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| EMPLOYMENT AND TRAINING ADMINISTRATION<br>ADVISORY SYSTEM<br>U.S. DEPARTMENT OF LABOR<br>Washington, D.C. 20210 | <b>CLASSIFICATION</b><br>UI RESEA        |
|   | <b>CORRESPONDENCE SYMBOL</b><br>OUI/DUIO |
|   | <b>DATE</b><br>January 7, 2016           |

**ADVISORY:** UNEMPLOYMENT INSURANCE PROGRAM LETTER NO. 7-16

**TO:** STATE WORKFORCE AGENCIES

**FROM:** PORTIA WU /s/  
Assistant Secretary

**SUBJECT:** Fiscal Year (FY) 2016 Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grants

1. **Purpose.** To provide guidelines for the FY 2016 UI RESEA grants and to invite state workforce agencies to submit proposals for funding.

2. **References.**

- Budget Control Act, 2016, Pub. L. No. 114-53;
- Workforce Innovation and Opportunity Act of 2014, Pub. L. No. 113-128;
- Unemployment Insurance Program Letter (UIPL) No. 19-15, Unemployment Insurance (UI) Supplemental Budget Request (SBR) Activities: Quarterly Program Reporting Form & Instructions;
- UIPL No. 13-15, *Fiscal Year (FY) 2015 Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grants*;
- Information Collection Request for the ETA 9128, Reemployment and Eligibility Assessment Workloads Report, and the ETA 9129, Reemployment and Eligibility Assessments Outcomes Report (OMB number 1205-0456);
- Employment and Training (ET) Handbook No. 401, 4th Edition, *Revised ET Handbook No. 401, Unemployment Insurance Reports Handbook*;
- ET Handbook No. 402, 5th Edition, *Revised ET Handbook No. 402, Unemployment Insurance Reports User Manual – Web Version*;
- Training and Employment Notice No. 31-09, *Cross-Program Collaboration for Reemployment and Eligibility Assessment (REA) Grants*;
- Webinar - *Nevada's Reemployment and Eligibility Assessment (REA) Program and Minnesota's Advanced REA Automation Tool*, available at Workforce3one.org;
- Webinar - *Reemployment and Eligibility Assessment (REA) Program Innovations in Tennessee and Utah*, available at Workforce3one.org; and
- ETA Occasional Paper 2012-08: Impact of the Reemployment and Eligibility Assessment REA Initiative.

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| <b>RESCISSIONS</b><br>None | <b>EXPIRATION DATE</b><br>Continuing |
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3. **Background.** The federal-state UI program is an important core service in the comprehensive, integrated workforce system. Individuals who have lost employment through no fault of their own and have earned sufficient wage credits may receive UI benefits if they meet initial and continuing eligibility requirements. Since 2005, the U.S. Department of Labor (Department) and participating state UI workforce agencies have been addressing individual reemployment needs of UI claimants, and working to prevent and detect UI improper payments, through the voluntary UI REA program, and beginning in FY 2015 through the voluntary RESEA program. These programs have been considered high priorities for the Department's Employment and Training Administration (ETA). RESEA participants are active job seekers who are referred to reemployment services best suited to meet their individual needs. In FY 2015, a total of 48 states operated a RESEA program. Four of these states are participating in the Department's evaluation of the UI REA program.

As announced last year in UIPL No. 13-15, UI claimants determined to be most likely to exhaust benefits under the methods established for the state's Worker Profiling and Reemployment Services (WPRS) program, and transitioning veterans receiving Unemployment Compensation for Ex-servicemembers (UCX) are the target population for the RESEA program.

4. **FY 2016 Funding.** A total of \$115 million was appropriated for continuation of the RESEA program for FY 2016. The FY 2016 RESEA funding period began January 1, 2016 and will end on December 31, 2016.
5. **Program Change Beginning in FY 2016.** States are reminded that full implementation of the new RESEA model, including new target participants, must occur by January 1, 2016. ETA expects that, consistent with appropriations language in FY 2015, FY 2016 funds will be available again to fund reemployment service delivery in addition to the traditional former REA activities.

Beginning in FY 2016, costs for processing RESEA scheduled appointments that are not completed due to the claimants' failure to report for the RESEA may not exceed 20 minutes of staff time. A breakout of these activities and their individual costs must be included in the proposal. Further, funding for these activities may not exceed 30 percent of the total number of scheduled RESEAs. To determine the percentage of claimants failing to report as directed, states should use the data reported on the ETA 9128 workloads report. States that have rates lower than 30 percent of the total number of scheduled RESEAs should base their estimate on this positive accomplishment. This change in cost structure will better reflect the costs associated with the RESEA "no shows" and encourage states to address high "no show" levels. Reimbursement for adjudication of issues that result when a claimant fails to report to a scheduled RESEA continues to be provided through the regular funding for UI non-monetary determinations.

The percentage of claimants who fail to report for a scheduled RESEA remains high in some states; greater than 50 percent of the RESEAs scheduled. Conversely, many states report rates that are lower than 20 percent. States should take actions that will increase the number

of completed RESEAs such as evaluating the profiling model used to select participants; revising call-in letters to stress the importance of attending the RESEA and advising that failure to report for these services will affect their benefit eligibility; making reminder phone calls when possible, assessing the reasons that claimants failed to report; and meeting with service providers to seek solutions. States that offer claimants the opportunity to schedule their own RESEAs report a higher participation rate. States should consider using automated scheduling systems that allow claimants to schedule their own RESEAs, if the state does not currently use one. Such automated systems allow claimants to schedule RESEAs on their own at times that do not conflict with other appointments such as scheduled job interviews. These automated systems may also reduce the staffing costs incurred in scheduling claimants and significantly reduce the number of claimants who must be rescheduled. When states utilize a self-scheduling system, claimants should be provided a specific deadline for scheduling and attending a RESEA and may only be referred to UI staff for adjudication after the deadline passes.

