

<b>TRAINING AND EMPLOYMENT NOTICE</b>	<b>NO.</b> 1-20
	<b>DATE</b> July 30, 2020

**TO:** STATE WORKFORCE AGENCIES  
STATE WORKFORCE DIRECTORS

**FROM:** JOHN PALLASCH   
Assistant Secretary

**SUBJECT:** Coronavirus Aid, Relief, and Economic Security (CARES) Act of 2020-  
Implementation Checklist

1. **Purpose.** The purpose of this Training and Employment Notice (TEN) is to advise States of the availability of a CARES Act Implementation Checklist, developed by the Department of Labor's (Department) Employment and Training Administration (ETA), for use by States to ensure they have systems and procedures in place to properly administer the Pandemic Unemployment Assistance (PUA), Federal Pandemic Unemployment Compensation (FPUC), and Pandemic Emergency Unemployment Compensation (PEUC) programs enacted in Title II, CARES Act.
2. **Action Requested.** ETA requests State Workforce Administrators to review this TEN and the attached Implementation Checklist and provide it to the State's Unemployment Insurance (UI) Director and other appropriate state workforce system staff to use as a State self-assessment tool and to prepare for upcoming ETA Regional Office assessments and monitoring of the States' implementation efforts under the provisions of PUA, FPUC, and PEUC, as provided for in the CARES Act.
3. **Summary and Background.**
  - a. Summary – This TEN provides guidance to States regarding systems and procedures necessary to ensure proper administration of the CARES Act programs affecting the UI program.
  - b. Background – ETA is actively working with states to ensure they have the tools necessary to successfully implement the provisions of the CARES Act as they relate to PUA, FPUC, and PEUC. In addition, the CARES Act provided \$26 million to the Department's Office of the Inspector General to audit CARES Act programs. The attached checklist provides a means for States to ensure that their administration of the PUA, FPUC, and PEUC programs meets statutory requirements under both the CARES Act and the UI provisions of the Social Security Act.
4. **Content.** The attached CARES Act Implementation Checklist provides a detailed list of systems and procedures for proper implementation of PUA, FPUC, and PEUC programs

within the context of the UI program. The State program areas covered by this checklist include:

- a. Administrative guidance and processes, including initial claims and weekly or bi-weekly eligibility certification;
- b. Publicity and program announcements, including the program website and outreach efforts;
- c. Program integrity, including initial and continued eligibility, internal controls, and security;
- d. IT systems checks, including availability and identification and resolution of defects;
- e. Program interfaces;
- f. Employer accounts;
- g. Adjudication and appeals;
- h. Return to work reviews, including employer and employee contacts;
- i. Reporting; and
- j. Federal funds administration.

In addition, there are included separate checklists for each of the CARES Act programs – FPUC, PUA, and PEUC.

**5. Inquiries.** For further information, please contact the appropriate Regional Office or email [covid19@dol.gov](mailto:covid19@dol.gov) with a copy of the email to the Regional Office.

**6. References.**

- ETA’s guidance related to FPUC, PUA and PEUC, which are located at: <https://oui.doleta.gov/unemploy/coronavirus/>;
- *Coronavirus Aid, Relief, and Economic Security (CARES) Act* (Pub. L. 116-136), including Title II Subtitle A, Relief for Workers Affected by Coronavirus Act;
- Sections 3304(a)(6)(A) and 3309(a)(1) of the Federal Unemployment Tax Act (FUTA), 26 U.S.C. § 3304(a)(6)(A) and 3309(a)(1);
- 20 CFR Part 603;
- Unemployment Insurance Program Letter (UIPL) No. 02-16, *State Responsibilities for Ensuring Access to Unemployment Insurance Benefits*, issued October 1, 2015, [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=4233](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=4233) and UIPL No. 02-16 Change 1, issued on May 11, 2020, [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=5491](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5491);
- UIPL No. 19-11, *National Effort to Reduce Improper Payments in the Unemployment Insurance (UI) Program*, issued June 10, 2011, [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3036](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3036);
- ETA Handbook No. 336, *State Quality Service Plan-Planning and Reporting Guidelines*;
- ETA Handbook No. 356, *Disaster Unemployment Assistance*; and
- ETA Handbook No. 401, *Unemployment Insurance Report Handbook*.

**7. Attachment(s).**

- Attachment I: CARES Act Implementation Checklist

**State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations**

**ATTACHMENT I**

This checklist is designed to provide transparency so states will know the subjects for assessment and monitoring, and to ensure a state’s preparedness to properly administer, the Federal Pandemic Unemployment Compensation (FPUC), Pandemic Unemployment Assistance (PUA), and Pandemic Emergency Unemployment Compensation (PEUC) programs and the specific requirements in response to COVID-19. Reference: The CARES Act of 2020, Public Law 116-136 (Title II, Subtitle A).

