UC ARRA improvements?
<ul> <li>ted systems changes have been challenging inplement?</li> <li><b>EX ALL THAT APPLY</b></li> <li>Calculating exact overpayments</li> <li>Establishing overpayments</li> <li>Applying overpayments in proper order</li> <li>Offsetting overpayments</li> <li>Distinguishing between existing and new overpayments</li> <li>Offsetting fraud and nonfraud overpayments</li> <li>Reporting of overpayments</li> </ul>	7a.	<ul> <li>2 \$1 to \$50,000</li> <li>3 \$50,001 to \$100,000</li> <li>4 \$100,001 to \$250,000</li> <li>5 \$250,001 to \$500,000</li> <li>6 \$500,001 to \$1,000,000</li> <li>7 Greater than \$1,000,000</li> <li>Does this cost estimate include other UC ARRA improvements?</li> </ul>
ALL THAT APPLY         Calculating exact overpayments         Establishing overpayments         Applying overpayments in proper order         Offsetting overpayments         Distinguishing between existing and new overpayments         Offsetting fraud and nonfraud overpayments         Reporting of overpayments	7a.	<ul> <li>4 □ \$100,001 to \$250,000</li> <li>5 □ \$250,001 to \$500,000</li> <li>6 □ \$500,001 to \$1,000,000</li> <li>7 □ Greater than \$1,000,000</li> <li>Does this cost estimate include other UC ARRA improvements?</li> </ul>
Calculating exact overpayments Establishing overpayments Applying overpayments in proper order Offsetting overpayments Distinguishing between existing and new overpayments Offsetting fraud and nonfraud overpayments Reporting of overpayments	7a.	<ul> <li>\$250,001 to \$500,000</li> <li>\$500,001 to \$1,000,000</li> <li>Greater than \$1,000,000</li> <li>Does this cost estimate include other UC ARRA improvements?</li> </ul>
Establishing overpayments Applying overpayments in proper order Offsetting overpayments Distinguishing between existing and new overpayments Offsetting fraud and nonfraud overpayments Reporting of overpayments	7a.	<ul> <li>6 □ \$500,001 to \$1,000,000</li> <li>7 □ Greater than \$1,000,000</li> <li>Does this cost estimate include other UC ARRA improvements?</li> </ul>
Applying overpayments in proper order Offsetting overpayments Distinguishing between existing and new overpayments Offsetting fraud and nonfraud overpayments Reporting of overpayments	7a.	<ul> <li>□ Greater than \$1,000,000</li> <li>Does this cost estimate include other UC ARRA improvements?</li> </ul>
Offsetting overpayments Distinguishing between existing and new overpayments Offsetting fraud and nonfraud overpayments Reporting of overpayments	7a.	Does this cost estimate include other UC ARRA improvements?
Distinguishing between existing and new overpayments Offsetting fraud and nonfraud overpayments Reporting of overpayments	7a.	improvements?
Offsetting fraud and nonfraud overpayments Reporting of overpayments		1 □ Yes
Reporting of overpayments	i .	
		₀ □ <b>No</b>
funding instead of trust fund		If yes, please specify which ones:
None		
Other (Specify)		
	7b.	How were these systems changes financed?
no provide the total amount of EUCOS		MARK ALL THAT APPLY
se provide the total amount of EUC08 3/Tier 4-related outstanding overpayments,		1   Modernization funds
including write-offs or waived overpayments, f 12/31/2012.		<sup>2</sup> □ State administrative grants
		3 □ General revenue
		₄ □ Other <i>(Specify)</i>
reporting EUC08 Tier 3/Tier 4 benefits sent any specific challenges?		
Yes, lack of specific reporting guidance		
Yes, lack of designated UIRR forms or cells on existing forms		
•		
5	ent any specific challenges? Yes, lack of specific reporting guidance Yes, lack of designated UIRR forms or	ent any specific challenges? Yes, lack of specific reporting guidance Yes, lack of designated UIRR forms or cells on existing forms

#### Module 5—Extended Benefits (EB) (Some Respondents)

#### □ NO EXTENDED BENEFITS (EB) IN STATE. IF CHECKED, SKIP MODULE 5

1. What systems changes did your state make so that Extended Benefits (EB) payments could be made, tracked, adjusted, and/or reported?

#### MARK ALL THAT APPLY

- I □ No changes needed, systems capacity already existed → GO TO Q.5
- 2 □ Added fields/flags/indicators to state claims systems
- 3 □ Added screens to state claims systems
- <sup>4</sup> □ Benefit payment control (BPC) system changes (for overpayments)
- Handled outside state claims/BPC systems
   (for example, ad hoc spreadsheets, databases)
- <sup>6</sup> □ Unable to capture, track, report on UC ARRA EB requirement
- 7 □ Other (Specify)
- 2. What facilitated your state's efforts to make the changes needed for EB?