6. **FY 2016 RESEA Proposals.** The RESEA proposal requirements are the same for all states. Those states that are continuing to operate a RESEA program (continuing states) as well as returning states that participated in the REA program in the past but do not currently operate a RESEA program must complete the information outlined in Attachments A and B of this UIPL. The performance period for FY 2016 RESEA, the period during which states should obligate their RESEA grants, begins on January 1, 2016, and ends on December 31, 2016. However, to allow for potential changes that might occur in states' ability to effectively use the RESEA grant funds during that period, the deadline specified by the Grant Officer on the Notice of Obligation for state obligation of these funds will be September 30, 2017. Obligations must be liquidated within 90 days of that obligation deadline; however, an extension to the liquidation period may be requested from the Grants Officer. All estimated cost figures for proposals for FY 2016 RESEA grants should be based on the time period ending December 31, 2016<sup>1</sup>.

The amount of each RESEA grant will be based upon the number of RESEAs that the state proposes to schedule and the costs estimated by the state to provide RESEAs including allowable costs for reemployment services. States that have not scheduled the number of RESEAs that were funded in FY 2015 should use the remaining FY 2015 funds to complete the projected FY 2016 RESEA workload and request funding for the remaining balance of the FY 2016 RESEA grant period.

States experiencing ongoing difficulties in reaching the UI RESEA workload projected (e.g., scheduled, completed, and failed to report) in their FY 2015 UI RESEA proposals should request a lower level of RESEAs in FY 2016 than was requested in FY 2015. Proposals will be reviewed based solely on the information required in the application and states should include only the required information.

States that are not currently operating a RESEA program are strongly encouraged to consider applying for funding. ETA has proposed that the RESEA program become mandatory for all

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<sup>1</sup> Awards will be made subject to the availability of funds. The dates in this UIPL are based upon the FY 2016 President's Budget request.

states and funding for the program has continuously increased. Ramping up a program now will position states to easily implement a mandatory program, should it be enacted.

7. **States Participating in the UI REA Program Evaluation.** Four states are currently participating in an evaluation of the UI REA program and the Department expects those states to continue with their planned UI REA program delivery in accordance with their agreed upon evaluation design for a minimum of 12 months.
8. **Basic RESEA Guidelines.** RESEA funds must be used to assess the continued eligibility and reemployment needs of UI claimants. These funds may not supplant ongoing UI grant funds devoted to state UI eligibility review program activities.

If a state does not implement RESEAs statewide, WPRS activities must be provided in the geographic locations where RESEAs are not available. UI claimants who have a definite return-to-work date; claimants who secure work only through a union hiring hall; and claimants who are in approved training should be excluded from the RESEA program.

RESEA services may be delivered by UI staff or well-trained Wagner-Peyser staff, Workforce Innovation and Opportunity Act (WIOA) staff, or other American Job Center (AJC) staff. The UI eligibility review is a key part of the RESEA for program integrity purposes. Service delivery staff must receive training to identify eligibility issues and must refer all eligibility issues to UI merit staff for adjudication, as appropriate. As previously mentioned, all eligibility determinations and redeterminations are funded through the regular funding for non-monetary determinations and not through the RESEA grant.

By applying for RESEA funding, states agree to integrate the RESEA program with WIOA and Wagner-Peyser funded reemployment services. WIOA collapses Workforce Innovation Act (WIA) “core and intensive activities” into combined “career services” and there is no required sequence for the delivery of services, which should allow job seekers to quickly access appropriate services. Career services are expected to be a key part of the success of the RESEA program. Each completed RESEA should include appropriate reemployment services and may include a referral to training or for a skills assessment; however, RESEA funds may not be used to pay for training services or to purchase or pay for licenses for an assessment tool, such as the Transferable Occupation Relationship Quotient.

UI staff must be engaged in RESEA planning, administration, and oversight as well as all appropriate staff training on UI eligibility requirements. UI staff must be available and involved in the RESEA functions including reporting but a full time position is not required. Program staff delivering RESEAs must have sufficient training to conduct a thorough eligibility review and detect eligibility issues requiring adjudication. Further, states must have UI staff participation to ensure accurate data are provided in the RESEA required reports including the new Quarterly Narrative Progress Report (ETA 9165) for SBR project activities. Each calendar quarter the reports should be reviewed for accuracy prior to submission by the UI staff member of the RESEA team in addition to being reviewed by the RESEA program lead.

RESEA programs are an integral part of states' strategies for delivering reemployment services. States should develop a career service delivery model to ensure that UI claimants served through the RESEA program receive an appropriate level of service suited to each individual claimant.

**9. Required RESEA Services.** Each RESEA must include the following minimum components, which are essentially unchanged from FY 2015 components and require the development of a focused individual reemployment plan to serve the needs of the claimant:

- UI eligibility assessment and referral to adjudication, as appropriate, if an issue or potential issues are identified;
- Requirement for the claimant to report to an AJC;
- The provision of labor market and career information that addresses the claimant's specific needs;
- Registration with the state's job bank;
- Orientation to AJC services;
- Development or revision of an individual reemployment plan that includes work search activities, accessing services provided through an AJC or using self-service tools, and/or approved training to which the claimant acknowledges agreement; and
- Referral to at least one reemployment service and/or referral to training if appropriate to the individual's needs.

States must provide each RESEA participant one-on-one services for the eligibility review and the development of an individual reemployment plan during the initial RESEA and during any subsequent RESEA. The individual reemployment plan must be developed during the initial RESEA and updated during any subsequent RESEAs and in collaboration with the claimant and tailored to their individual needs. It must contain specific steps to which the claimant agrees to adhere including reporting to and participating in the reemployment service(s) determined to be most likely to result in reemployment or referral to career related training. During the development of the individual reemployment plan, specific labor market information should be discussed, thus, ensuring that the claimant understands how labor market information can be used in an appropriate job search. All states should provide reemployment services as a component of each RESEA.