State:		Name and title of agency representative completing the checklist:			
		Date Completed:			
	A. Administrative Guidance/Processes	Yes	No	N/A	Comments
1.	State staff has access to all CARES Act ETA Guidance located at: <a href="https://oui.doleta.gov/unemploy/coronavirus/">https://oui.doleta.gov/unemploy/coronavirus/</a> and other appropriate guidance, including UIPL Nos. 02-16, 02-16, Change 1, and UIPL No. 19-11				
2.	Staff has received training on ETA guidance and new requirements				
3.	State procedures updated to reflect law changes/disseminated to staff				
4.	Staff has been trained on new procedures and process changes				
5.	State knows process for requesting administrative funds from ETA for FPUC, PUA, and PEUC (i.e., Supplemental Budget Request (SBR) process)				
6.	Staff understands reporting requirements, including fiscal reports, quarterly progress reports (ETA 9178-P), and other program reports (e.g., ETA 227, overpayment activities reports for CARES Act programs and ETA 902P, Disaster Unemployment Assistance report for PUA)				
7.	State has used resources to hire staff to address increased workload				
8.	State has the authority to hire adequate levels of staffing				
9.	State has taken steps to quickly hire and onboard new staff				
10.	Staff has been cross-trained and implementation plan addresses organizational flexibility to minimize disruptions (e.g., absences)				
11.	If state has incorporated telework, state has provided the necessary equipment and trained staff on telework procedures				

**State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations**

12.	Provide your estimated staffing level in each key program area:	Less than Adequate Staffing	Adequate Staffing	More than Adequate Staffing	Comments
	A.12.a: Call Center Staff				
	A.12.b: Adjudications Staff				
	A.12.c: Appeals Staff				
	A.12.d: Benefit Payment Control Staff				
13.	State issued notifications to potentially eligible claimants about the new CARES Act programs (FPUC, PUA and PEUC)				

**State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations**

State:		Name and title of agency representative completing the checklist:			
		Date Completed:			
	B. Publicity of Program/ Program Announcements	Yes	No	N/A	Comments
1.	<b>Media Announcement:</b> <ul style="list-style-type: none"> <li>- <b>B.1.a.</b> State-wide announcements were issued advising public of the programs (availability and how to apply)</li> <li>- <b>B.1.b.</b> State engagement of media (social media, if appropriate)</li> <li>- <b>B.1.c.</b> Provided media contact information to report suspected UC fraud (for example, a 1-800# hotline)</li> <li>- <b>B.1.d.</b> Documentation of all announcements are available for review/potential audit</li> </ul>				
2.	<b>Website:</b> <ul style="list-style-type: none"> <li>- <b>B.2.a.</b> State website is updated with latest COVID-19/CARES Act information (including any applicable social media presence)</li> <li>- <b>B.2.b.</b> Messaging for public is kept current and accurate (in line with ETA guidance)</li> <li>- <b>B.2.c.</b> Clear and prominent information on website and social media platforms about how to report UI Fraud</li> <li>- <b>B.2.d.</b> State website is monitored daily to ensure operational (e.g., links work, information is accessible)</li> </ul>				
3.	<b>External Outreach:</b> <ul style="list-style-type: none"> <li>- <b>B.3.a.</b> State system supports alternative access options for individuals with barriers to filing by phone or on-line (see UIPL Nos. 02-16 and 02-16, Change 1)</li> <li>- <b>B.3.b.</b> Websites and other forms of communications (brochures/posters) prominently and effectively communicate alternate options/locations</li> <li>- <b>B.3.c.</b> Staff has been fully trained to assist individuals with barriers to access (i.e., filing of claims, etc.)</li> <li>- <b>B.3.d.</b> Staff/claimant access to system(s) includes verification of identity/tools for authentication</li> <li>- <b>B.3.e.</b> Website(s) are 508 compliant and translated for significant population language groups, including correspondence, as applicable (complying with UIPL Nos. 02-16 and 02-16, Change 1)</li> </ul>				

