



Unemployment Insurance (UI) Benefit Operations Self-Assessment Tool: *Benefit Payment Control (BPC)*

REVIEW PERIOD: **Begins**

Ends

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

Enter your state's Overpayment detection and recovery rates for each quarter of the review period. The detection rate is a Core Measure that is the percentage of detectable, recoverable overpayments established for recovery. The recovery rate is the percentage of the amount of improper overpayments recovered, compared to the amount of improper overpayments identified.

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

1. UI Overpayment Detection Rate

(Acceptable Level of Performance = $\geq 50\%$ and $< 95\%$)

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

2. UI Overpayment Recovery Rate

(Acceptable Level of Performance = 68%)

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

SECTION 1: Procedures, Policies, and Confidentiality

Resources may 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. 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 conducting BPC activities?
 - 1a.** If yes, were the policies and procedures updated or modified during the review period?
 - 1b.** Under what circumstances will the state update its BPC policies and procedures?
(check all that apply)
 - Federal or state law changes
 - Organizational changes
 - Technology changes
 - Other *(explain)*
 - 1c.** Do the state policies and procedures detail the investigative process?
 - 1d.** Are there policies and procedures for adjudicating issues of fraud and non fraud?
 - 1e.** Are there policies and procedures for determining fraud and non fraud overpayments?
 - 1f.** If the state has a variable disqualification period for fraud, are there policies and procedures for determining the length of such disqualification period?

1g. Are there policies and procedures that prohibit the state from establishing an overpayment once a specified period of time has elapsed from the date of incident to the date of discovery?

1h. Do the policies and procedures apply to both fraud and non fraud overpayments?

2. How are policies and procedures for BPC activities made available to staff? *(check all that apply)*

Online

Hard-copy handbook

Training materials

Other *(explain)*

3. Were there any law changes during the review period that affected the state's policies and procedures concerning BPC activities?

3a. If yes, what law changes did the state implement, when were they implemented and what was the effect on the state's BPC 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 BPC 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 BPC 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 BPC policies and procedures?

5a. If yes, what automation or technology upgrades did the state make?

5b. If yes, when were the technology upgrades made and what was the effect of the change?

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

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

6. Does the BPC unit conduct crossmatches of state wage data to benefit payment data?

6a. If yes, how frequently is the crossmatch conducted?

Quarterly Monthly Weekly Daily

Other (*explain*)

N/A

6b. If yes, what if any constraints does the state use when conducting the crossmatch?

(*check all that apply*)

Temporary layoffs

Partial claims

Number of weeks filed (*explain*)

Monetary threshold, e.g., include only if over \$500, \$1,000, etc. (*explain*)

Question 6b check boxes continue on next page

Other (*explain*)

N/A

6c. Are the wage data crossmatch employer letters generated automatically without staff intervention?

6d. Does the state conduct follow-up on any wage data crossmatch requests that are not returned by employers?

6e. If yes, how is this follow-up conducted? (*check all that apply*)

Automated Manual

7. Does the state use the state and/or national directories of new hires to identify unreported employment?

7a. If yes, indicate below which the state uses.

National Directory of New Hires (NDNH):

State Directory of New Hires (SDNH):

7b. If no, explain why the state and/or national new hires directories are not being used?

7c. If yes, are these new hire directory crossmatch processes automated?

National Directory of New Hires (NDNH):

State Directory of New Hires (SDNH):

7d. If yes, how often and on what schedule is the National Directory of New Hires match conducted?

7e. If yes, how often and on what schedule is the State Directory of New Hires match conducted?

7f. If not all of the claimant population is matched against the new hire directories, what criteria does the state use to select the claims to match against these directories?

7g. What types of claims are filtered out of these crossmatches? (*check all that apply*)

Temporary layoffs

Partial claims

Other (*explain*)

7h. How many state and national directory of new hire crossmatches were conducted during each quarter of the review period?

National – New Hire Crossmatches

1st Quarter:

2nd Quarter:

3rd Quarter:

4th Quarter:

State – New Hire Crossmatches

1st Quarter:

2nd Quarter:

3rd Quarter:

4th Quarter:

7i. Has the state implemented the recommended operating procedures for Crossmatching Activity: National and State Directory of New Hires, as outlined in [UIPL No. 19-11](#)?

