



Unemployment Insurance (UI) Benefit Operations Self-Assessment Tool: *Intake Initial Claims-Combined Wage Claims (CWC)*

REVIEW PERIOD: **Begins**

Ends

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

SECTION 1: Procedures, Policies, and Confidentiality

Information may include manuals, handbook—including [ETA Handbook No. 399](#) and [ETA Handbook No. 392](#)—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.** Are there written procedures in place to identify individuals with possible out-of-state wages to be used on the CWC initial claim (e.g., does the initial claim application ask whether the claimant had employment/earned wages in another state)?
 - 1a.** If the claimant states that she or he worked and earned wages in another state, are there written procedures regarding next steps?
 - 1b.** Does the claim application collect information regarding the individual state(s) in which the claimant performed work?
 - 1c.** Does the claim application collect the name and address of the employer(s)?
 - 1d.** Does the state have procedures in place to automatically check for out-of-state wages for all initial CWCs (e.g., checking the Interstate Inquiry (IBIQ) application)?

- 2.** Do the policies and procedures address providing claimants with CWC filing options when they have wages in more than one state?

- 3.** Are there written procedures established for requesting wages from another state?
 - 3a.** At what point does the state (as the paying state) send the wage transfer request (IB-4) to the transferring state(s); for example, is it sent the same day or next day after the claim is filed?

 - 3b.** Are there procedures for requesting missing or incorrect wages using the Interstate Request for Reconsideration of Monetary Determination/Wage Credits, Form IB-14?

- 4.** Does the state have a process to flag a CWC for adjudication when there are any nonmonetary issues?
 - 4a.** If yes, indicate the type of process.
Automated process Manual process

- 5.** If an overpayment is caused by an out-of-state employer's failure to respond timely and/or adequately to a request for information on a CWC claim, does the state have a process in place to notify the transferring state of this determination?

- 5a.** If yes, what process is used?
ICON CWC 02-12 application
Other state process (*explain*)

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

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 include CWC training in its regular state UI initial claims taking training?
 - 1a. If yes, is this training provided to all new claims taking staff?

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

3. Are claims takers trained to use the following ICON applications for CWCs? *(check all that apply)*
IB-4 SID IBIQ WIC2 IB Hand

4. If the state does not use the ICON model code for the CWC program, are claims takers trained to use some other system(s) developed by the state for CWC?

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: 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.

3. What IT systems does the state use for filing CWC Initial Claims? (*check all that apply*)

Internet claims

Interactive Voice Response (IVR)

Kiosks

Mainframe terminals

Online assistance for claims takers

Other (*explain*)

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

CWC claim-filing systems should be user-friendly, customer-facing systems and integrated operating systems to provide the best customer experience and efficient operations. If the state takes CWC claims via the Internet, the reviewer will describe the means used to ensure correct filing options are available to the claimant.

1. If the state allows the filing of CWCs (initial claims) on the state's Internet system, does the filing process incorporate providing claimants their CWC filing options?

1a. If yes, how are the options for filing a CWC initial claim provided to the claimant?

1b. If no, 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 examine various processes specific to CWC claims and document efficiencies and automation that the state has employed to improve performance and provide better services to its customers. Effective analysis of Initial Combined Wage Claims performance results assures the most productive utilization of resources.

1. Does the state use statistics (talk time, first payment, or other) to determine the efficiency of the CWC Initial Claims taking process?

2. How is the process for sending the *Request for Transfer of Wages*, Form IB-4, handled?
 - Automated (no staff intervention needed)
 - Manual review/process
 - Combined (e.g., manual when response contains exceptions)

3. Is there a process to advise/allow appropriate staff to know that a request to transfer wages (IB-4) for a CWC has been made?
 - 3a. Can staff view a wage transfer request (IB-4) after it has been sent?

4. How is the response from the transferring state handled once it is received?
 - Automated (no staff intervention needed)
 - Manual review/process
 - Combined (e.g., manual when response contains exceptions)

5. Is a second request for wages (IB-4) sent automatically, if needed?
 - 5a. If no, explain the process for sending a second request.

6. Does the state track timeliness of Monetary Determinations/redeterminations for CWC?
 - 6a. When a CWC redetermination is necessary, is the claimant provided CWC filing options again, if needed?

7. How is the *Report on Determination of Combined-Wage Claim*, Form IB-5, sent to transferring states?
 - Automated (no staff intervention needed)
 - Manual process
 - Other (*explain*)

- 7a. Is the Form IB-5 sent each time the claimant's Monetary Determination changes or is it held until all intrastate and out-of-state wages are received?

8. How are incoming IB-4 requests for transferred wages handled?
 - Automated (no staff intervention needed)
 - Manual process

9. Is there a process to address cases where the IB-5 effective date and wages do not match the IB-4 response?

10. If the IB-5 returns transferred wages, is it handled differently than an IB-5 using transferred wages?

11. Does the state have a process to ensure transferred wages are flagged so they cannot be used again by this state or another state?

12. Does the state have a process to check the IB-5 when received, so that it is verified against the IB-4 response?

12a. If yes, how is this verification made?

Automated process

Manual process

Other (*explain*)

N/A

13. Does the state have a written procedures for sending the quarterly billing *Statement of Benefits Paid to Combined-Wage Claimants*, Form IB-6, as the paying state?

13a. Is the ICON model code being used?

13b. Is the quarterly IB-6 billing process automated?

13c. If the ICON model code is not used, how is the IB-6 processed?

13d. Is the state verifying charges it receives as a result of transferred wages?

13e. Does the state verify that the amount charged is accurate before sending the IB-6?

14. Does the state have a written process for processing/paying the IB-6 bill(s) as the transferring state?

14a. Is the ICON model code being used?

14b. Is the outgoing IB-6 process automated?

14c. If the ICON model code is not used, how is the amount charged and maximum amount charged confirmed?

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 levels and organizational changes all can affect the state's ability to manage its Initial Claims workload and meet first payment promptness standards.

- 1.** Were there any UI staffing/unit reorganizations during the review period impacting CWC claims staff?
 - 1a.** If yes, was there any net effect on workloads?
 - 1b.** If yes (to question 1a), 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 Initial Claims-Combined Wage Claims

For the following sets of questions, consider the overall operations related to Intake Initial Claims-Combined Wage Claims. 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 [24](#) and [25](#).

- 1.** Provide any observations of good and/or exemplary performance in the state's Combined Wage Claims policies, procedures, or operations that would constitute successful practices to share with other states.

2. Document any issues detected in Combined Wage initial claims taking that adversely affects the state's performance, its ability to meet performance standards/measures, 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:

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