**State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations**

	<ul style="list-style-type: none"> <li>- <b>B.3.f.</b> Interactive Voice Response (IVR) phraseology is clear/understandable and accessible to claimants with access barriers(monitored for any repetitive issues)</li> </ul>				
State:		Name and title of agency representative completing the checklist:			
		<b>Date Completed:</b>			
	<b>C. Program Integrity</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
<b>1.</b>	<p><b>Initial and Continued Eligibility Controls:</b></p> <ul style="list-style-type: none"> <li>- <b>C.1.a.</b> Claimant must certify weekly to meeting continued eligibility requirements for specific program for which benefits are claimed.</li> <li>- <b>C.1.b.</b> Appropriate checks for wages in other states are made via ICON (quarterly/periodically to test for eligibility)</li> <li>- <b>C.1.c.</b> Request that states report when they begin to reopen, and incorporate procedures to flag/investigate potential refusals to return to work, suitable work, and other issues, as appropriate</li> <li>- <b>C.1.d.</b> Appropriate checks SID SCO and IB8606 applications on the ICON Hub are checked to ensure the claimant doesn't have a claim(s) in other states</li> <li>- <b>C.1.e.</b> State Information Data Exchange System (SIDES) <ul style="list-style-type: none"> <li>o State has high level of participation</li> <li>o State has encouraged employers to provide claimant eligibility information via SIDES</li> <li>o State has trained staff on how to quickly detect and adjudicate eligibility issues from SIDES information</li> </ul> </li> <li>- <b>C.1.f.</b> Integrity efforts include data cross-matches to prevent/detect overpayments</li> </ul> <p>Data cross-matches used:</p> <ul style="list-style-type: none"> <li>o National Directory of New Hires Cross-match (NDNH, reference: UIPL No. 19-11)</li> <li>o Quarterly Wage Records Cross-match (20 CFR § 603.23)</li> <li>o Systematic Alien Verification for Entitlement (SAVE) (The Immigration Reform and Control Act (IRCA))</li> <li>o State Directory of New Hires Cross-match (SDNH)</li> </ul>				

## State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations

	<ul style="list-style-type: none"> <li>○ Social Security Administration (SSA) Cross-match</li> <li>○ Interstate Benefits (IB) Cross-match</li> <li>○ Identity Verification via DMV Crossmatch</li> <li>○ Incarceration Cross-match and</li> <li>○ UI Integrity Center’s Integrity Data Hub (IDH) tools: <ul style="list-style-type: none"> <li>▪ Suspicious Actor Repository (SAR),</li> <li>▪ Suspicious E-Mail Domains, Multi-State Cross-Match (MSCM), and</li> <li>▪ Foreign Internet Protocol (IP) Address Detection).</li> </ul> </li> </ul>				
<b>2.</b>	<p><b>Internal Controls</b></p> <p>Internal Controls are in place related to:</p> <ul style="list-style-type: none"> <li>- <b>C.2.a.</b> Financial Reporting Policy and Procedure</li> <li>- <b>C.2.b.</b> Cash Management Policy and Procedure</li> </ul>				
<b>3.</b>	<p><b>Equipment Tracking</b></p> <ul style="list-style-type: none"> <li>- <b>C.3.a.</b> Equipment Policy (2 CFR 200.313)</li> <li>- <b>C.3.b.</b> Equipment Telework Policies to protect UC PII</li> <li>- <b>C.3.c.</b> Disposition</li> </ul>				
<b>4.</b>	<p><b>Document &amp; Record Retention</b></p> <ul style="list-style-type: none"> <li>- <b>C.4.a.</b> Identifying electronic documents and paper files, as appropriate</li> <li>- <b>C.4.b.</b> Methods of protecting PII, including procedures to protect PII while state staff is teleworking</li> <li>- <b>C.4.c.</b> Record Retention Policy (2 CFR 200.333) is clear and understood by appropriate staff</li> <li>- <b>C.4.d.</b> State records retention requirements</li> <li>- <b>C.4.e.</b> Custodian of Records is clearly identified</li> </ul>				
<b>5.</b>	<p><b>Security:</b></p> <ul style="list-style-type: none"> <li>- <b>C.5.a.</b> Data and System security verified and validated, including systems required for data exchanges</li> </ul>				

**State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations**

	<ul style="list-style-type: none"> <li>- <b>C.5.b.</b> Other internal system controls are verified and validated to ensure security</li> <li>- <b>C.5.c.</b> Confidentiality and security of claimant and employer information/data is protected and maintained</li> </ul>				
<b>6.</b>	<p><b>Funds Reconciliation:</b></p> <ul style="list-style-type: none"> <li>- <b>C.6.</b> Existing policies and procedures for daily or weekly funds reconciliation are updated and the date is recorded</li> </ul>				
<b>7.</b>	<p><b>Overpayments:</b></p> <ul style="list-style-type: none"> <li>- <b>C.7.a.</b> Staff received appropriate training for prevention, detection, and recovery of PUA, PEUC and FPUC improper payments</li> <li>- <b>C.7.b.</b> Methods and procedures were established to prevent and detect improper payment(s)</li> <li>- <b>C.7.c.</b> Create clear communication pathways between UI claims and UI tax departments to communicate employer re-openings, job offers, and reports of claimant fraud</li> <li>- <b>C.7.d.</b> States are strongly encouraged to request and facilitate employers' ability to provide information when workers refuse to return to their jobs for reasons that do not support their continued eligibility for benefits</li> <li>- <b>C.7.e.</b> Take action to prevent common fraud schemes</li> <li>- (e.g., the Office of Inspector General noted past schemes involving:             <ul style="list-style-type: none"> <li>o Auto-populated claimant data not adequately protected</li> <li>o IP addresses that raised eligibility issues</li> <li>o Non-State issued debit cards that raised eligibility issues)</li> </ul> </li> <li>- <b>C.7.f.</b> Procedures established to recover overpayments</li> <li>- <b>C.7.g.</b> System programmed to apply 50% offsetting of benefits of the CARES Act UI programs</li> <li>- <b>C.7.h.</b> All possible collection methods are used:             <ul style="list-style-type: none"> <li>o Treasury Offset Program (TOP)</li> <li>o State wage garnishments (as allowed under state law)</li> <li>o State lottery winnings(as allowed under state law)</li> </ul> </li> <li>- <b>C.7.i.</b> Methods for referral for prosecution, as appropriate, are in place, including clear messaging to the public (e.g., website)</li> </ul>				