National Directory of New Hires (NDNH):

State Directory of New Hires (SDNH):

7j. Once a crossmatch occurs, does the agency independently verify the information obtained from the National Directory of New Hires crossmatch?

7k. If the crossmatch information is verified, explain how it is verified.

7l. Does the agency notify the individual of the crossmatch and provide the individual an opportunity to contest the information?

7m. Does the agency provide the individual a reasonable period of time to respond and/or provide the opportunity to provide a rebuttal to any new information?

8. With regard to fraud determinations, does a state agency staff person (such as a BPC investigator or a claims adjudicator) review the information and issue the fraud determination in accordance with [UIPL No. 01-16](#), which prohibits automated fraud determinations?

9. Besides the wage and new hire directory crossmatches, what other sources of information does the state use to detect fraud and potential improper payments? (e.g., crossmatches with SSA, Corrections, etc.) *If additional space is needed, use the Comments section.*

1. Source:	Frequency:	Automated	Manual
2. Source:	Frequency:	Automated	Manual
3. Source:	Frequency:	Automated	Manual
4. Source:	Frequency:	Automated	Manual
5. Source:	Frequency:	Automated	Manual
6. Source:	Frequency:	Automated	Manual
7. Source:	Frequency:	Automated	Manual
8. Source:	Frequency:	Automated	Manual

10. Does the state have a toll-free fraud hotline for reporting potentially fraudulent claimant and employer activities?

11. Does the state’s website(s) provide the public a means to submit tips regarding suspected claimant or employer fraud?

12. Does the state have automated controls in place to prevent, as appropriate, claimants with existing overpayments from receiving future benefits?

12a. If no, explain.

13. What methods does the state use to recover improper payments? (*check all that apply*)

Unemployment benefit offset

Cash recovery (cash; check; credit card)

Installment payments

Federal income tax refund intercept (Treasury Offset Program)

State income tax refund intercept

Civil action

Lottery winnings

Other (*explain*)

Other (*explain*)

Question 13 check boxes continue on next page

Other (*explain*)

14. Does the state use any of the following types of civil actions to recover overpayments?
(*check all that apply*)

- Wage garnishments
- Liens on personal or real property
- Small claims court proceedings
- Bank account garnishments
- Judgments
- Distress warrants
- Other (*explain*)

15. When a civil recovery is court ordered, generally how long does it take for the state to receive the funds once they are collected?

15a. Are there any policies, procedures, and/or agreements in place to address the timely receipt or distribution of the collection?

15b. If the collection is not received from the court timely, does the claimant get credit for the repayment immediately?

15c. Have there been instances when the state did not receive the collection amount from the courts?

15d. Have there been instances when the state did not receive the interest (that was applied to the collection amount) from the courts?

15e. In civil recovery cases, does the UI agency engage another state agency to recover the overpayments?

15f. If yes, what is the usual time period that this state agency takes before depositing the state's funds?

16. Are all repayments deposited within 3 days of receipt?

17. Does the state engage private collection firms or other state agencies to handle old and/or difficult overpayment cases?

18. Does the state attempt to locate delinquent claimants?

18a. If yes, what methods are used to locate delinquent claimants?

- 19.** Under what circumstances are collections efforts discontinued?
- 20.** Do the state’s policies and procedures define circumstances where penalties can be imposed by BPC staff?
- 21.** Do the state’s policies and procedures define circumstances where interest can be applied to an overpayment?
- 22.** Do the state’s policies and procedures define circumstance under which overpayments can be written-off?
- 23.** If the state allows for waivers of overpayments, do the policies and procedures define the circumstances where waiver is permissible?
- 24.** If the state allows for waivers of overpayments, does the notice of overpayment determination provide information on how an individual may request consideration of an overpayment waiver?
- 25.** Which of the following policies and procedures apply to the state’s collection activities?
(check all that apply)

Statute of limitation:

Fraud Non-Fraud

Recovery by offset of current/future benefits is permitted:

Fraud Non-Fraud

Question 25 check boxes continue on next page

Offset of current/future benefits for recovery of overpayments is not limited to same benefit year in which the overpayment was established:

Fraud Non-Fraud

100% of current benefit amount may be offset:

Fraud Non-Fraud

Civil action is permitted to recover overpayments:

Fraud Non-Fraud

Other (*explain*):

Fraud Non-Fraud

26. Does the state have a system to reconcile overpayment accounts and amounts received through collection activities?

27. Do the state's procedures provide guidance for the accurate identification of the cause(s) of improper payments?

27a. Does the state utilize this information in the formulation of policies and procedures in an effort to reduce the incidence of improper payments?

27b. If no, why?

- 28.** Does the state accept an initial claim application from a claimant with only a P.O. Box address?
- 29.** Does the state allow online updates to the claimant’s mailing address?
- 29a.** If yes, does the state have any mechanism in place that detects and alerts the agency to a change of a claimant’s mailing address?
- 29b.** If yes, does the state confirm with the claimant that an address change was made?
- 30.** Does the state allow online updates to the claimant’s payment method?
- 30a.** If yes, does the state have any mechanism in place that detects and alerts the agency to a change in a claimant’s payment method?
- 31.** Does the state utilize any type of process or system to “check” or verify information that helps prevent overpayments?
- 31a.** If yes, what process(es) or system(s) does the state use for this purpose?
- Profiling system
 - Data analytics tool
 - Other (*explain*)
- N/A
- 31b.** If yes, are all new claims filed matched against this process?

- 32.** Do the state's policies and procedures address the referral of fraud overpayments for prosecution?
- 32a.** How many cases were referred for prosecution during the review period?
- 32b.** How many of those cases were successfully prosecuted during the review period?
- 32c.** Of the cases that were not successfully prosecuted, what were the most common reasons for this failure to prosecute? (*check all that apply*)
- Incomplete or inadequate case material
 - Prosecuting authority's discretion (e.g. minimum requirements, priorities)
 - Not within the statute of limitations
 - Other (*explain*)
- 32d.** Are appropriate cases of UI Federal program fraud referred to USDOL's Office of Inspector General in accordance with [UIPL No 29-05](#)?
- 33.** Does the state have policies and procedures for the referral of separation issues to the UI Benefits Unit, as appropriate, for investigation and adjudication?
- 34.** Do the state's policies and procedures address the creation of overpayment records for interstate overpayments in accordance with the Interstate Reciprocal Overpayment Recovery Arrangement (IRORA)?
- 34a.** If yes, is establishment of these overpayment records automated?
- 35.** Do the state's policies and procedures address the pursuit of collection activities for interstate overpayments in accordance with IRORA?

35a. Does the state utilize the Form IB8606, Interstate Request for Overpayment Recovery, to pursue collection of its overpayments when a former claimant files a claim against another state?

36. Does the state have policies and procedures for preventing and detecting fictitious employer fraud schemes (e.g., schemes that may involve fictitious employers)?

36a. If yes, explain.

36b. Does the BPC staff have responsibility for detecting fictitious employer accounts?

36c. If no, where does this responsibility lie (e.g., Tax Accounts & Contributions (A&C)?

37. Does the state have policies and procedures for preventing and detecting multi-claimant fraud schemes?

37a. If yes, describe.

37b. Has the state uncovered any cases of multi-claimant schemes within the past 12 months?

37c. If yes, describe any subsequent actions taken by the state to prevent similar schemes from occurring.

38. Is it the state's policy to publicize successful fraud prosecutions?

38a. If yes, what methods does the state use to publicize these cases? (*check all that apply*)

News release

Agency website

Claimant handbook

Employer handbook

Employer newsletter

Other (*explain*)

39. When does the state use the Systematic Alien Verification for Entitlement (SAVE) Program?

Initial Claim Application

Other (*explain*)

39a. Does BPC have responsibility for its use?

39b. If no, which unit has responsibility for using SAVE?

