

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

**NOTE: If your state does not operate an STC program (also known as Workshare or Shared Work), then the reviewer will not conduct this review.**

This self-assessment review of the state's STC program area will examine the STC processes as well as program performance. The reviewer will consult with appropriate staff regarding each operational element, as necessary, to ensure accurate and complete information is reported. This will include Unemployment Insurance (UI) administrators, IT managers, fiscal officers, office/call center managers, claims supervisors, and coordinators or reviewers.

Upon completion of this review, the results should be shared with UI administrators, appropriate program manager(s), and supervisors. The self-assessment findings can provide a very good analysis of the state's STC operations and can be used to drive process and program-improvement initiatives.

A comments section is provided for each operational element, which the reviewer should use to document any observations regarding issues identified related to that specific operational element. This space may also be used to provide any additional information relating to a specific question in this self-assessment document. In doing so, the reviewer should reference the specific question by number and insert the additional information related to that question.

In addition, a concluding comments section is provided at the end of the self-assessment instrument to capture any strengths identified by the reviewer in this program area which could constitute a successful practice(s) to be shared with other states; any issues identified by the reviewer in the program area that adversely impacts the state's performance and to identify any possible corrective actions to address the issue; and general comments about this program area. The reviewer can provide information here that Federal reviewers and state UI administrators and managers can use to assess program operations and the state's effectiveness in providing quality services in this program area.

***Save your entries regularly as you complete the review and when you close the self-assessment to ensure your answers are saved.***

## SECTION 1: Procedures, Policies, and Confidentiality

The purpose of this section is to review the policies and procedures provided by the agency for staff to use in operating the STC program. These are the written (e.g., in hard-copy, electronically, or both formats) standards, instructions, and guidelines that staff regularly use in the operation of the program. The reviewer may utilize resources that 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. The reviewer may need to examine all relevant instructions and consult with UI administrators, office/call center managers, claims supervisors, and state's coordinators.

The reviewer will document whether the state has policies and procedures sufficient to provide guidance and instruction to staff that process STC claims. Existing policies and procedures should be examined to determine whether they are up-to-date and address all law changes, organizational changes and technology changes that occurred during the review period.

### Helpful Info.

Question 1a: Based on the policies and procedures, the reviewer will document all information the employer is required to complete on the STC plan/application.

Question 6b: If the state allows claimants to file STC continued claims, the reviewer will document the procedures the state uses for verifying the information reported on a weekly continued claim completed by the claimant, if any.

Question 11a: If the state is not meeting all Federal guideline policies and procedures for operating an STC program, the reviewer will document all STC laws and policies that are not being met.

## 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, the reviewer should consult with the state's training unit/staff and the office/call center managers, and examine 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). The state should have procedures for identifying general and specific training needs, for developing a training curriculum and training materials, and for delivering training as needs are identified.

### SECTION 3: Workload Analysis / Management Controls

The reviewer will examine state's ability to manage STC workloads, particularly through periods of unforeseen spikes in workload; and will also review the methods used by the state to mitigate backlogs, when they occur, to ensure the state's ability to process STC employer applications as well as initial and weekly STC claims in a timely manner. The reviewer will document process-improvement initiatives aimed at improving STC operations. The reviewer will interview office/call center managers, STC and claims supervisors, performance management staff, and coordinators to thoroughly document the state's practices for managing its STC operations.

#### **Helpful Info.**

Question 4a: Describe all business process analysis initiatives the state conducted during the review period regarding its STC processes and what operational changes have been implemented as a result of those initiatives.

### SECTION 4: Performance Management

The reviewer will examine the state's practices for monitoring program performance and compliance with Federal and state law and regulations. If the state has a performance management unit, the reviewer should consult with performance management staff in addition to UI administrators, office/call center managers and supervisors and coordinators when completing this section.

#### **Helpful Info.**

Question 2: The reviewer will document the methods the state uses to monitor its STC operations. If the state's processes for monitoring its STC performance are considered to be particularly effective and/or efficient, explain fully in the Comments area at the end of this section.

### SECTION 5: Information Technology (IT)

When completing this section of the self-assessment the reviewer should consult with UI and IT administrators and office/call center managers. IT projects relating to the UI STC program that were completed during the review period and that are planned for the future will be detailed. The reviewer will assess the IT department's delivery of programming and technical support to the STC program area.

**Helpful Info.**

Question 1: The reviewer will indicate all IT systems used by the state for filing STC initial claims.

Question 2: The reviewer will indicate all IT system used by the state for accepting and processing employer STC applications.

Question 3a: The reviewer should describe any major IT projects that were conducted during the review period and provide information regarding the project status, and if completed, the success of the project.

Question 4a: If the state had IT needs related to its STC program that were not met, the reviewer should document the needs that were not met and the impact it had on the STC processes, if any.

**SECTION 6: Claimant / Employer Access & Communication**

The reviewer will examine the state’s methods for taking STC claims including access and communications with claimants and employers. Methods used must comply with requirements set forth in Federal and state law. The reviewer will consult with UI administrators, office/call center managers, and supervisors when completing this section of the self-assessment. The state’s methods for taking STC claims will be reviewed to ensure they meet Federal regulations regarding accessibility.

**Helpful Info.**

Question 2: The reviewer will describe the methods the state uses to provide support to employers that have questions about the STC program or the completion of required forms.

## SECTION 7: Operational Efficiency/Resource Allocation

Through interviews with UI administrators and office/call center managers the reviewer will identify efficiencies and automation the state has used to improve performance and provide better service to the public.

### Helpful Info.

Question 2a: The reviewer should consult with supervisors to determine the process for continued claims filed via the Internet, if continued claims require intervention prior to being processed.

## SECTION 8: Staffing

The reviewer will examine organizational changes that occurred during the review period, if any, and their effect on the state's ability to manage its STC operations and to meet established guidelines. The reviewer should consult with UI administrators, office/call center managers, and the state agency's human resource manager when completing this section of the self-assessment.

### Helpful Info.

Question 3b: The reviewer should explain what effect any reorganization had on STC operations.

## SECTION 9: Concluding Summary Comments

The reviewer will use the Concluding Summary Comments section to highlight the state's strengths and weaknesses that impact the STC program area and to identify issues that have not been addressed in any other section of the self-assessment. These comments are intended to provide Federal reviewers and the state's UI administrators with additional insight into these program areas, focusing on methods that have proven to be successful and can be capitalized upon or areas where corrective measures may be needed.

The first comment area provides the reviewer an opportunity to share any examples of good and/or exemplary operations in this program area after reviewing each operational element. The reviewer can use this space to identify any policy, procedure or operation that would constitute a successful practice that can be shared with other states.

The second comment area provides the reviewer to document issues detected during the review that are having an adverse impact on the program area, affecting the state's performance, ability to meet performance standards or customer service. It is also a place to recommend corrective actions for the agency's leadership to consider implementing.

The final comment area in this section provides the reviewer space to share any additional comments, concerns or observations regarding the state's operations in this program area.