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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>March 27, 2015            |

**ADVISORY:** UNEMPLOYMENT INSURANCE PROGRAM LETTER NO. 13-15

**TO:** STATE WORKFORCE AGENCIES

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

**SUBJECT:** Fiscal Year (FY) 2015 Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grants

1. **Purpose.** To provide guidelines for the new FY 2015 UI RESEA (replacing the UI Reemployment and Eligibility Assessment (REA)) grants and to: 1) invite state workforce agencies to submit proposals for FY 2015 RESEA funding; 2) explain the differences between the traditional UI REA program and the new RESEA program, including the new flexibility that enables the funds to be used for both traditional REA activities and reemployment services (also called career services); 3) announce that FY 2015 will be a transition year to enable states to make the necessary changes to existing programs; 4) announce the U.S. Department of Labor's (Department) intent to add a performance measurement of the RESEA program using the integrated workforce system's common measures; and 5) encourage states, as they begin planning implementation of the Workforce Innovation and Opportunity Act (WIOA), to consider how to most effectively leverage the state's RESEA program.

2. **References.**

- Consolidated and Further Continuing Appropriations Act, 2015, Pub. L. No. 113-235;
- Workforce Innovation and Opportunity Act of 2014, Pub. L. No. 113- 128;
- Unemployment Insurance Program Letter (UIPL) No. 10-14, *Fiscal Year (FY) 2014 Unemployment Insurance (UI) Reemployment and Eligibility Assessment (REA) 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 (UIR) User Manual – Web Version*;
- Training and Employment Guidance Letter (TEGL) No. 36-11, *Announcement of American Job Center Network*;

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| <b>RESCISSIONS</b><br>None | <b>EXPIRATION DATE</b><br>Continuing |
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- Training and Employment Notice (TEN) 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 <https://www.workforce3one.org>; and
- Webinar - *Reemployment and Eligibility Assessment (REA) Program Innovations in Tennessee and Utah*, available at <https://www.workforce3one.org>.

3. **Background.** The federal-state UI program provides an important core service in the comprehensive, integrated workforce system established under the Workforce Investment Act (WIA), which was recently revised by WIOA. Through the UI program, 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 continued UI eligibility requirements. The Department and participating state UI workforce agencies have been striving to address individual reemployment needs of UI claimants, and to prevent and detect UI improper payments, through the voluntary UI REA program since 2005. Both activities are high priorities for the Department's Employment and Training Administration (ETA). The UI REA program has provided claimants entry to a full array of reemployment services available at American Job Centers (AJCs), and has helped to ensure that claimants comply with all UI eligibility requirements. Individuals filing UI claims are active job seekers who, through the state's UI REA program, are made aware of the wide variety of reemployment services that are available to them. They are referred to reemployment services appropriate for their individual needs. In FY 2014, a total of 44 states operated a UI REA program. These states are referred to as "continuing states" in this UIPL. Several of these continuing states are participating in the Department's evaluation of the UI REA program.

The Department requested additional discretionary funds to build on the success of the UI REA program by providing reemployment services in addition to UI eligibility assessments and other UI REA activities (see section 8.A. of this UIPL). The Department explained its intent to use these funds for a RESEA program to target profiled UI claimants identified as most likely to exhaust their benefits and all transitioning veterans receiving Unemployment Compensation for Ex-Servicemembers (UCX) as these populations may have more barriers to reemployment.

The Department received new appropriations authority that allows for funding of activities previously funded by the UI REA grant funds as well as reemployment services. This approach mimics the approach previously studied in Nevada that was shown to be successful that integrated provision of REAs with provision of reemployment services.

4. **FY 2015 Funding.** The Consolidated and Further Continuing Appropriations Act, 2015, appropriates a minimum of \$80 million for UI RESEA funding in 2015 to conduct in-person reemployment and eligibility assessments and to provide reemployment services and referrals to training, as appropriate. The 2015 funding period will be nine months rather than twelve months, beginning April 1, 2015, and ending December 31, 2015. The 2015 appropriation allows for these funds to be expended for both traditional UI REA activities and for reemployment services, and these activities are referred to collectively in this UIPL as the

RESEA. States interested in implementing a RESEA program, with FY 2015 being considered a transition year, as explained below, may apply for this supplemental funding. States participating in the UI REA program evaluation, sponsored by the Department, should request FY 2015 funding associated with their UI REA evaluation design as well as up to \$100,000 for costs relating to transitioning to the new target population after the evaluation period ends.