**State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations**

State:		Name and title of agency representative completing the checklist:			
		Date Completed:			
D. IT System Checks		Yes	No	N/A	Comments
1.	<b>System availability:</b> <ul style="list-style-type: none"> <li>- <b>D.1.a.</b> System generated forms and correspondence have been fully tested and are fully operational</li> <li>- <b>D.1.b.</b> Printing processes have been fully tested and are fully operational</li> <li>- <b>D.1.c.</b> Imaging and scanning, as needed, have been fully tested and are fully operational</li> <li>- <b>D.1.d.</b> Batch Processes, including execution timelines, have been fully tested and are fully operational</li> <li>- <b>D.1.e.</b> Workflows have been verified and adjusted by thorough review of system generated issue flags/triggers to ensure they are necessary</li> </ul>				
2.	<b>System defects are systematically tracked and remedied/Defect tracking processes are in place:</b> <ul style="list-style-type: none"> <li>- <b>D.2.a.</b> Process in place to identify, track, communicate, and address system errors</li> <li>- <b>D.2.b.</b> Procedures developed to document and communicate any system workaround or resolution</li> <li>- <b>D.2.c.</b> System errors/defects are tracked and management is able to review manage and prioritize resolution</li> <li>- <b>D.2.d.</b> Workarounds are established and fully tested and exercised with staff for system functionality that is deferred or necessary to address known system issue, including any appropriate security and confidentiality measures</li> <li>- <b>D.2.e.</b> Users are appropriately informed and trained on any changes in processes resulting from defect fixes or workarounds</li> <li>- <b>D.2.f.</b> Implement system procedure to prevent duplicate payments to the same person/same address</li> </ul>				
3.	<b>Reporting Interfaces:</b> <ul style="list-style-type: none"> <li>- <b>D.3.a.</b> UI Performs/quality control measures – State has documented operational changes, including how any suspended</li> </ul>				

## State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations

	<p>measures will be brought back online</p> <ul style="list-style-type: none"><li>- <b>D.3.b.</b> UI program management reporting functions, such as tracking of initial and continued claims by age, management dashboard, and ad hoc/system logging reports have been fully tested and are fully operational. (or manual process for tracking has been fully tested and is fully operational)</li><li>- <b>D.3.c.</b> Interfaces with call center operations have been fully tested and are fully operational at the line staff level</li><li>- <b>D.3.d.</b> Interstate Connection (ICON) network interfaces have been fully tested and are fully operational</li><li>- <b>D.3.e.</b> Other external interfaces, such as those required to retrieve wage record data, automatic cross matches for identity or other integrity purposes, have been fully tested and are fully operational</li></ul>				
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**State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations**

State:		Name and title of agency representative completing the checklist:			
		<b>Date Completed:</b>			
<b>E. Payment to Eligible Individuals</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
<b>1.</b>	Benefit Payment method(s) [direct deposit, mailing checks, other] is functional				
<b>2.</b>	Ensure regular communication with bank partners to address issues such as debit card stock, limits on disbursement amounts by the state etc.				
<b>3.</b>	Secure methods of protecting individual personal information are established				
<b>4.</b>	Internal security measures are updated to include all programs				
<b>5.</b>	Methods to garnish payments (child support, court orders) are compliant with state and federal law				
<b>6.</b>	Methods to withhold taxes are compliant with state and federal laws				
<b>7.</b>	Methods to recover benefit overpayments for all programs (FPUC, PEUC, PUA) are in place  <b>E.7.</b> Offsetting from FPUC, PEUC, and PUA are limited to 50%				
<b>8.</b>	System for retroactive payments is programmed/in place				
<b>9.</b>	Claimants are provided clear and understandable notifications explaining benefit rights information, which is updated to reflect new CARES Act programs, and made available to claimants				