39c. What office or unit is responsible for preparation of the Alien Claims Activity Report, ETA 9016?

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

40a. If yes, how and when is this information provided to the claimant?

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

41a. If yes, how and when is this information provided to employers?

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

1. Does the state's BPC unit have a dedicated trainer to deliver training on BPC processes?
 - 1a. Has all staff conducting BPC investigations completed a defined training program (e.g., Central Office, Out-Stationed Investigators, Call Center Staff)?
 - 1b. How much training has been provided to BPC personnel during the last year? (*Estimate number of hours and type of training*)
2. Do the state's BPC investigators adjudicate issues identified through crossmatch activities?
 - 2a. If yes, do BPC investigators receive training on adjudication of non-monetary issues?
3. Does the BPC unit training curriculum include the following? (*check all that apply*)
 - Fact-finding techniques
 - Prevention and detection of overpayments
 - Skip-tracing techniques
 - Collections methods
 - No training curriculum exists
4. Does the state have a formal training plan for new BPC staff?
 - 4a. If yes, how long is the formal training?
 - Less than one week
 - One to two weeks
 - More than two weeks

Question 4a check boxes continue on next page

Other (*explain*)

Total training time (in hours):

5. Does the state have a “refresher” training plan to provide continuing training to BPC staff?

5a. If yes, how often is the continuing training conducted?

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

6. How does the state deliver training to BPC staff? (*check all that apply*)

Classroom setting
On-the-job training
Self-guided online course
One-on-one training
U.S. Department of Labor’s online training
Other (*explain*)

- 7.** Describe any technology or operational changes that were made during the review period that affected BPC processes.
 - 7a.** Were all affected staff trained on these technology or operational changes prior to implementation of the changes?

- 8.** Describe any new laws, program implementations, policy or procedural changes that occurred during the review period that affected BPC processes.
 - 8a.** Were all affected staff trained on the new laws, program implementations, and policy and procedural changes prior to implementation of the changes?

- 9.** Is there a method to obtain feedback from BPC staff regarding the effectiveness of the training given?
 - 9a.** If yes, how is feedback obtained from participants?

10. Is there a means to obtain feedback from BPC management staff on the effectiveness of the training, based upon staff performance following training?

10a. If yes, how is feedback obtained from management staff?

11. What means are used by the state to determine training topics and content? (*check all that apply*)

ETA 227 Overpayment Detection and Recovery Data

Benefit Accuracy Measurement results

Error review monitoring

U.S. Department of Labor guidance

State law/policy changes

Supervisor feedback/input

Other (*explain*)

12. Is there a standard process for BPC staff to access appropriate program subject matter experts or other resources, as needed, to answer questions regarding procedures, policies, laws, and regulations?

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 overpayment activities, particularly through periods of unforeseen spikes in workload, is analyzed. Methods used to mitigate backlogs, when they occur, substantially affect the state's ability to identify and minimize improper payments. Reviewers will address process-improvement initiatives aimed at minimizing backlogs.

1. Does the state have a systematic method for tracking workload backlogs of BPC cases?
 - 1a. If yes, is the data collection automated?
 - 1b. If yes, are the backlogs identified by category? (e.g., fraud, non-fraud, etc.)
2. If the state tracks BPC 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 based upon the aging of their overpayment accounts?
4. During the review period, was the state able to investigate all unreported earnings and employment issues identified through the following sources?

Wage record crossmatch:

National Directory of New Hire (NDNH) crossmatch:

State Directory of New Hire (SDNH) crossmatch:

Interstate crossmatch:

4a. If not, what percentage of potential issues identified during each calendar quarter of the review period was the state unable to investigate?

Wage Crossmatch:

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

NDNH:

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

SDNH:

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

Interstate Crossmatch:

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

4b. Why was the state unable to investigate all potential earnings and eligibility issues identified through crossmatch activities during the review period? (*explain*)

5. Is there an evaluation tool or checklist used to review the quality and timeliness of completed investigations?

5a. What percentage of cases are reviewed annually? %

6. Do investigators adjudicate issues detected in cases assigned to them?

6a. If not, which unit conducts such adjudications?