#### MARK ALL THAT APPLY

- 1 C State political leadership/support
- <sup>2</sup> Agency leadership/support
- 3 □ Staff support
- 4 □ Leadership knowledge of UC ARRA requirements
- 5 □ Staff knowledge of UC ARRA requirements
- 6 
  GResources available
- 7 □ Alignment of UC ARRA requirements with existing state goals/initiatives
- 8 □ Nothing
- 9 □ Other (Specify)

# 3. What challenges did you encounter in making these systems changes?

#### MARK ALL THAT APPLY

- Insufficient financial resources to make appropriate systems changes or establish alternate systems
- $_2$   $\square$  Insufficient personnel
- ₃ □ Insufficient understanding of UC ARRA requirements
- ₄ □ Insufficient time to respond to legislative changes
- <sup>5</sup> □ Difficulty maintaining data quality (including accuracy of benefit amounts)
- <sup>6</sup> □ Tracking more than 26 weeks (up to 99 weeks) of payments
- 7 □ Implementing both EUC08 and EB
- 8 
  Taking applications for EB
- <sup>9</sup> □ Tracking payments to interstate claimants
- 10 Collecting and verifying EB work search documents
- 11 

  Establishing proper weekly benefit amounts
- 12 □ Checking for wages/benefits at benefit year end and quarter change for regular UI
- <sup>13</sup> □ Checking for wages/benefits at benefit year end and quarter change for CWC-IS
- 14  $\square$  Withholding federal income tax
- 15 □ No challenges encountered
- <sup>16</sup> □ Other (Specify)

4.	Was your state able to complete necessary systems changes so that timely EB payments could be made?	6.	Did reporting EB present any specific challenges?
	MARK ONE ONLY		1 □ Yes, lack of specific reporting guidance
	$\square$ Not applicable, no systems changes needed		2 Yes, lack of designated UIRR forms or cells on existing forms
	1 □ Yes, all benefits paid in timely manner		₃ □ Yes, reporting both EUC08 and EB
	2 Somewhat, some benefits paid on time and some retroactively		₄□ Yes (Other)
	$_{3}\square$ No, all benefits paid retroactively		₀ □ <b>No</b>
	$_4 \square$ No, not all benefits due were paid		
	5 Other (Specify)	7.	What was the approximate cost of making thes systems changes?
			MARK ONE ONLY
5.	Did EB overpayments present any specific systems challenges?		<ul> <li>1 □ \$0 (no systems changes) → GO TO</li> <li>MODULE 6, Q.1</li> </ul>
_	- 1 🗆 Yes		₂ □ \$1 to \$50,000
	$_{\circ}$ $\Box$ No $\rightarrow$ GO TO Q.5b		₃ □ \$50,001 to \$100,000
↓ 5a.	If yes, which EB overpayments-related systems		₄ □ \$100,001 to \$250,000
	changes have been challenging to implement?		₅ □ \$250,001 to \$500,000
	MARK ALL THAT APPLY		6 □ \$500,001 to \$1,000,000
	□ Calculating exact overpayments		7 □ Greater than \$1,000,000
	<sup>2</sup> D Establishing overpayments	7a.	Does this cost estimate include other UC ARRA
	$_{3}\square$ Applying overpayments in proper order		improvements?
	₄ □ Offsetting overpayments		1 □ Yes
	₅ □ Distinguishing between existing and new		• 🗆 No
	overpayments		If yes, please specify which ones:
	6  Offsetting fraud and nonfraud overpayments		
	7 □ Reporting of overpayments		
	8 🗆 None	7b.	How were these systems changes financed?
	₀ □ Other <i>(Specify)</i>		MARK ALL THAT APPLY
			1 D Modernization funds
	Please provide the total amount of EB-related		<sup>2</sup> State administrative grants
5b.	outstanding overpayments, not including write-		3 □ General revenue
5b.	offs or waived overpayments, as of 12/31/2012.		