**State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations**

State:		Name and title of agency representative completing the checklist:			
		Date Completed:			
F. Employer Accounts		Yes	No	N/A	Comments
1.	Changes to employer liability determinations are implemented upon modification of state law/policy to ensure non-charging as allowed by temporary flexibilities under UIPL 13-20 <i>et al.</i>				
2.	Benefit Charging processes and procedures are in place and encompass any overall changes to the benefit charging system and needed communications				
3.	Tax rate computation; any changes to charging during pandemic response have been programmed and are operational				
4.	Employer Delinquency Enforcement; processes and procedures are in place upon modification of the state law/policy that encompass any flexibilities during the pandemic response				
5.	Employer Tax and Wage report processing systems are online				
6.	Staff (including tax staff) have been trained on any new processes				
7.	State has messaged employers encouraging the use of SIDES				
8.	State is conducting wage investigations when information of potentially unreported wages comes from new claims				

**State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations**

State:		Name and title of agency representative completing the checklist:			
		Date Completed:			
G. Adjudication		Yes	No	N/A	Comments
1.	State staff have received training for claims adjudication, including FPUC, PEUC, PUA and non-monetary determination policies and procedures comply with ETA guidance				
2.	Methods of flagging separation and non-separation issues are in place to ensure timely adjudication <ul style="list-style-type: none"> <li>- <b>G.2.a.</b> Separation issues flagged</li> <li>- <b>G.2.b.</b> Non-separation issues flagged</li> <li>- <b>G.2.c.</b> Correct issue detection date(s) identified</li> </ul>				
3.	Controls are in place to ensure the appropriate UI program (FPUC, PEUC, PUA) is applicable				
4.	Controls are in place to ensure the timeliness and accuracy of the weekly benefit amount and duration of benefits				
5.	Methods of adjudicating and issuing determinations related to initial claim issues (online, telephone, in-person, other) are in place and consistent with guidance to ensure accessibility to claimants with barriers				
6.	Secure methods of protecting individual personal information during adjudication process are in place				
7.	State tracking of untimely/inadequate employer responses that cause an overpayment to establish pattern and required charging is in place				
8.	Employer charging flexibilities are in place, upon modification of state law/policy, as applicable to the specific program(s)				
9.	Determination has Notice of Appeal rights appropriate for these program(s) – e.g., FPUC must consider merits of the denial of the underlying program benefits in determining eligibility for FPUC payments; (See UIPL No. 15-20, page I-6)				

## State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations

<b>10.</b>	Earning offsets meet requirements of programs under CARES Act (UIPL Nos. 15-20, 16-20, 17-20)				
<b>11.</b>	Methods of adjudicating continued claims issues are in place				
<b>12.</b>	Methods of adjudicating and issuing fraud determinations are in place - Method of management reports (automated and/or manual) are in place and have been tested to measure workload, timeliness, and backlogs				
<b>13.</b>	Methods of notifying applicants when a claim is received (and processed or not processed) is in place				

**State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations**

State:		Name and title of agency representative completing the checklist:			
		Date Completed:			
H. Appeals		Yes	No	N/A	Comments
1.	Developed written policies and procedures for processing, scheduling and holding appeals for these programs in accordance with their respective requirements and in compliance with ETA guidance				
2.	State is able to increase staff, as necessary, to address increasing workload(s)				
3.	Training of appeals staff on CARES Act and Federal Guidance for FPUC, PEUC, and PUA				
4.	Methods of appeals (in person, telephone, videoconference) are operational, supported by technology, and address accessibility for those with barriers				
5.	Training of staff in processing and efficient scheduling of appeals (factoring in increased workload)				
6.	Training created/disseminated for hearings officers and Administrative Law Judges (ALJs) regarding appeals procedures and writing decisions to meet federal timeliness and quality standards				
7.	Secure methods of protecting individuals' personal information related to the filing, hearing, and disposition of cases are in place				
8.	Management reports are in place to measure, track, and report backlogs				

**State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations**

State:		Name and title of agency representative completing the checklist:			
		Date Completed:			
I. Maintaining Employer –Employee Contact / Return to Work		Yes	No	N/A	Comments
1.	Established method for notifying employers of program requirements				
2.	Established method for employers to report return to work offers <ul style="list-style-type: none"> <li>- I.2.a. Communicated with employers to report individuals returning to work or turning down work</li> <li>- I.2.b. Communicated with employers about how to report UI fraud</li> </ul>				
3.	Outreach efforts for reemployment created/disseminated to employers and claimants				
4.	Established method for employers and claimants to report earnings and retroactive wages (including wages derived from the Paycheck Protection Program (PPP))				
5.	Established procedure for using NDNH and SDNH for new hires				
6.	Methods for identifying employers that received small business loans under PPP and verifying that businesses have/have not provided back pay to claimants, as appropriate				
7.	Encouraged employers to use SIDES to ensure timely and complete responses to information requests (for instance reminders of the availability on the notice of claim and determinations)				
8.	Established method to ensure employers are meeting the requirement to notify employees of the availability of UC at the time of separation (Emergency Unemployment Insurance Stabilization and Access Act of 2020 (EUISSA), Allotment 1)				