**10. Service Delivery Design.** In developing a service delivery design methodology for RESEA claimants, states are encouraged to consider how to most effectively leverage one-stop partner program resources and services as well as RESEA resources, particularly now that RESEA funds may now be used to pay for actual reemployment services. In the context of WIOA, RESEA services are a valuable one-stop resource as well, particularly given the new focus that the Wagner-Peyser Act now places on employment services for UI claimants.

The RESEA program targets claimants who are most likely to exhaust benefits and all new UCX claimants. All states must target these populations. Last year, because profiling models are critical to effectively identifying those claimants that are more likely to exhaust benefits, the Department hosted a training session addressing the development of an effective WPRS model and plans to offer a future session. In addition, the Department will continue

to provide ongoing assistance to states to help ensure that their models select claimants who are most in need of assistance to quickly return to work. Both targeted populations exclude claimants who have a definite return-to-work date, claimants who are in approved training, and claimants who seek work solely through a union hiring hall.

Both continuing states and new states have flexibility in staffing for the delivery of RESEAs. Different skill sets are needed to conduct the UI eligibility assessment than those needed to develop a reemployment plan and make appropriate referrals to reemployment services at AJCs and/or training. Whether the state decides to use UI, Wagner-Peyser, WIA/WIOA, and/or other AJC staff to conduct RESEAs, states must ensure that the staff members assigned for each activity have the necessary training and that UI staff are involved in the development of the staff training and delivery of such training, as appropriate. States are encouraged to consider designating the same staff to provide both the required RESEA activities and some or all of the reemployment services deemed appropriate for an individual claimant, thus ensuring continuity for the claimant.

States that conduct multiple RESEAs for the same individual must provide cost estimates for both the initial and the subsequent RESEAs. In general, subsequent RESEAs require less time and resources because it is not necessary to repeat the orientation session, which is conducted during the initial RESEA. Subsequent RESEAs must include the traditional RESEA components: an eligibility review; review and updating of the claimant's individual reemployment plan; the provision of labor market information if changes so dictate; and referral to reemployment services or training. These subsequent RESEAs should build upon the services provided in the initial RESEA and address the needs of the claimant at this later stage in the claim.

Once the state notifies a claimant that s/he has been selected for a RESEA, participation in the RESEA is mandatory. UI claimants must report in person to an AJC for staff-assisted services for the initial RESEA. If a subsequent RESEA is conducted remotely, state RESEA staff must ensure that both they and the claimant have access to the claimant's individual reemployment plan for reviewing and updating. The proposal must identify activities that are conducted by telephone and the associated costs. The claimant's activities must be reviewed, and any proposed changes, along with the concurrence of the claimant, must be documented.

Claimants who contact the appropriate agency before their RESEA appointment and request to change the scheduled RESEA date or time for good reason, such as scheduled job interviews, may be accommodated. They should be counted on the ETA 9128 only as a "scheduled RESEA" rather than as a "rescheduled RESEA," as explained in ET Handbook No. 401, Unemployment Insurance Reports Handbook.

If a claimant fails to report for any RESEA without notifying the state beforehand, the state must refer the issue of the claimant's failure to report to the appropriate UI staff to be adjudicated under state law.

States must select RESEA participants no later than the fifth week of the claim series and promptly schedule them for a RESEA. The fifth week in the claim series is the fourth week

following the week in which the claimant files an initial claim. If the claimant has not yet established monetary eligibility for benefits or is not yet eligible because, for example, a nonmonetary issue is pending adjudication, the claimant may be selected during the first week that s/he claims benefits after being determined eligible for benefits.

States are strongly encouraged to provide integrated RESEAs that combine a review of the individuals UI eligibility with reemployment service delivery. Evidence in the **ETA Occasional Paper 2012-08: Impact of the Reemployment and Eligibility Assessment REA Initiative** shows that integrated delivery of these activities is more effective at getting individuals to work faster in jobs with higher wages.

Up to three integrated RESEAs for each individual claimant may be funded by the RESEA grant. States should focus their RESEA programs on helping claimants return to work as quickly as possible by providing comprehensive guidance and assistance to claimants during the initial RESEA. During the initial and subsequent RESEAs, states must refer claimants to appropriate reemployment services. Claimants who fail to report for reemployment services as directed must be referred to adjudication. Additional RESEAs for an individual who has received the initial RESEA and two subsequent RESEAs cannot be funded under this grant.

Funding for each individual RESEA may include individual staff time per RESEA. Time is allowed for adequate delivery of appropriate reemployment services that meet the needs of claimants in the RESEA program. This time includes all activities that are a part of the delivery of the RESEA, including the provision of reemployment services if the state elects to use RESEA funding to provide them, and the associated documentation of claims records and correspondence. All staffing costs should be calculated based on the direct time charges per activity. Costs for activities that involve multiple claimants are calculated on the basis of the time that is required for the activity and the number of claimants participating. If a portion of the RESEA is provided in a group setting, the staff time for that activity should be divided by the number of RESEA participants who are likely to be a part of the group activity. For example, if two staff members conduct a group orientation session that lasts one and one half hours and ten RESEA participants are expected to attend, the staff time charged for each RESEA participant for this activity would be 18 minutes. This is calculated as follows:

$$90 \text{ minutes per member} \times 2 \text{ staff members} = 180 \text{ minutes}$$

$$180 \text{ minutes} / 10 \text{ participants} = 18 \text{ staff minutes per RESEA}$$

States must report initial outcomes for 100 percent of the scheduled RESEAs that are reported on the ETA 9128 report. Each claimant scheduled for an RESEA will either participate in the RESEA or fail to participate; therefore, each scheduled RESEA must be reported as one of these two outcomes. Rescheduled RESEAs should be counted as another scheduled RESEA and the results reported when the claimant participates or fails to participate in the rescheduled RESEA.