7. Are there any offices/units that refer cases of potential fraud to the BPC unit?

8. Does the BPC unit refer cases of potential fraud to other UI offices?

9. Are there any other UI offices, other than the BPC unit, involved in conducting any fraud investigations?

9a. If yes, what offices/units conduct fraud investigations?

10. How is the claimant informed of consequences and any penalties for committing fraud (i.e., willful misrepresentation)?

11. What practices does the state utilize for handling increased workloads, such as periods when extended benefits are paid? (*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 investigation methods (*explain*)

Other (*explain*)

12. Did the state experience backlogs in BPC investigations and overpayment recovery during the review period? (*If yes, identify area of backlog(s)*)

Investigations:

Overpayment Recovery:

12a. If yes, what was the cause of the BPC investigations and/or overpayment recovery backlogs?
(*check all that apply*)

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

Information Technology hardware or software issues (*explain*)

Economic downturn, localized or statewide (*explain*)

Law or policy changes (*explain*)

Question 12a check boxes continue on next page

Other (*explain*)

13. Does the state monitor BPC investigation workloads to identify potential problem areas?

13a. If yes, is this monitoring process automated or manual?

Automated Manual

14. Does the state monitor BPC overpayment recovery workloads to identify potential problem areas?

14a. If yes, is this monitoring process automated or manual?

Automated Manual

15. At what unit of operation is the state's reporting system capable of providing performance data?
(*check all that apply*)

Statewide
Office
BPC Investigator
Other (*explain*)

16. During the review period, did the state conduct any business process analysis efforts to identify issues and recommend improvements regarding BPC operations to increase efficiency?

16a. If yes, what changes have been made and what was the result of those changes?

16b. If yes, what (if any) changes were recommended but not made? (*explain why*)

17. Within the past 12 months, has the state evaluated the cost effectiveness of any of the detection methods used (cost of operation vs. dollars of overpayments established)?

17a. If yes, what was the result?

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 on a Corrective Action Plan(s) (CAP) or Narrative during the review period?

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

Core Measures

Detection of Overpayments: CAP Narrative

UI Overpayment Recovery Measure: CAP Narrative

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?
(The response to this question may be addressed in the Comments at the end of this section, if more space is needed.)

4. Has the state implemented any new initiatives focused on the prevention, detection, and recovery of improper payments?

4a. If yes, explain.

5. What office is responsible for monitoring the performance of the state's BPC operations?

5a. What methods are used to monitor the BPC operations to ensure the program is operated in accordance with Federal and state law and regulations?

6. Does the state monitor UI BPC program activity and performance in addition to monitoring performance standards set out in Federal requirements?

6a. 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 state's IT projects relating to BPC operations completed during the review period and planned for the future are addressed. The reviewer will assess the state IT department's delivery of programming and technical support to the BPC unit. Having a disaster recovery plan as well as contingency planning to implement emergency procedures 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 state's BPC operations?
 - 1a. If yes, what were the projects, are they completed or on-going? If on-going, what is the expected completion date for each?

2. Has BPC staff been fully trained on any technology changes that were implemented during the review period?

3. During the review period, were there IT needs for the BPC computer systems that were not met that affected program performance?
 - 3a. If yes, describe what IT needs were not met, the reason they were not met, what effect it had on the program, and the state's plans to meet these needs, if any?

4. Does the state use the State Information Data Exchange System (SIDES) for the exchange of separation and earnings verification information?

Separation Information:

Earnings Verification Information:

5. Does the state use a “Smart Scheduler” or some other tool for scheduling calls to employers or claimants for investigations?

5a. If yes, what system does the state use and what are its features?

6. What other tools do state employees use to complete BPC activities (e.g., BARTS, Lexus Nexus, Neofraud, RECOVER)?

7. Are overpayment records manual or automated?

Manual Automated

8. Are any overpayment recovery activities automated?

8a. If yes, explain what activities are automated.

9. Does the state use the same procedures and tools to prevent, detect, and recover EUC and/or EB overpayments that are used for the regular UI program?

