



Unemployment Insurance (UI) Benefit Operations Self-Assessment Tool: *Intake Claims-Unemployment Compensation for Ex-Servicemembers (UCX)*

REVIEW PERIOD: **Begins**

Ends

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

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

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

1. First Payment Promptness
(Acceptable Level of Performance = 87%)

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

SECTION 1: Procedures, Policies, and Confidentiality

Information may include manuals, handbooks (including [ET Handbook No. 384](#)), desk aids, computer help screens, training guides, organized collections of procedures or policies, or other readily accessible instructions that can help staff do their work correctly. Instructions will normally include general information such as compilations of relevant laws and regulations, as well as detailed instructions for carrying out individual jobs in the agency. Reviewers may need to look in many places to examine all relevant instructions.

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

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

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

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

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

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

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

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

3. Are there written procedures in place to identify individuals with possible military wages to be used on a UCX claim (e.g., does the initial claim application ask whether the claimant had military service)?

4. Do the policies and procedures clearly explain the claimant's filing options when they have both military wages and have earned other types of wages in one or more states?

5. Are there procedures in place for obtaining a copy or information from the ex-servicemember's Member/Copy No. 4 of the DD214?

6. Are there written procedures established for staff to ensure appropriate requests are sent for necessary information from the Federal Claims Control Center (FCCC)?

6a. Does the state have procedures designed to track all UCX requests/responses to the FCCC?

7. Are there written procedures to ensure appropriate action is taken after a response from FCCC is received?

7a. How does the state handle incoming FCCC responses?

Automated processing

Manual processing

Other (*explain*)

7b. Are there procedures established for when no reply is received from FCCC?

7c. Are there procedures established for how to handle a claim when there is no record for a claimant at the FCCC?

8. Does the state have a systematic process to ensure Federal requirements are met when determining whether UCX wages constitute “Federal service” and can be assigned to establish monetary eligibility?

SECTION 1: Comments

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

SECTION 2: Training

Managers/employees should possess and maintain a level of expertise that enables them to accomplish their assigned duties. Training systems should be sufficient to ensure that personnel understand and perform their duties properly. When reviewing training systems, reviewers must look for formal training procedures (e.g., the training is conducted using an established schedule and using set guidelines to make judgments about the quality of work being produced).

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

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

SECTION 2: Comments

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

SECTION 3: Performance Management

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

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

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

SECTION 3: Comments

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

SECTION 4: Information Technology (IT)

The reviewer will examine the use of information technology (IT) to support the state's UCX claims operations. The reviewer will identify any issues the state experienced with telecommunicating UCX data to/from the Federal Claims Control Center (FCCC) and whether they have been resolved at the time of this review. The reviewer will also assess the state's use of the Military State Data Exchange System (MSDES).

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

- 2.** Is the state using the Military State Data Exchange System (MSDES)?
 - 2a.** If yes, for which military branches is the state using MSDES? *(check all that apply)*
 - Army
 - Navy
 - Marines
 - Air Force
 - Coast Guard
 - N/A
 - 2b.** If yes, what systems are being used? *(check all that apply)*
 - Military-State Data Exchange Claims (MSDEC)
 - Military-State Data Exchange Billing (MSDEB)

3. During the review period did the state experience any issues with telecommunicating UCX information to and/or from MSDES?

4. Indicate the IT systems the state uses for filing UCX claims. *(check all that apply)*
 - Internet claims
 - Interactive Voice Response (IVR)
 - Kiosks
 - Mainframe terminals
 - Online assistance for claims takers
 - Online assistance for claimants (e.g., chat functions)

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: Claimant / Employer Access & Communication

States need to maintain compliance with requirements set forth in Federal law. Claim-filing systems should be user-friendly, customer-facing systems and integrated operating systems to provide the best customer experience and efficient operations.

- 1.** If a UCX claim is filed via the Internet, how is the correct military branch of service identified/obtained?
 - Drop-down menu selected by claimant
 - Entered by the claimant
 - Follow up contact with the claimant

- 1a.** How does the claimant indicate service performed as a National Guard member or Reservist?
 - Drop-down menu selected by claimant
 - Entered by the claimant
 - Follow up contact with the claimant

- 2.** When UCX wages are assigned and/or used on an unemployment claim, does the state send/receive claims control records to the FCCC?
 - 2a.** How are the FCCC responses reviewed?
 - Automated
 - Manual

 - 2b.** If the wages are assigned/used by another state(s), how is the claimant advised about filing options? (*check all that apply*)
 - By telephone
 - Letter by mail
 - Other (*explain*)

SECTION 5: Comments

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

SECTION 6: Operational Efficiency / Resource Allocation

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

1. If the state takes initial UCX claims via the Internet, does staff review the claims before they are processed?

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

3. Does the state have any military installations, which would have the potential for a large influx of UCX claims if one or more service branch(es) has a staff reduction?
 - 3a. If yes, how many military installations are in the state?
 - 3b. Did the state experience a spike in UCX claims during the review period?
 - 3c. If yes, explain.

SECTION 6: Comments

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

SECTION 7: Staffing

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

1. Does the state have a trained and knowledgeable UCX/Federal Program coordinator?

2. Have there been any UI staffing/unit reorganizations during the review period that affected UCX Claims filing?
 - 2a. If yes, was there any net effect on workloads?

 - 2b. If yes, explain.

SECTION 7: Comments

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

SECTION 8: Concluding Summary Comments for Intake Claims-Unemployment Compensation for Ex-Servicemembers (UCX)

Include your observations of good and/or exemplary performance in the state's practices related to UCX claims operations that would constitute successful practices to share with other states. Additional space for comments and reviewer notes is available on pages [22](#) and [23](#).

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

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