		ENTIVES IN	N STATE. IF (	CHECKED,	SKIP MODU	LE 6				
•	What systems changes did y	/our state n	nake so that	modernizat	ion provisio		made, tracke		nd/or reported	1?
		Provision not applicable in this state	No changes needed, systems capacity already existed	Added fields to state claims systems	Added flags/ indicators to state claims systems	Added screens to state claims systems	Made Benefit payment control (BPC) system changes (for overpays)	Handled outside state claims/BPC systems (for example, ad hoc spreadsheets, databases)	Unable to capture, track, and/or report on UC ARRA requirement	Other (Specify)
a.	ABP eligibility calculations	n 🗖	1 🗆	2 🗆	з 🗆	4 🗆	5 🗆	6 🗆	7 🗆	8 🗆
b.	UC benefits payments for workers seeking part-time employment	n 🗆	1 🗆	2 🗌	3 🗆	4 🗆	5 🗆	6 🗆	7 🗆	8 🗆
c.	UC benefits payments for workers with voluntary job quits for compelling family reasons	n 🗆	1 🗆	2 🗌	3 🗆	4 🗆	5 🗆	6 🗆	7 🗆	8 🗆
d.	UC benefits payments for an additional 26 weeks for workers enrolled and making satisfactory progress in certain training programs	n 🗆	1 🗆	2 🗆	3 🗆	4 🗆	5 🗆	6 🗆	7 🗆	8 🗆
e.	Dependency allowances	n 🗆	1 🗆	2 🗆	3 🗆	4 🗆	5 🗆	6 🗆	7 🗆	8 🗆

ch	hat helped your state make the systems anges needed for the UI modernization ovisions adopted by your state?	4.
M	RK ALL THAT APPLY	
1 🗆	State political leadership/support	
2 🗆	Agency leadership/support	
з 🗆	Staff support	
4 🗆	Leadership knowledge of UC ARRA requirements	
5 C	Staff knowledge of UC ARRA requirements	
6 🗆	Resources available	
7 [	Alignment of UC ARRA requirements with existing state goals/initiatives	
	NI-012-2	4a.
8 🗆	Nothing	
	Other (Specify)	
	5	
₀ □ W th	Other <i>(Specify)</i>	
₀ □ W th	Other (Specify)	4b.
9 □ W th	<ul> <li>Other (Specify)</li> <li>nat challenges did you encounter in making ese systems changes for UI modernization?</li> <li>ARK ALL THAT APPLY</li> <li>Insufficient financial resources to make appropriate systems changes or establish alternate systems</li> </ul>	4b.
9 [ W th 1 [	<ul> <li>Other (Specify)</li> <li>Anat challenges did you encounter in making ese systems changes for UI modernization?</li> <li>ARK ALL THAT APPLY</li> <li>Insufficient financial resources to make appropriate systems changes or establish alternate systems</li> <li>Insufficient personnel</li> </ul>	4b.
9 [ W th 1 [ 2 [	<ul> <li>Other (Specify)</li> <li>And challenges did you encounter in making esse systems changes for UI modernization?</li> <li>ARK ALL THAT APPLY</li> <li>Insufficient financial resources to make appropriate systems changes or establish alternate systems</li> <li>Insufficient personnel</li> <li>Insufficient understanding of UC ARRA requirements</li> </ul>	4b.
9 [ W th 1 [ 2 [ 3 [	<ul> <li>Other (Specify)</li> <li>And challenges did you encounter in making esse systems changes for UI modernization?</li> <li>ARK ALL THAT APPLY</li> <li>Insufficient financial resources to make appropriate systems changes or establish alternate systems</li> <li>Insufficient personnel</li> <li>Insufficient understanding of UC ARRA requirements</li> <li>Not enough to respond to legislative changes</li> </ul>	4b.
9 [ W th 1 [ 2 [ 3 [ 4 [	<ul> <li>Other (Specify)</li> <li>Deter (Specify)</li> <li>Deter (Specify)</li> <li>Deter (Specify)</li> <li>Deter Challenges did you encounter in making esse systems changes for UI modernization?</li> <li>Determine Challenges did you encounter in making esse systems changes for UI modernization?</li> <li>Determine Challenges did you encounter in making esse systems changes or undernization?</li> <li>Determine Challenges did you encounter in making esse systems changes or undernization?</li> <li>Determine Challenges did you encounter in making esse systems changes or undernization?</li> <li>Determine Challenges did you encounter in making esse systems changes or establish alternate systems</li> <li>Determine Challenges or establish essentiation of UC ARRA requirements</li> <li>Determine Challenges did you encounter in making essentiation of the encounter of the</li></ul>	4b.
9 C W th M/ 1 C 3 C 4 C 5 C	<ul> <li>Other (Specify)</li> <li>Deter (Specify)</li> <li>Deter Challenges did you encounter in making esse systems changes for UI modernization?</li> <li>ARK ALL THAT APPLY</li> <li>Insufficient financial resources to make appropriate systems changes or establish alternate systems</li> <li>Insufficient personnel</li> <li>Insufficient understanding of UC ARRA requirements</li> <li>Not enough to respond to legislative changes</li> <li>Difficulty maintaining data quality (including accuracy of benefit amounts)</li> <li>Accessing most recent wage records for ABP calculations</li> </ul>	4b.