**11. Administrative Processes.** States must establish or renew an agreement or Memorandum of Understanding (MOU) with the selected workforce service provider organization to address the requirements of the FY 2016 RESEA program funded under this grant. The MOU must address the following services, as well as reemployment services if the state RESEA program is funding those services:

- Orientation to help claimants access career services offered at AJCs through the resource room or virtually, with particular emphasis on accessing available labor market and career information;
- Registration with the state's job bank;
- Referrals to appropriate services offered through AJCs such as resume writing workshops, self-assessments, education and training information, interviewing techniques, networking, career exploration, and online job and occupations resources; and
- Support in the development of the claimant's tailored individual reemployment plan that must include work search activities, workshops on topics such as resume writing, job search strategies if needed, and/or approved training.

States that did not operate a RESEA program in FY 2015 must submit a copy of the MOU or provide the date when it will be submitted. States that are continuing RESEA states do not need to submit a copy of the MOU, but must certify that an MOU or other agreement has been signed by all service partners for the RESEA program. The agreement or MOU must confirm that the UI and workforce service providers, including state and local service partners, have agreed to collaborate to ensure that the requirements of the RESEA program will be met. This includes providing appropriate reemployment services to RESEA participants by the designated party and providing the data that is needed for the ETA required reports.

**A. UI Feedback Loop and Adjudication.** Once selected for an initial or subsequent RESEA, claimants are required to participate in all components of the RESEA. Failure to report or participate in any aspect of the RESEA must result in referral to the UI agency for adjudication of these issues under applicable state law. States must include a description in their proposals for the:

- Feedback loop from the AJC to the UI system on whether the claimants reported as directed and participated in the minimum activities outlined in their reemployment plan;
- Feedback loop established to refer any UI eligibility issues identified in the eligibility review for adjudication; and
- Process for referring to adjudication UI claimants selected for RESEAs who failed to report for the RESEA without contacting the agency.

**B. Performance and Reporting.** States must submit timely required reports, which are the ETA 9128 and ETA 9129, and once developed for UCX, the ETA 9128 X and ETA 9129 X. These reports are due on the 20<sup>th</sup> day of the second month following the end of the reporting quarter. Schedules for the submission of each report are



provided in ET Handbook No. 401. These reports capture specific data about the program participants. States must continue the necessary cross-program coordination that ensures data quality.

Continuing states must review reported data for the most recent four-quarter period and confirm the accuracy of the data in a narrative attached to the FY 2016 RESEA grant proposal. The narrative should explain the steps the state is taking to correct any errors in the data identified by the Department and the state. The narrative should address planned changes that will be implemented to improve data quality. Attachment C was developed to help continuing states identify reporting problems. The quarterly summary of data includes comparisons of the workload activities and outcomes. States should use these summaries in preparing the narratives for their proposals, and the National Office will use these summaries to evaluate the state's proposal for a FY 2016 RESEA grant.

**12. RESEA Methodology and Required Reports.** Accurate reporting is critical to the success of the RESEA program. These data have been used for reports to Congress on the RESEA program and for budgeting purposes, and have clearly demonstrated the importance of the program. States submit reports on a quarterly basis and are responsible for ensuring that the data reported are accurate and the reports are submitted timely. These data are entered into the UI Web-based reporting system. Reporting instructions for both reports are contained in ET Handbook No. 401, and the edit checks for these reports are contained in ET Handbook No. 402. In addition states must complete the Quarterly Narrative Progress Report (ETA 9165).

**13. Proposal Format and Instructions.** The format and instructions for preparing the RESEA grant proposals are provided in the attachments to this UIPL. Attachment A provides an abstract that must accompany all proposals. Attachment B provides guidance to states submitting proposals. Attachment C provides information related to reporting for those states currently operating an RESEA program. States must provide the information requested in all of these attachments.

Each proposal should contain both the name and telephone number of the state agency administrator who is to be notified of approval of the grant and the name, telephone number, and e-mail address of the individual who can respond to questions about the proposal.

Standard Form (SF) 424, *Application for Federal Assistance*, and SF-424A, *Budget Information – Non-Construction Programs*, must be submitted for all RESEA grants. The SF-424A requires a breakout of object class categories in item 6 of section B - Budget Categories. The breakouts must match the proposed expenditures.

**14. Funding Priority.** Grants will be awarded in the following priority, as feasible to fund:

- Continuing state RESEA (formerly UI REA) programs at their current level;
- Returning states implementing an RESEA program at 10,000 RESEAs or less;

- Continuing state RESEA programs currently funded at 10,000 RESEAs or below proposing to expand to a higher level in increments of 10,000 RESEAs or less;
- Returning states proposing a RESEA program at a level greater than 10,000 RESEAs in increments of 10,000 or less; and
- Continuing state RESEA programs currently funded in excess of 10,000 RESEAs to expand to a higher level in increments of 10,000 RESEAs or less.

**15. Grant Proposals.** States should submit an abstract containing the information in Attachment A and provide the information requested in Attachment B.

**16. RESEA Proposal Procedures.** We encourage states to work with ETA regional office staff in developing their proposals to ensure that:

- The RESEA program is designed to meet the needs of the targeted UI claimant populations;
- UI and AJC staff work cooperatively in planning, developing, testing, and implementing this program;
- The proposed expenditures are justified and appropriate; and
- The state is prepared or will be prepared to develop systems for collecting data for the required reports once these new reports have been developed.

**17. Timeline.**

- States must submit proposals electronically to the National Office by February 8, 2016 with a copy to the appropriate regional office.
- States must submit an SF-424, *Application for Federal Assistance*, signed by the state agency administrator and an SF-424A, *Budget Information – Non-Construction Programs*, with the proposal. If any changes are required after review of the proposal, revised forms or proposals will be required before award of the grant funds.

