



## Unemployment Insurance (UI) Benefit Operations Self-Assessment Tool: *Short-Time Compensation (STC)*

REVIEW PERIOD: **Begins**

**Ends**

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

1. Does the state operate a Short-Time Compensation (also known as Workshare or Shared Work) program?
  - 1a. If yes, when did the state implement its Short-Time Compensation (STC) program?

If no, the reviewer stops here and does not need to complete the remainder of this set of questions.

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

Information may include manuals, handbooks, desk aids, computer help screens, training guides, organized collections of procedures or policies, or other readily accessible instructions, including Federal guidance in [UIPL No. 22-12](#), that can help staff do their work correctly. Instructions will normally include general information such as compilations of relevant laws and regulations, as well as detailed instructions for carrying out individual jobs in the agency. Reviewers may need to look in many places to examine all relevant instructions.

1. Does the state have written policies and procedures for reviewing an employer's written STC plan/application to ensure that it meets the state's STC program requirements?
  - 1a. If yes, what information is included on the employer written STC plan/application?

*(check all that apply)*

    - Identity and description of the employer's affected unit(s) covered by the plan.
    - Normal number of scheduled hours.
    - Reason(s) for the reduction of hours.

*Question 1a check boxes continue on next page*

Reduction of hours is not less than the minimum percentage provided for in the state's STC law (Federal law establishes a minimum of 10 percent).

Reduction of hours of not more than the maximum percentage provided for in the state's STC law (Federal law establishes a maximum of 60 percent).

Strategy of how the employer will notify workers in the affected unit of the STC plan if the plan is approved, or an explanation of why it is not feasible to notify workers (including those workers in a collective bargaining unit, if applicable).

Estimated number of layoffs that would have occurred absent the STC plan.

Duration of requested plan.

Employer certifies that the employer provides health and retirement benefits to any employee whose usual weekly hours of work are reduced under STC, such benefits will continue to be provided under the same terms and conditions as though the usual weekly hours of work for the employee had not been reduced or to the same extent as other employees not participating in the program.

Employer certifies that the reduction of hours is in lieu of layoffs.

Employer certifies that the participation and implementation of the plan is consistent with employer's obligation under applicable Federal and state laws.

Any other information required to identify the plan participants (e.g., name, SSN) and employer (e.g., tax ID number).

Information addressing all other STC program requirement(s) provided in the state's STC law.

N/A

**2.** Are policies and procedures in place for approval or rejection of the employer's submitted plan?

**2a.** Does state law provide for a specific time period in which a decision must be made?

**2b.** On average, how long does it take for a decision to be made?

**2c.** If denied, is the employer provided a reason for the denial?

**3.** Does the state STC law provide for an appeal of a denial of an employer's submitted plan?

**3a.** If yes, does the state have a process in place for the appeal?

**3b.** Does the denial letter explain how to appeal?

**4.** Are policies and procedures in place for revocations and modifications of approved STC plans?

**4a.** Are modifications to the plan reviewed to ensure the modified plan meets the state’s STC program requirements?

**5.** Do policies and procedures address technical assistance and/or training, if any, for employers regarding STC?

**6.** Does the employer or claimant file the STC weekly continued claims?

Employer      Claimant

**6a.** If filed by the claimant, does the state have policies and procedures to verify (with the employer) the information reported by the claimant?

**6b.** If yes to 6a., describe the procedures for verifying the information reported by the claimant.

**7.** Does the state consider hours worked by an STC participant with another employer (i.e., ‘other (non-STC) employment’)?

**7a.** If yes, is the state following its law/policy regarding how to treat other (non-STC) employment (e.g., does the state calculate the STC benefit entitlement by adding the hours worked (not wages earned) with the non-STC employer to the hours worked with the STC employer to determine the percentage reduction from the usual hours of work and determine if it is within the permissible range of reduction under the state’s STC law in order to qualify for an STC benefit)?

**7b.** If the claimant reports hours worked from a non-STC employer, are the hours verified with the non-STC employer?

**7c.** If yes, how is the information verified?

**8.** Were there any law changes during the review period that affected the state's STC program policies and procedures?

**8a.** If yes, what law did the state implement, when were these changes implemented and what was the effect on the state's STC program policies and procedures?

**8b.** If yes, have the state's policies, procedures, and training material been updated to reflect these changes?

**8c.** If no (to question 8b), explain.

**9.** During the review period, were there any new business processes implemented that affect the state's STC program policies and procedures?

**9a.** If yes, what business process changes has the state implemented, when were these changes implemented, and what was the effect on the state's STC program policies and procedures?

**9b.** Have the state's policies, procedures, and training material been updated to reflect these changes?

**10.** Does the state have policies and procedures that address allowing governmental employers to submit STC program plans?