4. What was the approximate cost of making the UI modernization systems changes made by your state?

#### MARK ONE ONLY

- $_1 \square$  \$0 (no systems changes)  $\rightarrow$  GO TO Q.6.2
- 2 □ \$1 to \$50,000
- 3 □ \$50,001 to \$100,000
- ₄ □ \$100,001 to \$250,000
- ₅ □ \$250,001 to \$500,000
- 6 □ \$500,001 to \$1,000,000
- 7 Greater than \$1,000,000
- 4a. Does this cost estimate include other UC ARRA improvements?
  - 1 🗆 Yes
  - ₀ □ **No**

If yes, please specify which ones:

4b. How were the UI modernization systems changes financed?

MARK ALL THAT APPLY

- □ □ Modernization funds
- <sup>2</sup> D State administrative grants
- 3 □ General revenue
- <sup>₄</sup>□ Other (Specify)

		MARK ONE ONLY							
		Provision not applicable in this state	Not applicable, no systems changes needed	Yes, all benefits paid in timely manner	Somewhat, some benefits paid on time and some retroactively	No, all benefits paid retroactively	No, not all benefits due were paid	Other (Specify)	
a.	ABP eligibility calculations	n 🗖	na 🗖	1 🗆	2 🗆	3 🗆	4 🗆	5 🗆	
b.	UC benefits payments for workers seeking part-time employment	n 🗆	na 🗖	1 🗆	2 🗆	3 🗆	4 🗆	5 🗆	
C.	UC benefits payments for workers with voluntary job quits for compelling family reasons	n 🗆	na 🗌	1 🗆	2 🗌	3 🗆	4 🗆	5 🗆	
d.	UC benefits payments for an additional 26 weeks for workers enrolled and making satisfactory progress in certain training programs	n 🗆	na 🗌	1 🗆	2 🗆	3 🗆	4 🗌	5 🗆	
e.	Dependency allowances	n 🗆	na 🗖	1 🗆	2 🗆	3 🗆	4 🗆	5 🗆	

	MARK ALL THAT APPLY									
	Provision not applicable in this state	Calculating exact overpayments	Establishing overpayments	Applying overpayments in proper order	Offsetting overpayments	Distinguishing between existing and new overpayments	Offsetting fraud and nonfraud overpayments	Accounting of and reporting overpayment differences	Other (Specify)	
a. Workers seeking part-time employment	n 🗆	1 🗆	2 🗌	3 🗆	4 🗆	5 🗆	6 🗆	7 🗆	8 🗆	
<ul> <li>Workers with voluntary job quits for compelling family reasons</li> </ul>	n 🗆	1 🗆	2 🗆	3 🗆	4 🗆	5 🗆	6 🗆	7 🗆	8 🗆	
Additional 26 weeks for workers enrolled and making satisfactory progress in certain training programs	n 🗆	1 🗆	2 🗆	3 🗆	4 🗆	5 🗆	6 🗆	7 🗆	8 🗆	
. Dependency allowances	n 🗆	1 🗆	2 🗆	3 🗆	4 🗆	5 🗆	6 🗆	7 🗆	8 🗆	

6.2	.2 Please provide the total amount of outstanding UC benefits overpayments, before deductions for write-offs and waived overpayments, as of December 31, 2012, for each of the following modernization provisions.									
			MARK ONE ONLY							
					Provision not applicable in this state	Unable to calculate		Enter dollar amount		
a.	Workers seeking part-time employment				n 🗆	1 🗆	\$			
b.	Workers with voluntary job quits for compelling family re		n 🗆	1 🗆	\$					
c.	Additional 26 weeks for workers enrolled and making sa	ms	n 🗆	1 🗆	\$					
d.	Dependency allowances		n 🗆	1 🗆	\$					
7.	. Did reporting on the following modernization provisions present any specific challenges?									
	MARK ALL THAT APPLY									
		Yes, lack of specific reporting guidance	Yes, lack of designated UIRR forms or cells on existing forms			<b>Yes</b> (Other)		No		
a.	UC benefits payments for workers seeking part-time employment	1 🗆	2 🗆		3 🗆			o 🗆		
b.	UC benefits payments for workers with voluntary job quits for compelling family reasons	1 🗆	2 🗆		з 🗆			o 🗆		
C.	UC benefits payments for an additional 26 weeks for workers enrolled and making satisfactory progress in certain training programs	1 🗆	2 🗆		3 🗆			o 🗆		
d.	Dependency allowances	1 🗆	2 🗆		3 🗆			o 🗆		