**18. Action Requested.** State agency administrators are requested to:

- Provide information contained in this UIPL to appropriate staff.
- Send, via e-mail, an electronic copy of the proposal to [oui.sbr@dol.gov](mailto:oui.sbr@dol.gov) and a copy to the appropriate regional office using the title RESEA 2016 state name abbreviation such as RESEA 2016 AK.

**19. Inquiries.** Please direct questions to the appropriate Regional Office.

**20. OMB Information Collection.** OMB Information Collection No 1225-0086, Expires January 31, 2016. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 20 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments about the burden estimated or any

other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, to the attention of the Departmental Clearance Officer, 200 Constitution Avenue NW, Room N130; Washington, DC 20210. Comments may also be emailed to: [DOL\\_PRA\\_PUBLIC@dol.gov](mailto:DOL_PRA_PUBLIC@dol.gov). PLEASE DO NOT RETURN THE COMPLETED APPLICATION TO THIS ADDRESS. SEND IT TO THE SPONSORING AGENCY AS SPECIFIED IN THIS ANNOUNCEMENT.

**21. Attachments.**

- Attachment A - Elements of an Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grant Proposal Abstract
- Attachment B - Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Proposal Outline
- Attachment C - Unemployment Insurance Reemployment Services and Eligibility Assessment (RESEA) Data Concerns

**ATTACHMENT A**

**ELEMENTS OF AN UNEMPLOYMENT INSURANCE (UI)  
REEMPLOYMENT SERVICES AND ELIGIBILITY ASSESSMENT (RESEA) GRANT  
PROPOSAL ABSTRACT**

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| State Name:  |  |
| Name and Title of the State Agency Administrator:<br>Name:<br>Title:<br>Address:   |  |
| RESEA Program Lead/Contact<br><i>The person who can answer questions about the RESEA proposal.</i>   | Name:                                  |
|  | Telephone:                             |
|  | E-mail:                                |
| UI Program Lead/Contact<br><i>The person who can answer questions about the UI aspects of the RESEA proposal. This person may also be the RESEA Program Lead/Contact.</i>  | Name:<br><br>Telephone:<br><br>E-mail: |
| Total Funds From <u>Prior</u> RESEA Grants Projected to Remain after December 31, 2015   | \$                                     |
| Total RESEA Project Cost<br><i>The total amount of funds requested in this grant. Do not include funds carried forward from 2015.</i>  | \$                                     |
| Staff Benefit Cost Percentage Rate   |  |
| Indirect Cost Percentage Rate  |  |
| Total Service Delivery Staff Cost<br><i>The total amount of funds requested for staff solely to conduct the RESEAs <u>excluding</u> management costs and other costs that are not related to service delivery such as programming.</i> | \$                                     |
| Total Management Costs<br><i>The total amount of funds requested for program management costs excluding cost of staff who will conduct the RESEAs.</i>   | \$                                     |
| Total Information Technology (IT) Staff Costs<br><i>The total amount of funds requested for programming and other IT staff costs.</i>  | \$                                     |

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| <p>Staff and Management Costs for a <u>Single</u> Completed Initial RESEA</p> <p><i>The sum of service delivery staff costs and management costs divided by the number of initial RESEAs projected to be completed.</i></p>   | \$ |
| <p>Staff and Management Costs for a <u>Single</u> Completed Subsequent RESEA</p> <p><i>The sum of service delivery staff costs and management costs divided by the number of subsequent RESEAs projected to be completed, not to exceed two subsequent RESEAs per claimant. If costs for the second and third RESEA are expected to differ please provide both.</i></p> | \$ |
| <p>Staff Training Costs</p> <p><i>The total amount of funds requested for staff training to conduct RESEAs.</i></p>   | \$ |
| <p>Projected Time for a <u>Single</u> Initial RESEA, Including Paperwork</p> <p><i>The total time spent preparing for and conducting a single initial RESEA, recording results, and other documentation.</i></p>  |    |
| <p>Projected Time for a <u>Single</u> Subsequent RESEA, Including Paperwork</p> <p><i>The total time spent preparing for and conducting a single subsequent RESEA, recording results and other documentation. If times for the second and third RESEA are expected to differ please provide both.</i></p>   |    |
| <p>Projected Costs for a <u>Single</u> RESEA for which the Claimant Fails to Report</p> <p><i>The total costs spent scheduling a single RESEA for which the claimant subsequently fails to report and referring the claimant to adjudication for failure to report. This estimate should not include the costs of adjudication, which are separately funded.</i></p>    | \$ |
| <p>Total Number of Initial RESEAs to be Scheduled</p> <p><i>The total number of initial RESEAs that will be scheduled including both the RESEAs for which claimants are projected to report and the RESEAs for which claimants are projected to fail to report.</i></p>   |    |
| <p>Total Number of Subsequent RESEAs to be Scheduled</p> <p><i>The total number of subsequent RESEAs that will be scheduled including both the RESEAs for which claimants are projected to report and the RESEAs for which claimants are projected to fail to report. (If the state does not conduct subsequent RESEAs this number will be zero.)</i></p>               |    |

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| <p>Total Number of RESEAs Projected to be Completed<br/> <i>The total number of RESEAs the state will schedule during the grant period for which the claimant will report and participate in an RESEA.</i></p>   |  |
| <p>Total Number of RESEAs Projected for which the Claimant Will Fail to Report<br/> <i>The total number of RESEAs the state will schedule during the grant period for which the claimant will fail to report and will not participate in an RESEA.</i></p>   |  |
| <p>Total number of RESEA Sites<br/> <i>The total number of sites where RESEAs will be conducted. States requesting funds to expand the numbers of RESEAs should provide the number of sites at both the current and the expanded levels.</i></p>   |  |
| <p>Type of staff conducting RESEAs<br/> <i>Description of the staff that will conduct the RESEAs (e.g., UI, American Job Center, or a combination).</i></p>  |  |
| <p>Memorandum of Understanding (MOU)<br/> Is it signed and operational? (Yes or No)<br/> <i>If no, provide the estimated date that the MOU will be signed and operational. New states should submit a copy of the MOU when it has been signed and continuing states should submit a copy of the MOU if it has changed.</i></p> |  |
| <p>RESEA Required Reports<br/> <i>If a state does not include a narrative regarding how it will address any data problems, the Supplemental Budget Request will not be funded. Please confirm that a narrative has been included by indicating "yes."</i></p>  |  |

## ATTACHMENT B

### UNEMPLOYMENT INSURANCE (UI) REEMPLOYMENT SERVICES AND ELIGIBILITY ASSESSMENT (RESEA) PROPOSAL OUTLINE

**RESEA Grant Project Summary.** States should follow this outline to develop RESEA grant proposals. All proposals must include Attachment A, *Elements of the Unemployment Insurance Reemployment and Eligibility Assessment (RESEA) Proposal Abstract*. Proposals should include only the information required in this outline. Additional narrative is not helpful and does not enhance the state's proposal. All pages in the state's proposal should be numbered.

1. **Project Costs.** Proposals must include a description of all proposed expenditures and a projected schedule for significant project activities. States may elect to provide RESEAs at the same level as the prior year or they may elect to expand the RESEA program. If the state is implementing at the current level, incremental costs are not needed.
  - A. **Fixed Costs:** Include fixed costs related to conducting the number of RESEAs the state projects to schedule during the grant period through December 31, 2016.
  - B. **Incremental Costs:** If the state proposes to increase the number of RESEAs, the proposal should also include incremental costs. These costs should be expressed as costs per 10,000 REAs or less.
  - C. **Initial and Subsequent RESEAs:** The total projected number of individual initial and subsequent (if any) RESEAs should be provided along with the projected cost for each type of RESEA. In addition, states should provide the number of projected RESEAs for which the claimant does not report along with the estimated cost of rescheduling the RESEA. Claimants who do not report as scheduled must be referred to UI adjudication. They may also be rescheduled, as appropriate.
    - a. **Staff Costs.** The proposal should identify both state staffing needs and any contract staff needs. Staff needs should include the type of position, the expected number of staff hours, and the projected hourly cost. Staff cost estimates should reflect only actual hours to be worked. Staff may work on the RESEA program part-time and on other projects part-time and must charge their time to each task based on hours worked. Staff costs for continuing states should include costs for conducting the RESEA and costs for programming proposed changes to the RESEA program to be implemented in 2016. Management costs should also be identified, as appropriate. States should include information in the following format for all staff requests:

| Position Title    | # Hours | Cost Per Hour | Total Cost |
|-------------------|---------|---------------|------------|
| RESEA Interviewer | 120     | \$50          | \$6,000    |

States must charge all staff time used for the RESEA program to a RESEA project code. Both management and other staff may be working on the RESEA program on a part-time basis while assuming other duties. Only the portion of work that accrues to the RESEA initiative may be funded under this grant. Thus, the proposal should identify only the project time that will be devoted solely to the RESEA program for all staff hours for which funding is requested.

If contract staff is involved, documentation should include the type of position, estimated contract staff hours, anticipated costs per hour, and total cost.

- b. **Other.** The proposal should include costs for other activities and/or equipment not identified above. Each cost should be broken down to the specific cost item with a description of each cost and the associated costs for each item requested. All costs must be related to conducting RESEAs for UI claimants.
- c. **Total Costs.** The proposal should include the total funding request. Spreadsheets used to calculate and total these costs should be included.

2. **Information about the RESEA Program.** States should provide brief descriptions of the elements below. This information will be shared with states seeking assistance to implement or change a RESEA program. It will also be used to provide information, as needed, for UI management staff. The information will be compiled and will be available to all states. An extensive narrative is not needed.

- A. **RESEA Staffing and Time.** Identify the following: 1) the type of staff conducting each of the RESEA key components for the initial RESEA; 2) which, if any, RESEA activity is conducted on an individual basis or in a group setting (the eligibility review and the development of the individual reemployment plan must be done on an individual basis); and 3) the average time required for each RESEA activity. Claimants may be provided forms in a group setting which they will discuss with staff on an individual basis after completion. Staff identification should contain the name of the program office for these staff such as UI, the Employment Service (ES), or other. Any additional key activities should be included in the table. The sum of the average time for each activity below should be equal to the time required to complete the initial RESEA.



**Initial RESEA**

| <u>Activity</u>                       | <u>Staff</u> | <u>Individual/<br/>Group</u> | <u>Average<br/>Time</u> |
|---------------------------------------|--------------|------------------------------|-------------------------|
| Eligibility Review                    |              |                              |                         |
| Labor Market Information              |              |                              |                         |
| Individual Reemployment Plan          |              |                              |                         |
| Orientation                           |              |                              |                         |
| Referral to Reemployment Services     |              |                              |                         |
| Reemployment Services*                |              |                              |                         |
| Total Average Time for Initial RESEAs |              |                              |                         |

**\*Note: States that are participating in the evaluation of the UI REA program must continue with their planned UI REA program delivery as agreed to in the evaluation design in addition to projecting participation in the RESEA program for the balance of FY 2016.**

States requesting funds to provide reemployment services to RESEA participants should describe the proposed services that will be provided to participants. Claimants have differing needs and services will vary. Funding requests should be based on the average number of claimants that are projected to receive each service and the time and cost per service. Group reemployment services should be calculated based upon the example and formula provided in Section 10 of this UIPL.

**Reemployment Services**

| <u>Activity</u>              | <u>Staff</u> | <u>Individual,<br/>Group or Both</u> | <u>In-Person,<br/>Internet or<br/>Telephone</u> | <u>Direct<br/>Staff Time</u> |
|------------------------------|--------------|--------------------------------------|---|------------------------------|
|                              |              |                                      |   |                              |
|                              |              |                                      |   |                              |
| Total Average Time Per RESEA |              |                                      |   |                              |

If the state conducts multiple RESEAs for individual claimants, provide the following: 1) the type of staff conducting the subsequent RESEA; 2) whether it is conducted on an individual basis or in a group setting; and 3) the average time required for each RESEA activity. Staff identification should contain the name of the program office for these staff such as UI, the ES or other. Any additional key activities should be included in the table. The sum of the average time for each activity below should be equal to the time required to complete the subsequent RESEA.

**Subsequent RESEA**

| <u>Activity</u>                         | <u>Staff</u> | <u>Individual,<br/>Group or<br/>Both</u> | <u>In-Person,<br/>Internet or<br/>Telephone</u> | <u>Direct<br/>Staff Time</u> |
|---|--------------|--|---|------------------------------|
| Eligibility Review                      |              |  |   |                              |
| Labor Market Information                |              |  |   |                              |
| Individual Reemployment Plan            |              |  |   |                              |
| Referral to Reemployment Services       |              |  |   |                              |
| Total Average Time Per Subsequent RESEA |              |  |   |                              |

**Reemployment Services**

| <u>Activity</u>                         | <u>Staff</u> | <u>Individual,<br/>Group or<br/>Both</u> | <u>In-Person,<br/>Internet or<br/>Telephone</u> | <u>Direct<br/>Staff Time</u> |
|---|--------------|--|---|------------------------------|
|   |              |  |   |                              |
|   |              |  |   |                              |
| Total Average Time Per Subsequent RESEA |              |  |   |                              |

- B. Service Delivery Staff.** Provide information about the type of staff managing the RESEA project and the type of staff conducting the RESEA. In accordance with RESEA guidelines, a UI staff member must be available to work on the RESEA program management. Provide an explanation of the UI staff role in the program management. The delivery of the RESEA may be assigned to the staff designated by the state, e.g., UI staff, Wagner-Peyser staff, Workforce Innovations Act (WIA)/Workforce Innovation and Opportunity Act (WIOA) staff or some combination. If Wagner-Peyser or WIA/WIOA American Job Center (AJC) staff members conduct the RESEA, briefly describe how they are trained by or with the assistance of, UI staff to conduct the UI eligibility review.
- C. Selection of RESEA Participants.** Identify the pool from which RESEA participants are selected. Describe how claimants are selected and at what point in the claims series these selections are made. If the WPRS program is used to target claimants who are most likely to exhaust UI benefits, states must explain which claimants in the WPRS pool are selected for the RESEA.
- D. Description of a RESEA.** Provide a brief description of the state’s RESEA, including the elements of the RESEA and how the key components identified in this UIPL are implemented. In addition, please describe the type of staff that will provide each of the components of the RESEA (e.g., provision of labor market information, development of

the reemployment plan) and what format is used (group or individual). Please **include** a copy of the form that is used to develop the individual reemployment plan.

- E. Scheduling the RESEA in the Claims Series.** Claimants must be contacted and notification must be sent to the claimant advising of a scheduled RESEA by the fifth week in the individual's claim series. The fifth week in the claim series means the fourth week after the week in which the claimant files an initial claim. If the claimant has not yet established monetary eligibility for benefits or is not yet eligible because, for example, a nonmonetary issue is pending adjudication, the claimant may be selected during the first week that s/he claims benefits after being determined eligible for benefits. Benefits must not be withheld pending that reporting date.
- F. Single or Multiple RESEAs.** Identify whether the state conducts single or multiple RESEAs for each claimant and indicate the timing within the claim series when the RESEA and any subsequent RESEA(s) will be conducted. Multiple RESEAs that exceed one initial RESEA and two subsequent RESEAs per individual claimant will not be funded.
- G. Failure to Report for a RESEA.** Describe the actions taken when claimants fail to report for RESEAs, including how claimants will be notified of the potential consequences of their failure to report as scheduled and/or failure to participate in the RESEA. Also, states must describe how information is provided to claimants such as a contact number to notify the state in advance that s/he will be unable to attend the scheduled RESEA. Describe the feedback system that is in place to notify appropriate UI adjudication staff when claimants fail to report for scheduled RESEAs. In addition, describe the state's rescheduling policy and processes.
- H. Collaboration with Workforce Service Providers.** An agreement or Memorandum of Understanding (MOU) must be renewed by UI and appropriate workforce service providers who partner with UI for the RESEA program. This ensures that the necessary partners commit the staff necessary to provide reemployment services as required by the grant. States that have previously submitted a copy of the agreement do not need to submit a copy of the agreement or MOU; however, they must certify that a MOU or other agreement has been signed by all service partners for the RESEA program. If the agreement/MOU has not been finalized, the state must provide the estimated date of submission. In addition, the agreement or MOU must contain:
- Names of all parties to the agreement;
  - A brief description of the collaborative process jointly developed;
  - Identification of those who will provide the specific services;
  - Description(s) of how feedback will be provided; and
  - Description(s) of the role of the service providers.
- I. RESEA Required Reports.** Through FY 2016, states that are currently operating a program must review both the ETA 9128s and the ETA 9129s focusing primarily on the most recent four calendar quarters to address the accuracy of the reports. Attachment C,

*Unemployment Insurance Reemployment Services and Eligibility Assessment (RESEA) Data Concerns*, provides some guidelines for detecting current reporting problems. States have been provided a quarterly summary that includes calculations of some of the relationships between the data elements and the probable outcomes. In addition, the ETA National Office sends a quarterly summary of RESEA data to each state and the ETA Regional Offices, which includes some calculations of outcomes and data relationships. This quarterly summary will be used during the review of the proposal. In addition the RESEA program must be addressed in the Quarterly Narrative Progress Report (ETA 9165).

- J. Narrative Description of Data Reporting Problems.** In a narrative, states should identify problems that they are having with any of the required reports and provide a plan to improve their reporting accuracy and timeliness. If in the past the state made significant corrections to these required reports, the date the corrections were made and the date after which the state's data was correct/valid as a result of the changes should be included.
- K. RESEA Activities to Share with Other States.** If the state has implemented practices that would be helpful to share with other states, the state is requested to provide a brief summary of the practice. This information will be compiled and shared with other states.

## ATTACHMENT C

### UNEMPLOYMENT INSURANCE REEMPLOYMENT SERVICES AND ELIGIBILITY ASSESSMENT (RESEA) DATA CONCERNS

The list below has been developed to help continuing states in reviewing their current ETA required reports. The list identifies data problems that have occurred in some states and that must be corrected. Each quarter, the ETA National Office provides states and regional offices a spreadsheet that summarizes the program data. States should use the spreadsheets and the list below to assess whether there are data problems. Proposals by states must address, in the narrative description of data reporting problems, all problems identified in these data spreadsheets. The state's response to these concerns will be evaluated before funding the RESEA grant for Fiscal Year 2016. States must describe their plans to implement corrections and include a projected timeline for completion in the supplemental budget request.

States should account for 100 percent of the scheduled and rescheduled UI REAs or RESEAs on the ETA 9128 forms submitted. If the state is not meeting this percentage, a narrative should explain the steps that will be taken to correct this problem.

Each claimant that is scheduled for a UI RESEA (or REA) may participate or fail to participate. If the claimant fails to participate, the claimant may or may not be disqualified depending on the reason the claimant failed to participate and how the issue was addressed by the state. For example, claimants who have returned to work or could not report due to a job interview are also not disqualified. States are currently required to use the National Directory of New Hires to determine whether the claimant failed to report due to employment. If the claimant fails to participate in the UI RESEA, states are required to adjudicate the issue that results. It is not required that the claimant be rescheduled. The number of claimants scheduled for a UI RESEA must be equal to the number of claimants who completed a UI RESEA and the number of claimants who failed to complete a UI RESEA. If this total is not 100 percent of the scheduled UI RESEAs, the state should examine the population that is not explained by the data. Since the UI RESEA may be scheduled in one quarter and the claimant may report or fail to report in a subsequent quarter, these percentages should average out to 100 percent over multiple calendar quarters.

#### ETA 9128 Workloads Report

##### A. UI RESEAs Scheduled (Item 2)

This number should include the number of scheduled initial and subsequent RESEAs and should be compared to the number of UI REAs or RESEAs for which the state received funding. States should be scheduling quarterly UI RESEAs at a sufficient level to ensure that the state will reach its funding level at the end of the year.

*UI RESEAs Scheduled* should be approximately the sum of Item 3 *UI RESEAs Completed* and Item 15 *No-shows*. **Note:** Although there is some variation between quarters, this difference should even out over the year.

**B. Reemployment Services or Training (Item 4)**

All UI RESEAs must include referral to a reemployment service. If the count in this item (Item 4) is significantly less than the count in Item 3 *UI RESEAs Completed*, claimants may not be reporting as directed, they may not be referred as required, or the reemployment service providers may not be providing the appropriate workload count.

**C. Disqualifications or Overpayments (Item 7)**

If this number is large compared to the number of UI RESEAs completed it is possible that the state is counting disqualifications or overpayments that are not a part of the UI RESEA. Both disqualifications and overpayments must be based on issues that were discovered as a result of the UI RESEA.

**D. Separation Issues (Item 8)**

If this number is large compared to the number of UI RESEAs completed, it is possible that the state is counting disqualifications that are not a part of the UI RESEA. If the number is correct, the state should evaluate the initial claims process to determine if questions asked are not sufficient to identify separation issues.

**E. Other Disqualifications (Item 12)**

If this number is large compared to the number of UI RESEAs completed, the state should review the disqualification codes to ensure that these issues should not instead be counted in items 8, 9, 10, or 11. The category *Other* should be used only when the disqualification does not fit in these other categories.

**F. No-Shows (Item 15)**

Each claimant who fails to report for a UI RESEA must be referred to adjudication to determine whether they had good cause for failing to report and if they were able and available for work. This item should be approximately equal to the sum of items 16, 17, 18 and 21.

**G. Disqualifications for Failure to Report (Item 17)**

If the count is significantly lower than the number of no-shows, the state should ensure that those claimants who fail to report are being referred to adjudication.

**H. No Disqualification (Item 21)**

All claimants who failed to report and were not disqualified and not rescheduled should be counted.

**I. Returned to Work (Item 22)**

The Social Security number of claimants counted in Item 21 should be matched to the National Directory of New Hires to determine whether they have returned to work.

### **ETA 9129 Outcomes Report**

The average duration is calculated by dividing the *Total Weeks Compensated* by the *Number Who Established a UI Benefit Year in the Report Quarter*. These elements are located in items 1a and 1b. The exhaustion rate is calculated by dividing the *Number Exhausting Benefits* by the *Number Who Established a Benefit Year in the Report Quarter*. These elements are located in items 1a and 1e. Both the average duration and exhaustion rate should be reasonably similar to the state's average duration and exhaustion rate for the report quarter. If the duration is higher than the maximum number of regular UI weeks, the program may be incorrectly including Extended Benefit payments. If the duration and exhaustion rate are very low, the program may be incorrectly including only one calendar quarter rather than the complete benefit year.

There should be some correlation between the average duration and the benefits per claimant. For example, if the average duration differs between the two groups by one week, then the benefits per claimant should differ by an amount approximately equal to the average weekly benefit amount for the state. If not, it is likely that there are programming problems.

If there are very large variances in the percentages between quarters, it is likely that there are programming problems.