**State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations**

State:		Name and title of agency representative completing the checklist:			
		Date Completed:			
J. Reporting		Yes	No	N/A	Comments
1.	<b>Fiscal</b>  <b>J.1.a.</b> Agency/department responsible for fiscal reporting is same as agency/department awarded the grant <b>J.1.b.</b> Identify the two (2) contributing individuals: - Submitter - person who compiles the data - Certifier – person who approves and certifies the data is accurate <b>J.1.c.</b> Agency/department has obtained access and passwords for both submitter and certifier				
2.	<b>Program</b>  <b>J.2.a.</b> Method established for preparing weekly and monthly activity reports <b>J.2.b.</b> Method established for tracking program [FPUC, PEUC, PUA] benefit expenditures <b>J.2.c.</b> Method established for tracking [FPUC, PEUC, PUA] administrative expenditures (such as payroll, contract, operational costs) <b>J.2.d.</b> Method for identifying benefit overpayment funds to be returned to the U.S. Department of Labor are established				

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State:		Name and title of agency representative completing the checklist:			
		Date Completed:			
K. Federal Funds Administration		Yes	No	N/A	Comments
1.	Specific individuals responsible for drawing down funds are identified				
2.	Procedures for how and when funds will be drawn down are established				
3.	Recording procedures for spending are in place				
4.	Accounting codes for drawing down funds for each program have been created and/or designated, along with the processing of refunds (see UIPL No, 16-20, pages I-15 and I-16)				
5.	Communication protocols between program operations and fiscal operations are clearly established to ensure correct drawdowns				
6.	The procedure for determining how/what amounts to be drawn down is established				
7.	Reconciliation is being conducted using a uniform and compliant method (responsible parties, frequency, etc.)				
8.	Use of administrative funding to increase staff to meet CARES Act requirements				
9.	Internal controls are in place for all federal funds for each program, including administering discretionary funds-Supplemental Budget Request (SBRs)				
10.	Internal controls are in place to ensure timely and effective expenditures of administrative funding for IT modifications				
11.	Cost sharing plans are compliant with federal/state requirements				
12.	The unique requirements for administering federal funds regarding these programs (PUA, PEUC, FPUC) have been identified and compared to procedures for compliance				
13.	Sufficient controls are in place to administer federal funds according to federal requirements, state requirements, and Generally Accepted Accounting Principles (GAAP), where applicable				

## State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations

State:	Name and title of agency representative completing the checklist:				
	<b>Date Completed:</b>				
L. Program (FPUC, PEUC, PUA) Claims Processing and Operations Data	Yes	No	N/A	Comments	
<b>1.</b>	<p>The State uses the following program processing claim method(s):</p> <p><input type="checkbox"/> Automated    <input type="checkbox"/> Semi-automated    <input type="checkbox"/> Manual</p> <p>Any concerns or implementation issues have been addressed</p> <p>For automated systems, measures taken to ensure the protection of Personally Identifiable Information (PII) and prevent fraud when data is auto-populated</p>				
<b>2.</b>	<p>Claims are filed via the following methods (at least 2 required) check all that apply):</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Mail</li> <li><input type="checkbox"/> One-Stop Center</li> <li><input type="checkbox"/> Internet</li> <li><input type="checkbox"/> Telephone/Interactive Voice Response</li> <li><input type="checkbox"/> Other (Describe in comment section)</li> </ul> <p>State notifies claimant when an application is received and is being processed, and where claim is unable to be processed, provides information about steps the claimant can take to ensure the successful processing of the application (this can occur on the monetary determination)</p> <p>Any concerns or implementation issues have been addressed</p>				
<b>3.</b>	<p>Program benefit payments for FPUC, PEUC, and PUA are issued via the following methods (check all that apply):</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Check</li> <li><input type="checkbox"/> Debit Card,</li> <li><input type="checkbox"/> Direct Deposit</li> </ul>				

## State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations

	Any concerns or implementation issues have been addressed				
<b>4.</b>	The State has necessary forms to ensure FPUC, PEUC, and PUA initial and continued weekly claims can be filed and paid timely				