9a. If no, describe the differences that exist in practices and tools used for EUC and/or EB claims/overpayments.

9b. Does the state have any outstanding findings from any previous program reviews, single audits, or Federal program monitoring?

9c. If yes, what are the unresolved findings, on what date were each formulated, and when does the state expect to have them resolved?

10. Does the state have a disaster recovery plan that will ensure continued operations of the BPC activities in the event of a natural disaster or pandemic incident?

10a. 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?

11. What IT system(s) does the state use for BPC investigations? *(check all that apply)*

Internet systems

Interactive Voice Response (IVR)

Auto-dialer technology for outbound calls

Online wage reporting in response to request for information

Other *(explain)*

12. Is the BPC data system operated on a single computer platform?

12a. If multiple platforms are in use, is there seamless integration between the systems being used for benefit payments and overpayment activities?

13. Are the Benefits and BPC data systems on the same computer platform or sufficiently-integrated to provide seamless handoff of overpayments generated from adjudications to BPC for handling?

- 14.** How is data for the ETA 227 Overpayment Detection and Recovery Activities report generated?
Automated Manual
- 15.** What procedures and/or controls are in place to ensure that the ETA 227 data are correctly reported; i.e., what checks/balances are in place to ensure accuracy of data?
- 16.** Has the state fully implemented the Federal Treasury Offset Program (TOP) for overpayment recovery?
- 17.** Has the state fully implemented a State Income Tax Offset program?
- 18.** 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.).
- 19.** Does the BPC unit utilize any automated processes through an Internet application, e.g., accepting credit card payments, etc.?

19a. If yes, explain.

20. Does the BPC system integrate real-time with the UI Legacy or operating system?

20a. If not, what is the schedule for batch processing?

21. Does the state utilize a “virtual hold” system that provides a caller the option to leave a message and set a callback when staff is available?

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 assess and provide information on the BPC operations' interactions with claimants and employers. The states methods for conducting BPC operations must comply with accessibility requirements set forth in Federal law and guidance. User-friendly, customer-facing systems and integrated operating systems provide the best customer experience and efficient operations.

1. What methods does BPC staff use for investigations?

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

2. What methods does the state use to provide claimants with overpayment account status information?

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

3. What types of overpayment information is available for claimants? (*check all that apply*)

Overpayment balance
Penalty balance
Interest balance
Court costs
Period of ineligibility
Repayment options

Question 3 check boxes continue on next page

Other (*explain*)

4. What types of assistance is available to claimants regarding BPC investigations for each method used?

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

Question 4 check boxes continue on next page

In-person:

Staff assisted

Brochures/Pamphlets

Other (*explain*)

N/A

5. What types of assistance is available to claimants regarding BPC determinations for each method used?

Internet:

Online tutorials

Help screens

Hyperlinks to FAQs

Online chat with staff

Other (*explain*)

N/A

Telephone:

Staff assisted

FAQ Menu

Question 5 check boxes continue on next page

Other (*explain*)

N/A

In-person:

Staff assisted

Brochures/pamphlets

Other (*explain*)

N/A

6. What methods are available to claimants and employers to provide information necessary for improper payment investigation and adjudication? (*check all that apply*)

Telephone fact-finding interviews

In-person fact-finding

Internet web forms

Mail-in forms

Other (*explain*)

- 7.** Do the overpayment determinations contain the following information? (*check all that apply*)
- Summary of material facts
 - Reason for allowing or denying benefits
 - Overpayment amount
 - Cause of the overpayment
 - Applicable disqualification or penalty
 - Appeal rights information/instructions
 - Repayment instructions
 - Information on how to request a waiver (if state allows waivers)

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 document and assess key information about BPC operations regarding methods to identify staff training needs and identify efficiencies and automation that the state has employed to improve performance and provide better services to its customers.

1. How does the BPC unit 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*)

2. If the state uses an automated process for making a second attempt at gathering crossmatch information, describe the process being used.

3. Does the state have an established process for reviewing appeal and court decisions for precedent-setting rulings, necessitating staff training related to overpayment cases?

3a. If yes, is follow-up training provided to BPC staff?