**11.** Are all Federal guideline policies and procedures being met for the operation of the STC program?

**11a.** If no, what STC laws or Federal guidance are not being met?

## **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.

1. Does the state include STC program training in its regular training plan for new staff?
  
2. Are all claims takers trained to take STC claims and handle questions?
  - 2a. If no, are STC trained staff available at all access points to handle STC claims and questions?
  
  - 2b. If N/A, explain.
  
3. Were all affected staff trained on any policy or operational changes made to STC during the review period before the changes were implemented?

## **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 reviewer will examine the state's STC program and claims workloads. The reviewer will address process-improvement initiatives pursued by the state.

- 1.** How many employers were using the STC program during the review period?
  - 1a.** How many STC participants, on average, are included in the STC employer plans?
  - 1b.** Does the state have a method for tracking STC approved employer plans/applications and initial claims and continued claims workload backlogs (if any)?

Initial claims:

  

Continued claims:
  - 1c.** If yes, is the data collection automated?
- 2.** Is the state able to identify the cause(s) of any backlogs?
- 3.** Does the state have contingency plans to utilize other staff and/or other methods to address the backlogs?
- 4.** During the review period, did the state conduct any business process analysis effort(s) to improve STC program processes and increase efficiency?

**4a.** If yes, what changes have been made and what was the result of those changes?

**4b.** If yes, what (if any) changes were recommended but not implemented and why?

### **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: 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 document the technology methods used by the state to support STC claims filing and document any IT projects impacted the STC program.

**1.** What IT systems does the state use for filing STC claims? *(check all that apply)*

Internet claims

Interactive Voice Response (IVR)

Kiosks

Mainframe terminals

Online assistance for claims takers

Online assistance for claimants/employers (e.g., chat functions)

Other *(explain)*

**2.** What IT systems, if any, does the state use to accept and process employer STC applications?  
*(check all that apply)*

Internet

Mainframe terminals

Online assistance for claims takers

Other *(explain)*

- 3.** During the review period, were there any IT projects that impacted the STC process system?
  - 3a.** If yes, what were the projects, are they completed or on-going? If on-going, what is the expected completion date for each?
  
- 4.** During the review period, were there IT needs for the STC systems that were not met that affected STC program performance?
  - 4a.** If yes, describe what IT needs were not met, the reason they were not met, what effect it had on the program, and what the state's plans are to meet these needs, if any.

## **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 examine STC operations and its interaction with claimant and employers. The reviewer will document the methods used by the state to publicize its STC program.

1. During the review period, did the state publicize the STC program to employers?
  - 1a. If yes, what methods did the state use to publicize the STC program to employers?  
*(check all that apply)*
    - Media
    - Social media
    - Agency website
    - Employer handbook
    - Quarterly report insert
    - Business services events
    - Other *(explain)*
  
2. What kind of assistance/guidance is available, if the employer has questions regarding the STC program or with completion of required forms?

**2a.** Is state STC contact information displayed prominently on flyers, web sites, etc.?

**3.** Does the state provide appropriate Benefits Rights Information to STC claimants, (e.g., reporting of earnings from other than the STC employer, must be available for their workweek, etc.)?

## **SECTION 6: Comments**

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

## SECTION 7: Operational Efficiency / Resource Allocation

The reviewer will examine various processes specific to the STC program. Effective analysis of STC claims performance results assures the most productive use of resources.

- 1.** If the state takes STC initial claims via the Internet, do the initial claims require staff review or intervention before the claim is processed?
  - 1a.** If yes, what is the process for staff to review initial claims?
  
- 2.** If the state takes STC continued claims via the Internet, do the continued claims require any staff review or intervention before the continued claim is processed?
  - 2a.** If yes, what is the process for staff to review continued claim(s)?
  
- 3.** Is there a process in place for monitoring the STC employer application/plan operations to improve efficiencies in the program?

**4.** Does the state use statistics or other means (talk time, first payment, or other) to assess efficiency of the STC claims taking process?

**4a.** If yes, explain. *(The response to this question may be addressed in the Comments at the end of this section, if more space is needed.)*

**5.** Does the state use statistics or other means to assess efficiency of the employer application/plan process?

**5a.** If yes, explain. *(The response to this question may be addressed in the Comments at the end of this section, if more space is needed.)*

## **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 STC claims workload and meet first payment promptness standards.

- 1.** Has the state been able to develop and maintain trained and knowledgeable STC program staff?
  
- 2.** Has the state had a loss of key staff from the STC program during the review period?
  
- 3.** Have there been any UI staffing/unit reorganizations during the review period that affected STC claims filing or operations related to employer application/plans?
  - 3a.** If yes, was there any net effect on workloads?
  
  - 3b.** If yes (to question 3a), explain.

## **SECTION 8: Comments**

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



## **SECTION 9: Concluding Summary Comments for Short-Time Compensation (STC)**

For the following sets of questions, consider the overall operations related to Short-Time Compensation. 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 [27](#) and [28](#).

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

2. Document any issues detected in STC 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 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.:**