**State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations**

**FPUC Program Implementation Checklist**

<b>State:</b>		<b>Name and title of agency representative completing the checklist:</b>			
		<b>Date Completed:</b>			
<b>FPUC Implementation Checklist</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
<b>1.</b>	Appropriate staff has copies of the law, 2020 CARES Act, P.L. 116-136, as enacted March 27, 2020 and copies of the ETA guidance for FPUC (UIPL No. 15-20 and any subsequent changes)				
<b>2.</b>	State has correct beginning period (week-ending April 4, 2020 or week-ending April 5, 2020) and correct ending period (week-ending July 25, 2020 or week-ending July 26, 2020) for the FPUC program				
<b>3.</b>	State ensured no FPUC payments were issued for weeks-ending prior to April 4, 2020 (or April 5, 2020) or after weeks-ending July 25, 2020 (or July 26, 2020)				
<b>4.</b>	<p>State identified all appropriate eligible programs to add FPUC (regular UC, UCFE, UCX, PEUC, PUA, STC, EB, TRA, DUA and SEA) and has implemented processes to ensure FPUC is properly paid with respect to these programs</p> <ul style="list-style-type: none"> <li>- Individuals who are working part-time are eligible for FPUC, if they are eligible for the underlying (partial) payment (if \$1 or more)</li> <li>- If the state has an Additional Benefits program, the state has not paid FPUC along with those payments</li> </ul>				
<b>5.</b>	State ensured payment of FPUC for waiting week period, if the waiting week was waived				
<b>6.</b>	State identified all individuals eligible for retroactive FPUC payments, as needed (i.e., program implemented after the beginning date of the claim)				

**State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations**

7.	State implemented process to ensure FPUC properly paid during the continued claims series/duration (e.g., FPUC paid to eligible individuals as supplemental payment to underlying program benefit(s), and <b>not paid</b> when individual is determined ineligible for the underlying benefits (e.g., deductible and disqualifying income, nonmonetary and/or fraud determinations)				
8.	State uses its regular payment process (batch/real-time) for issuing FPUC payments and its normal payment method (check, debit card, direct deposit, etc.)				
9.	State has methods in place to detect and recover both fraud and non-fraud FPUC overpayments				
10.	State has capability to withhold Federal taxes and child support				
11.	Separate accounting of FPUC is in place whether FPUC payments are issued as one payment with underlying payment or as a separate payment				
12.	ETA 227 FPUC Report is established and submitted beginning with Quarter ending June 30, 2020				

**State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations**

**PUA Program Implementation Checklist**

State:		Name and title of agency representative completing the checklist:			
		Date Completed:			
PUA Implementation Checklist		Yes	No	N/A	Comments
1.	Appropriate staff has access to Section 2102 of the CARES Act of 2020, Public Law 116-136				
2.	Appropriate staff has access to UIPL Nos. 10-20, 13-20, 14-20, and 16-20, 16-20, Change 1, and any subsequent changes to these UIPLs, and to ETA Handbooks 336, 356, and 401				
3.	State CARES implementation plan includes PUA and addresses FPUC supplemental payments, program access by at least two (2) methods (e.g. phone, mail, online, etc.)				
4.	State has written policies and procedures specific to PUA that comply with ETA guidance, including the availability of up to 39 weeks of benefits and up to a 7 week extension, if state Extended Benefits (EB) provides for a <i>High Unemployment Period</i>				
5.	Staff has been trained on PUA procedures, including both monetary and nonmonetary eligibility, reviewing claims denied as of 1/27/2020 forward, necessary documentation of income for Weekly Benefit Amount (WBA) above the minimum				
6.	State Information Technology (IT) system is updated to reflect the beginning and end dates of the PUA program, which is the Pandemic Assistance Period (weeks of unemployment beginning on or after 2/2/2020 and ending on or before 12/26/2020 (or, for states whose benefit weeks end on Sunday, 12/27/2020)				
7.	State IT system or separate PUA system (if state uses separate system for PUA) is programmed to issue retroactive payments				
8.	State has UIPL No. 03-20 that provides the PUA minimum WBAs				
9.	State has methods in place to detect and recover both fraud (claimant and employer) and non-fraud PUA overpayments				

**State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations**

10.	<p>State has procedures and fully trained staff on properly calculating WBA as described in ETA guidance, including:</p> <ul style="list-style-type: none"> <li>- Procedure for calculating the PUA WBA based on the attestation of earnings at the time the PUA initial claim is filed</li> <li>- Procedure for redetermining the claimant’s PUA WBA, if the claimant does not provide proof of income/earnings (or that proof is insufficient) within 21 days</li> <li>- Procedure for redetermining the claimant’s PUA WBA, if the claimant provides sufficient proof of income/earnings at any time during the Pandemic Assistance Period</li> </ul>				
11.	<p>State’s monetary determination is updated to explain the correct PUA WBA calculation and the procedure to provide proof of income/earnings within 21 days</p>				
12.	<p>State’s Benefit Rights Information (BRI) is updated to include the specific PUA provisions</p>				
13.	<p>State’s initial PUA application and continued claims forms list all the COVID-19 eligibility reasons provided in CARES Act section 2102(a)(3)(A)(ii) and listed in UIPL No. 16-20, allows the claimant to choose multiple reasons, allows the claimant to choose “other”, and provides space for the claimant to write out details of their unemployment, as appropriate</p>				
14.	<p>State has a self-certification form (acknowledgement) for PUA claimants for both initial and continued claims that provides the COVID-19 reasons</p>				
15.	<p>State has a process to ensure that each claimant meets the CARES Act eligibility reasons listed in section 2102(a)(3)(A)(ii) and UIPL No. 16-20 by reviewing all information provided on the application and continued claim forms</p>				
16.	<p>Self-Certification form includes a separate acknowledgement the individual understands that making the certification is under penalty of perjury <b>and</b> advises the individual that intentional misrepresentation (in self-certifying that s/he falls in one or more of the PUA categories) is fraud</p>				
17.	<p>State has clear online messaging that individuals may be subject to criminal prosecution if they are found to have committed fraud</p>				



## State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations

<b>18.</b>	State has methods in place to correctly deduct Regular UC and EB weeks paid during the potential 39 weeks of PUA eligibility (i.e., during the Pandemic Unemployment Assistance Period)				
<b>19.</b>	State has methods in place to ensure eligibility by verifying the Social Security Number (SSN) and cross matching to detect duplicate claims/payments				
<b>20.</b>	A quarterly process is in place to check for any regular UI entitlement (intrastate/interstate)				
<b>21.</b>	A process is in place to check for EB eligibility if/when the state triggers on to EB				

**State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations**

**PEUC Program Implementation Checklist**

State:		Name and title of agency representative completing the checklist:			
		Date Completed:			
PEUC-Implementation Checklist		Yes	No		Comments
1.	State CARES Act implementation includes PEUC				
2.	Staff have access to all PEUC guidance (UIPL Nos. 17-20 and 17-20, Change 1) and state policy and procedures for program implementation				
3.	State IT system(s) is programmed for PEUC claims-taking and payments				
4.	PEUC program beginning and end dates are correct (in announcements, claimant information, websites, etc.) and will be paid before any EB benefits				
5.	State systems programmed to recognize PEUC is applicable to benefit years beginning on or after July 1, 2019  5.a. State Information Technology (IT) system is updated to reflect the beginning and end dates of the PEUC program-(weeks of unemployment beginning on or after 3/29/2020 and ending on or before 12/26/2020 (or, for states whose benefit weeks end on Sunday, 12/27/2020)				
6.	Written PEUC policies and procedures are in place for staff				
7.	The State conducted staff training for PEUC program operations				
8.	At least two methods are available for claimants to file PEUC initial claims and continued claims. States have ensured access to the UI system as required in UIPL Nos. 02-16 and 02-16, Change 1				
9.	State correctly calculates PEUC eligibility (13 X WBA) and issues monetary determinations in accordance with ETA guidance; state includes FPUC for weeks that FPUC is in effect with respect to PEUC				

**State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations**

	claim(s)				
<b>10.</b>	State system programmed to set up a PEUC account for each individual claiming PEUC with respect to the individual's benefit year				
<b>11.</b>	PEUC appeal policies and procedures comply with ETA guidance				
<b>12.</b>	Policies and procedures for PEUC overpayment reporting is in place				
<b>13.</b>	A quarterly process is in place to check for any regular UI entitlement (intrastate/interstate)				
<b>14.</b>	State has methods in place to detect and recover both fraud and non-fraud PEUC overpayments				
<b>15.</b>	PEUC forms, websites and outreach contain warnings and information about penalties for fraud				
<b>16.</b>	PEUC is paid before any EB payments are made to the claimant				

State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations

Emergency Administrative Grants Checklist

State:		Name and title of agency representative completing the checklist:		
		Date Completed:		
Emergency Administrative Grants Checklist		Yes	No	Comments
1	<p><b>Conditions for Emergency Grant(s) Met (as required by UIPL No. 13-20 and UIPL No. 13-20, Change 1)</b></p> <ul style="list-style-type: none"> <li>- <b>Allotment I,</b> <ul style="list-style-type: none"> <li>○ _____ Emp loyer Notifications of UC Availability (posting a notice for employees is not sufficient) <b>and</b></li> <li>○ _____ State ensured applications for UC are accessible, as practicable, in at least two ways (in-person, by phone, or online) <b>and</b></li> <li>○ _____ State will notify claimant of claim processing and any further steps needed by claimant (this can occur on the monetary determination)</li> </ul> </li> <li>- <b>Allotment II,</b> Expressed commitment to maintain and strengthen access to the UC system, including through initial and continued claims, <b>and</b> demonstrated steps to ease eligibility requirements and access to UC, which may include:           <ul style="list-style-type: none"> <li>○ _____ Tem porarily waiving work search <b>and</b></li> <li>○ _____ Tem</li> </ul> </li> </ul>			

## State Workforce Agency (SWA) Implementation Checklist for CARES Act Program Operations

	porarily waiving waiting week <i>and</i>			
	○ _____ Non-charging employers directly impacted by COVID-19			

CARES Act Program Progression Flowchart

UI Program Progression under the CARES Act

Reference [UIPL No. 16-20](#)