4. Does the state have an established process for reviewing appeal and court decisions to identify areas of potential misinterpretation of the law, necessitating staff training related to overpayment cases?
- 4a. If yes, is follow-up training provided to BPC staff?
5. Does BPC staff participate in outreach activities for employers and claimants (e.g., presentations to employers on the importance of reporting new hires or responding to separation requests; for claimants, providing information at rapid response meetings for proper reporting of employment/earnings, etc.)?
- 5a. If yes, what activities does BPC participate in and how often?
6. Does the BPC unit have responsibility to handle telephone inquiries regarding the following topics?
(check all that apply)
- National Directory of New Hires crossmatch
 - State Directory of New Hires crossmatch
 - Form 1099-G issues
 - Treasury Offset program (TOPS)
 - Other (*explain*)

Question 6 check boxes continue on next page

Other (*explain*)

- 7.** Did any BPC staff experience downtime during the review period which caused delays or backlogs in improper payment investigations?

- 7a.** If yes, when did the downtime occur, how many days/hours was the BPC unit down and what was the cause of the downtime?

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 BPC operations. The reviewer will examine BPC staffing and organization.

1. Does the state have a designated BPC manager?

2. Does the agency have a dedicated BPC unit responsible for BPC activities?

3. Is BPC staff centrally located? If no, does the state have BPC staff in multiple locations throughout the state?
 - 3a. If the state maintains multiple BPC locations, where are they located and to what office(s) does BPC staff report in each location?

3b. If the number of BPC locations changed during the review period, explain.

4. Indicate the following Benefit Payment Control activities that come under the responsibility of the BPC Supervisor/Manager? (*check all that apply*)

Investigation of all BPC cases

Nonmonetary Determination process

Determinations of willful misrepresentation and overpayments

Recommendations for prosecution

Issuance of fraud & overpayment determinations

Recovery of overpayments

Maintenance of procedures on fraud and overpayments

Maintenance and evaluation of administrative data

Recommendations for fraud prevention and overpayments

BPC training

Preparing the ETA 227 report

Issuing Form-1099Gs

5. If any office other than BPC has responsibility for any of the following BPC activities, identify the office?

Investigation of potential fraud overpayments

Office:

Determination of fraud overpayments

Office:

Recovery of overpayments

Office:

Prosecution of fraud cases

Office:

Other (explain):

Office:

6. Do BPC investigators have other program responsibilities besides conducting BPC investigations?

6a. If yes, explain.

7. What is the percentage of state UI staff that is allotted (FTE allocation) for BPC investigators and support staff?

BPC Investigators: %

BPC Support Staff: %

8. How many FTEs were budgeted for BPC during the review period?

9. How many FTEs were dedicated to BPC during the review period?

10. Does the agency's legal staff provide support for prosecution of fraud cases?

10a. If yes, how many legal services staff-hours were charged to BPC operations during the review period?

11. Did personnel actions occur that impacted staffing levels of BPC staff during the review period?

(check all that apply)

Hiring freeze(s)

Temporary or permanent staffing reductions

Retirement/buyouts

Question 11 check boxes continue on next page

Other (*explain*)

N/A

11a. If the state implemented a hiring freeze, when did it occur and how long did it last?

11b. What negative impact, if any, did the hiring freeze have on BPC operations?

11c. If the state underwent temporary or permanent staffing reductions, how many BPC staff were affected, when did the action occur, and how long did it last?

- 11d.** If the state experienced a number of retirements in its BPC staff or had a retirement buyout during the review period, provide the number of BPC staff that left due to retirement.

- 11e.** What percentage of the overall BPC staff was impacted as a result of a temporary or permanent staff reduction and/or retirement? %

- 11f.** If the state experienced turnover of BPC staff during the review period, what percentage of the BPC positions remain vacant? %

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 Benefit Payment Control

For the following sets of questions, consider the overall operations related to Benefit Payment Control. 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 Benefit Payment Control policies, procedures, or operations that would constitute successful practices to share with other states.

2. Document any issues detected in Benefit Payment Control operations that adversely affects the state's performance 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.: