



## Unemployment Insurance (UI) Benefit Operations Self-Assessment Tool: *Continued Claims (CC) and Eligibility Review (ER)*

REVIEW PERIOD: **Begins**

**Ends**

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

### SECTION 1: Procedures, Policies, and Confidentiality

Information related to continued eligibility requirements for UI may be found in manuals, handbooks, 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 related to continued claims (also called, continued weeks or continued claim certifications).

#### Continued Claims [CC]

1. Does the state have written policies and procedures for the processing of continued claims?
  - 1a. If yes, when were the policies and procedures last updated?
2. How are any policies and procedures for processing continued claims made available to staff?  
*(check all that apply)*
  - Online
  - Hard-copy handbook
  - Training materials

*Question 2 check boxes continue on next page*

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 continued claims policies and procedures?

**3a.** If yes, what laws did the state implement, when were these changes implemented, and what was the effect on the state's continued claims policies and procedures?

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

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

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

**4a.** If yes, what business process changes did the state implement, when were these changes implemented, and what was the effect on the state's continued claims policies and procedures, if any?

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

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

**5.** Were there any organizational changes during the review period that affected the state's continued claims policies and procedures?

**5a.** If yes, what organizational changes did the state implement, when were these changes implemented, and what was the effect on the state's continued claims policies and/or procedures?

**5b.** Have the state's policies, procedures, and training materials been updated to reflect these changes?

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

**6.** Were there any automation or technology upgrades or releases during the review period that affected the state's continued claims policies and procedures?

**6a.** If yes, what automation or technology upgrades did the state make and when were they implemented?

**6b.** If yes, have the state's policies, procedures, and training materials been updated to reflect these changes?

**6c.** If no (to question 6b), explain.

**7.** Does the state have written business requirements for the system to issue automated determination(s) (in certain limited circumstances, for example, based on self-disqualifying information provided on the continued claim)?

**7a.** If any automated determinations are issued from the continued claim certification, does the system request that claimants verify their answers before a determination is issued (as required by [ET Handbook No. 301](#))?

**7b.** If yes, do the state's policies ensure that the facts would lead to only one conclusion on the issues (otherwise an adjudicator must intervene)?

**7c.** When the facts do not lead to only one conclusion on an issue, is the issue automatically referred to an adjudicator?

**7d.** If yes, indicate the types of issue(s) for which the state allows an automated determination/denial?  
(*check all that apply*)

- Able to work issues
- Available for work issues
- Work search issues
- Other (*explain*)

N/A

**8.** Does the state have automated procedures that release payments after an issue has been resolved and the claimant is determined eligible for benefits?

**8a.** If no, describe the procedures to release payments after an issue is resolved?

**9.** Are there written policies and procedures for the payment of dependent allowances?

**10.** Are there written policies and procedures that address reducing the established weekly benefit amount for weeks claimed and certified eligible for benefits for any of the following? (*check all that apply*)

Wages/Earnings

Overpayments

Child Support

Federal Taxes

State Taxes

Health Care Coverage

Pension

Other:

N/A

**11.** Are there written policies and procedures related to adjudicating continued claims that are not filed timely?

**11a.** If yes, what procedures are in place for the claimant to request consideration of good cause for late filing of the continued claim(s), if allowed under the state law?

- 12.** If the state uses an Interactive Voice Response (IVR) system for continued claims, are there written business requirements for the system's operation?
  
- 13.** Does the state attempt to verify the claimant's work search on continued claims (outside of the Benefits Accuracy Measurement program)?
  - 13a.** If yes, how is the verification conducted?
  
  - 13b.** If yes, what is the frequency of verifying work search on continued claims?
  
  - 13c.** Does the state have policies and procedures that help to ensure staff contact authorized personnel when performing work search verifications with the employers?
  
  - 13d.** If no, explain (e.g., is this handled in training sessions or elsewhere).

## **SECTION 1: CC 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.



## Eligibility Review (ER)

**14.** Does the state have written policies and procedures for conducting UI eligibility reviews (ER) (also called continued eligibility reviews)?

**14a.** If yes, when were the policies and procedures last updated?

**15.** How are any policies and procedures of the ER process made available to staff? (*check all that apply*)

Online

Hard-copy handbook

Training materials

Other (*explain*)

**15a.** Are all formats consistent and up-to-date?

**15b.** What practices does the state utilize to ensure all formats are consistent and up-to-date?

**16.** Does the state's ER process include verification that the claimant has followed the state's continued claim-filing instructions related to work search requirements?

**16a.** If yes, does the ER process include verification that the claimant understands how long the work search information must be maintained, if not recorded on the claim certification itself?

**17.** Are policies and procedures in place that address ERs on a continuing and regular basis to ensure claimants' continued eligibility and proper payments are being made?

**17a.** If yes, is the scheduling of ERs an automated process?

**17b.** If, yes, at what intervals in the claim series does the state schedule ERs and, if varied, what factor(s) determines the interval assigned to a claimant?

**18.** Is any group(s) of claimants exempt from the ER process?

**18a.** If yes, what type(s) of claimants are not required to participate in the ER process and why?

**19.** Does the state have a standard ER form(s) for conducting the ER?

**20.** Does the state have written policies and procedures related to the ER and handling of issues that may arise (e.g., how issues are referred for adjudication)?

**21.** What are the state’s policies and procedures related to an issue(s) that arises when a claimant fails to respond to the ER appointment or letter? (*check all that apply*)

Temporary suspension

Second/warning notice sent to claimant

Denial issued for failure to respond (i.e., timely denial)

Other (*explain*)

**21a.** Does the state advise claimants of the consequences for failing to respond or contact the agency, as directed, when the first notice is sent?

**21b.** Is the follow-up process automated or manual?

Automated      Manual

**22.** Does the state have policies and procedures to help ensure that authorized personnel are contacted when performing work search verifications on eligibility reviews?

## **SECTION 1: ER 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 training on the continued claims and eligibility review processes?

Continued Claims:

Eligibility Review:

2. Does the state include continued claims and/or eligibility reviews training in its regular training plan for new UI staff?

Continued Claims:

Eligibility Review:

3. Are all claims takers trained to process continued claims and respond to questions regarding continued claims and/or eligibility reviews?

Continued Claims:

Eligibility Review:

4. Does the state's training plan provide refresher/continuing training for continued claims and/or eligibility reviews to experienced staff?

Continued Claims:

Eligibility Review:

**4a.** If yes, how often is the refresher/continuing training conducted?

CC:

Monthly      Quarterly      Annually      On an as-needed basis      N/A

ER:

Monthly      Quarterly      Annually      On an as-needed basis      N/A

**5.** How does the state agency deliver staff continued claims and eligibility review training?  
(check all that apply)

CC:

- Classroom setting
- On-the-job training
- Self-guided online course
- One-on-one training
- Other (*explain*)

ER:

- Classroom setting
- On-the-job training
- Self-guided online course
- One-on-one training
- Other (*explain*)

- 6.** Describe any technology or operational changes that were made during the review period that affected the continued claims and/or eligibility review processes. *(The response to this question may be addressed in the Comments at the end of this section, if more space is needed.)*

Continued Claims:

Eligibility Review:

- 6a.** Were all affected staff trained on these technology or operational changes prior to implementation of the changes?

Continued Claims:

Eligibility Review:

- 7.** What information is used by the state to determine continued claims and/or eligibility review training topics and content?

CC:

- Call Center Performance
- First payment time lapse data
- Benefits, Timeliness and Quality review results
- Benefit Accuracy Measurement results
- Claimant feedback/complaints
- Error review monitoring

**Question 7 check boxes continue on next page**

U.S. Department of Labor guidance  
State law/policy changes  
Supervisor feedback/input  
Operational changes  
Other (*explain*)

ER:

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



## **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 continued claims and eligibility review workloads, particularly through periods of unforeseen spikes in continued claims and eligibility reviews 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 continued claims and eligibility review process backlog.

1. How does the state receive continued claims? *(check all that apply)*
  - In-person
  - Mail
  - Telephone/IVR
  - Internet
  - Employer-filed: Telephone
  - Employer-filed: Internet
  - Other *(explain)*
  
2. What methods does the state agency use to process continued claims? *(check all that apply)*
  - Manual
  - Automated
  
3. What methods are used by the state agency to conduct eligibility reviews? *(check all that apply)*
  - In-person
  - Telephone/IVR
  - Internet
  - Mail
  - Other *(explain)*

- 4.** Does the state have a method for tracking continued claims and/or eligibility review processing and workload backlogs (if any) of continued claims?

Continued Claims:

Eligibility Review:

- 4a.** If yes, is the data collection automated?

Continued Claims:

Eligibility Review:

- 4b.** If yes, is the state able to identify the cause(s) or the point(s) in the claim or review process that is causing the backlogs?

Continued Claims:

Eligibility Review:

- 5.** If the state tracks continued claims and/or eligibility review workloads (e.g., to assess or prevent backlogs), how often are these reports generated?

CC:

Real-time	Daily	Weekly	Monthly	Quarterly	As needed	N/A
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ER:

Real-time	Daily	Weekly	Monthly	Quarterly	As needed	N/A
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- 6.** Does the state generate any reports on timeliness of processing continued claims and/or eligibility review results?

Continued Claims:

Eligibility Review:

7. Did the state experience a backlog(s) in processing continued claims and/or scheduling and conducting eligibility reviews during the review period?

Continued Claims:

Eligibility Review:

- 7a. If yes, what was the cause of the continued claims and/or eligibility reviews processing backlogs?  
(check all that apply)

CC

Telephone Issues (*explain*)

Seasonal workload increases (*explain*)

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

**Question 7a check boxes continue on next page**

Information Technology hardware or software issues (*explain*)

Economic downturn, localized or statewide (*explain*)

Law or policy changes (*explain*)

Other (*explain*)

**Question 7a check boxes continue on next page**

ER

Telephone Issues (*explain*)

Seasonal workload increases (*explain*)

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

Information Technology hardware or software issues (*explain*)

**Question 7a check boxes continue on next page**

Economic downturn, localized or statewide (*explain*)

Law or policy changes (*explain*)

Other (*explain*)

**7b.** If yes, what steps were taken to address the backlogs of continued claims and eligibility reviews?

Continued Claims:

**Question 7b continues on next page**

Eligibility Review:

**7c.** If yes, how long did the problem(s) last and when was it corrected?

Continued Claims:

Eligibility Review:

**8.** Does the state monitor continued claims and/or eligibility review workloads to identify potential problem areas?

Continued Claims:

Eligibility Review:



**8a.** If yes, is this monitoring process automated or manual?

CC:

Automated      Manual

ER:

Automated      Manual

**9.** During the review period, did the state conduct any business process analysis efforts to improve continued claims and/or eligibility review processes and increase efficiency?

Continued Claims:

Eligibility Review:

**9a.** If yes, what changes have been made and what was the result of those changes?

Continued Claims:

Eligibility Review:

**9b.** If yes, what (if any) changes were recommended but not implemented and why?

Continued Claims:

Eligibility Review:

**10.** Is there a review process of continued claims questions and/or eligibility review questions to identify any that are often confusing to claimants or that cause an unacceptable error rate in referrals to adjudication or rejection of continued claims submitted?

Continued Claims:

Eligibility Review:

### **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.

1. What unit or office is responsible for monitoring program performance of the continued claims and eligibility review operations?

Continued Claims:

Eligibility Review:

2. What method(s) are used to monitor the continued claims and eligibility review operations to ensure the program is operated in accordance with Federal and state law and regulations?

Continued Claims:

Eligibility Review:

- 3.** Does the state monitor continued claims program activity and performance in addition to monitoring set out in Federal requirements?

Continued Claims:

Eligibility Review:

- 3a.** If yes, explain what areas are monitored and the methods used.

Continued Claims:

Eligibility Review:

- 4.** Does the state automatically suspend payments when the claimants' answers raise an eligibility issue?

## **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 state's programming and technical support to the UI Benefits Section for continued claims and eligibility reviews. The reviewer will assess IT projects relating to continued claims and eligibility reviews completed during the review period and also any identified unmet IT needs.

1. During the review period, were there any IT projects that impacted the continued claims and/or eligibility review systems?

Continued Claims:

Eligibility Review:

- 1a. If yes, what were the projects, and are they completed or on-going? If on-going, what is the expected completion date for each?

Continued Claims:

Eligibility Review:

- 2.** During the review period, were there IT needs for the continued claims and/or eligibility review systems that were not met that affected program performance?

Continued Claims:

Eligibility Review:

- 2a.** If yes, describe what IT needs were not met, the reason they were not met, what effect it had on the continued claims or eligibility review processes, and what are the state's plans to meet these needs, if any?

Continued Claims:

Eligibility Review:



3. What IT systems does the state use for filing continued claims and scheduling and/or conducting eligibility reviews? (*check all that apply*).

CC:

- Internet claims
- Interactive Voice Response (IVR)
- Kiosks
- Mainframe terminals
- Online assistance for claimants
- Other (*explain*)

ER:

- Internet claims
- Interactive Voice Response (IVR)
- Kiosks
- Mainframe terminals
- Online assistance for claimants
- Other (*explain*)

4. 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 during the continued claim or eligibility review process whether completed online or via phone (e.g., passwords, codes, Personal Identification Number (PIN), etc.).

Continued Claims:

Eligibility Review:

## **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

States need to maintain compliance with requirements set forth in Federal law regarding program accessibility and maintaining a system(s) that is available to all claimants. Continued claim-filing systems should be user-friendly, customer-facing systems and integrated operating systems to provide the best customer experience and efficient operations.

### Continued Claims (CC)

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

Internet: %

Telephone/IVR: %

In-person: %

Mail: %

Other (*explain*):

%

- 1a.** Are all claimants allowed to file continued claims through the following methods, regardless of the program type? If no, explain what program type is not allowed.

Internet:

If no, explain.

Telephone/IVR:

If no, explain.

In-person:

If no, explain.

*Question 1a continues on next page*

Mail:

If no, explain.

Other:

If no, explain.

**2.** What access points does the state provide claimants to file continued claims? *(check all that apply)*

Internet:

Workforce/One-Stop Centers

Kiosks

Other *(explain)*

N/A

**Question 2 continues on next page**

Telephone:

Workforce/One-Stop Centers

Other (*explain*)

N/A

In-person:

Workforce/One-Stop Centers

Kiosks

Other (*explain*)

N/A

- 3.** What type of assistance and/or information is available to support claimants in filing continued claims 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

Information on alternative filing methods

**Question 3 check boxes continue on next page**

Other (*explain*)

N/A

Telephone/IVR:

Staff assisted

FAQ Menu

Information on alternative filing methods

Other (*explain*)

N/A

In-person:

Staff assisted

Brochures/Pamphlets

Information on alternative filing methods

Other (*explain*)

N/A



**4.** When an issue exists on a continued claim, how are issues detected?

Automated      Manual

**4a.** Please explain.

**4b.** How is the claimant notified that there is an issue on a continued claim?

By telephone  
Mail  
Internet message  
Email  
Text message  
Other (*explain*)

**5.** How is fact-finding or information obtained from the claimant about any issue(s) that arise when continued (weekly/biweekly) claims are filed using the following methods? (*check all that apply for each filing method*)

Internet:

Mail      Email      Downloadable forms

**Question 5 check boxes continue on next page**

Other (*explain*)

N/A

Telephone/IVR:

Mail      Email

Other (*explain*)

N/A

In-person:

In-person      Mail      Email      Handout

Other (*explain*)

N/A

**5a.** Does the state make it a practice to advise claimants not to include personally identifiable information in emailed documents?

6. Describe the security procedures in place for each of the continued claims 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: CC 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 document the method(s) used to schedule eligibility reviews and notify claimants they have been scheduled for an eligibility review.

### Eligibility Reviews (ER)

7. How is the eligibility review scheduled?  
Automated      Manual
  
8. How is a claimant notified that s/he has been scheduled for an ER?  
Telephone  
Mail  
Internet message  
Email  
Text messaging  
Other (*explain*)

## **SECTION 6: ER 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 the use of staff to support continued claims and eligibility reviews. The reviewer will also assess the state's efforts at monitoring continued claims and eligibility review operations. The reviewer will document efficiencies and automation that the state has employed to improve performance and provide better services to its customers. The reviewer will document what staff performs eligibility reviews and how issues identified during the ER process are handled.

**1.** Does the state accept continued claims and/or eligibility reviews via the Internet?

Continued Claims:

Eligibility Review:

**1a.** If yes for continued claims, do any continued claim types require staff review or staff intervention before the claim is processed for payment?

**1b.** If yes, what program types would require staff review of the continued claim before processing?

**2.** Is there a process in place for monitoring the performance of continued claims and/or eligibility review operations?

Continued Claims:

Eligibility Review:

3. Does the state use statistics (inquiry talk time, first payment, length of ER, or other) to determine the efficiency of the continued claims and/or eligibility review process?

Continued Claims:

Eligibility Review:

4. Does the state identify timeliness issues during the continued claims process?

4a. If yes, is this an automated process through the system for continued claims?

5. Are all ERs conducted by state UI staff?

5a. If no, what percentage are conducted by state UI staff? %

5b. Who conducts ERs in addition to state UI staff?

American Job Center Staff (check all that apply)

Wagner-Peyser Funded Merit Staff

WIOA Funded Merit Staff

WIOA Funded Non-Merit Staff

Other (explain)

Only UI Staff

**Question 5b check boxes continue on next page**



Other (*explain*)

**5c.** If non-UI staff conduct ERs, including detection of able and available issues and incomplete work search issues, do they first receive training to ensure they are able to detect UI eligibility issues?

**5d.** If yes, how do the non-UI staff handle issues that are detected?

**5e.** What is the frequency of training non-UI staff?

**5f.** How are newly hired non-UI staff identified to ensure they receive training?

6. Does the state utilize customer surveys or focus groups to gather input on the continued claims and/or eligibility review process to identify efficiencies or operational improvements that could be made?

Continued Claims:

Eligibility Review:

7. How does the state handle supporting evidence that is sent in as hard-copy continued claims and/or eligibility review forms or other documents?

CC:

They are kept and archived as hard-copy forms

They are imaged and stored as electronic forms/data

Other (*explain*)

ER:

They are kept and archived as hard-copy forms

They are imaged and stored as electronic forms/data

Other (*explain*)

- 8.** Does the state keep a record of responses for automated continued claims for the following claim filing methods?

Internet:

IVR:

- 8a.** If yes, how are the records kept for each claim filing method of continued claims? *(The response to this question may be addressed in the Comments at the end of this section, if more space is needed.)*

- 9.** Does the state collect work search information through their Internet or IVR weekly claims systems?

Internet:

IVR:

## **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 continued claims and eligibility review workload and meet first payment promptness standards.

1. Have there been any UI staffing/unit reorganizations during the review period that affected continued claims and eligibility review processing?

Continued Claims:

Eligibility Review:

- 1a. If yes, was there any net effect on workloads?

Continued Claims:

Eligibility Review:

- 1b. If yes, explain any net effect it had on the workload.

Continued Claims:

Eligibility Review:

## **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 Continued Claims and Eligibility Reviews

For the following sets of questions, consider the overall operations related to continued claims and eligibility reviews. 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 [58](#) and [59](#).

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

2. Document any issues detected in the continued claims and eligibility review processes 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.:**