- 5. Program Changes Beginning in FY 2015.** The RESEA program is replacing the UI REA program. States are strongly encouraged to begin making the necessary changes to transition their UI REA program to an RESEA program to target claimants most likely to exhaust their UI benefits and UCX claimants. The following information provides a summary of the key changes.
- Beginning in FY 2015, continuing states are encouraged to transition, or begin transitioning, their UI REA programs to an RESEA program and may request up to \$100,000 to implement program changes related to this transition. States that do not have a UI REA program (i.e., new states) are strongly encouraged to request funding to begin implementation of a RESEA program and the limit on transition funding does not apply to new states.
  - States may now use RESEA funding to support the traditional required UI REA activities and to provide reemployment services to which RESEA participants are referred. As continuing states (other than states participating in the Department's UI REA evaluation) transition to targeting claimants determined to be those most likely to exhaust their benefits and UCX claimants, states are also encouraged to provide more intensive services to these individuals as these populations may have more barriers to reemployment. The RESEA program should focus on providing career services that directly relate to the specific needs of the participating claimants. Continuing states may reduce the number of funded RESEAs compared to the prior year to accommodate the projected costs of providing more intensive career services. Services to be provided should be identified in the development or revision of the claimant's Individual Reemployment Plan. Claimants have a variety of needs based on their specific circumstances and the appropriate reemployment services should be provided to lead to successful employment outcomes, including referrals to education and training, if appropriate, to further actual reemployment goals. Because the same reemployment service types are not appropriate for all claimants, the individual needs of each claimant should be determined and the appropriate services provided.
  - Before FY 2015, claimants targeted for services under the Worker Profiling and Reemployment Services (WPRS) program could not be selected for a UI REA. Beginning in FY 2015, the Department encourages continuing states to transition to a new targeting methodology to allow individuals profiled as most likely to exhaust their benefits and UCX claimants to be selected and provided services under the RESEA program and requires new states to begin the RESEA program using this new targeting methodology. The Department intends that, in FY 2016, only claimants determined to be most likely to exhaust benefits under the methods established for the

state's WPRS program, and UCX claimants, will be selected for the RESEA program. States should ensure that their WPRS models use appropriate data elements that have been shown to accurately predict the likelihood of exhaustion in the state and the coefficients should be updated as needed. States needing technical assistance in reviewing their WPRS profiling models should contact their ETA regional office.

- If the state does not operate a statewide RESEA program, the state must continue to operate the WPRS program in geographic areas that are not served by the RESEA program.
- The period of performance for the FY 2015 grants will be a nine-month period from April 1, 2015 through December 31, 2015. This reduced performance period provides states, other than those states participating in the Department's UI REA evaluation, the option to use RESEA funding to deliver more intensive services that claimants determined to be most likely to exhaust benefits and UCX claimants may need and/or to cover the cost of reemployment services to RESEA participants. As noted above, continuing states may request up to \$100,000 to fund projected transition costs including costs related to the new targeting requirement. The new targeting requirement may be implemented by continuing states that are not participating in the UI REA evaluation beginning in FY 2015 and by all continuing states in FY 2016.
- Finally, the Department intends to use the new WIOA common measures as an additional means to review program outcomes. The Department will be providing the opportunity for notice and comment in the Federal Register as the new reporting and performance requirements are developed for the RESEA program. Input from states regarding this anticipated transition is welcome. The current UI REA reporting requirements will remain in effect for the duration of the FY 2015 grant and through FY 2016.

6. **RESEA and WIOA.** WIOA was enacted in July 2014, and it provides a new blueprint for the nation's public workforce system. Under WIOA, the UI program is a vital program within the workforce system and continues to be a mandatory One-stop partner in American Job Centers. In addition, UI claimants continue to be critical customers for the system. As states begin to engage partner programs to carry out strategic planning under WIOA, particularly as they consider service delivery design for their AJCs, they should consider how to most effectively leverage the RESEA program.

7. **FY 2015 RESEA Proposals for New and Continuing States.** RESEA proposal requirements have been designed for both new states and states that have previously operated a UI REA program. States should select the appropriate format.

**A. New RESEA State Programs.** Proposals for a RESEA program from states that have not implemented a UI REA program previously should provide the information described in Attachment A, *Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Proposal Outline for First Year RESEA Grants*, as well as an

abstract of the proposal containing the elements listed in Attachment B, *Elements of an Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grant Proposal Abstract*. In the proposal, states should include only the information identified in this UIPL.

New state proposals should include start-up costs including estimated costs related to programming required reports based on the current UI REA Required Reports (Reemployment and Eligibility Assessments Workloads Report (ETA 9128) and Reemployment and Eligibility Assessments Outcomes Report (ETA 9129)). Additional reporting guidance for new states that are not currently operating a UI REA program will be forthcoming and states should not begin programming these reports until they have been approved and the new guidance is issued.

New states should budget for the obligation of RESEA funds within one year of the date of program implementation. This time period covers the time needed to design the program, develop reports and call in procedures, hire and train staff and subsequently begin serving claimants. The program implementation date is the date that the first RESEA participant in the state is scheduled to report to an AJC for a RESEA. This time period differs from the time period for continuing states, which ends December 31, 2015. States should notify the appropriate ETA regional office when the program has been implemented, as this date is needed for monitoring purposes. Many of the start-up costs, such as costs for programming required reports and training staff, will occur before the program has been implemented and should be included in the initial grant. Each RESEA grant will be based upon the start-up costs, the number of RESEAs that the new state proposes to schedule for the first grant period and the estimated costs provided by the new state to conduct the RESEA and provide allowable reemployment services.

**B. Continuing RESEA State Programs.** Proposals from states currently operating a UI REA program should provide an abstract of the proposal using Attachment B, *Elements of an Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grant Proposal Abstract*, as well as the information requested in Attachment C, *Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Proposal Outline for States Continuing a RESEA Program*, and in Attachment D, *The Unemployment Insurance Reemployment and Eligibility Assessment (UI REA) Data Concerns for States with Current UI REA Grants*.

The performance period for FY 2015 RESEA grants to continuing states begins on April 1, 2015, and ends on December 31, 2015. This is the time during which the funds are expected to be obligated for activities described in the RESEA grant proposal. However, to allow for potential changes that might occur, the deadline specified by the Grant Officer on the Notice of Obligation for the obligation of these funds will be September 30, 2016. Funds must be liquidated within 90 days of that obligation deadline. All estimated cost figures for proposals for FY 2015 RESEA grants should be based on the time period ending December 30, 2015.

Each RESEA grant will be based upon the number of RESEAs that the continuing state proposes to schedule and the costs estimated by the state to provide RESEAs including allowable reemployment services. States that have not scheduled the number of UI REAs that were funded in FY 2014 should use the remaining FY 2014 funds to complete the projected UI REA workload and request funding for the balance of the FY 2015 RESEA grant period. All continuing RESEA states must determine whether any FY 2014 UI REA funds will not be obligated by March 31, 2015, provide this information in their FY 2015 RESEA grant application, and ensure that all FY 2014 UI REA funds are obligated under the 2014 UI REA guidelines before obligating FY 2015 RESEA funds.

Attachment D provides information about common data problems that may help states currently operating a UI REA program to write about the accuracy of their UI REA data. States must review their data with a focus on identifying any inaccurate data. The state's proposal must identify the errors in the quarterly ETA 9128 and the quarterly ETA 9129, describe the state's plans to correct the data, and provide a schedule of corrective actions.

States experiencing ongoing difficulties in reaching the UI REA workload projected in their FY 2014 UI REA proposals should request a lower level of RESEAs in FY 2015 than was requested in FY 2014.

Proposals will be reviewed based solely on the information required in the application. States should include only the required information.

**C. States Participating in the UI REA Program Evaluation.** Several continuing states are currently participating in a new 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. States participating in the UI REA evaluation may also request up to \$100,000 to plan for program changes for a transition to the new targeted population but should not implement these changes during the period of the UI REA evaluation.

- 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.

States are not required to implement the RESEA program statewide. If a state does not implement RESEAs statewide, WPRS services must be provided in the geographic locations where RESEAs are not available. Also, the RESEAs are to be conducted only for UI claimants who do not have a definite return-to-work date. States should also exclude claimants who secure work only through a union hiring hall.

RESEA services may be delivered by UI staff, Wagner-Peyser staff, WIOA staff, or other AJC staff. The UI eligibility review is a key part of the RESEA for program integrity purposes. If UI staff members do not conduct the UI eligibility review, the service delivery staff must refer all issues to UI merit staff to adjudicate any potential UI eligibility issues identified during the RESEA. UI merit staff must maintain responsibility for adjudicating UI

eligibility issues, as appropriate. 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 WIA/WIOA and Wagner-Peyser funded reemployment services. WIOA collapses 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 training. 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; however RESEA funds may not be used to pay for training services.

UI staff must be engaged in RESEA planning, administration, and oversight as well as all appropriate staff training on UI eligibility requirements. While a full-time UI staff position is not required, UI staff must be available and involved in the RESEA functions previously discussed. States that have not had UI staff involvement in the UI REA program have experienced significant problems. In some instances, program staff delivering REAs had insufficient training to conduct a thorough eligibility review and detect eligibility issues requiring adjudication. This can result in improper payments. Further, many states that have not had sufficient UI staff participation have been unable to submit accurate ETA required reports. The ETA 9128 and ETA 9129 reports should be reviewed for accuracy each calendar quarter by the UI staff member of the RESEA team in addition to being reviewed by the RESEA team leader. Any resulting issues in the accuracy of the reports should be corrected and resubmitted within 90 days.

RESEA programs are an integral part of states’ strategies for delivering reemployment services. ETA encourages states to 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. The following guidelines also apply:

**A. Required RESEA Services.** Each RESEA must include the following minimum core components, which are essentially unchanged from FY 2014 UI REA components but require the development of a more 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 issue is 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 service 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 contain specific steps to which the claimant agrees 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 discussion of the individual reemployment plan, specific labor market information should be provided, thus, ensuring that the claimant understands how labor market information can be used in an appropriate job search.

All states may provide reemployment services as a component of the RESEA in 2015, and states are strongly encouraged to integrate the delivery of reemployment services with the traditional REA activities.

- B. Service Delivery Design.** As stated above, while not mandated for FYI 2015, continuing states are strongly encouraged to consider transitioning their programs to target those most likely to exhaust benefits and UCX claimants; and all new states must target this new population. The Department will be hosting a training session addressing the development of an effective WPRS model and will continue to provide ongoing assistance to states to help ensure that their models are useful and accurate tools to select claimants who are most in need of assistance to avoid exhausting their benefits. Continuing states may also still exercise flexibility in determining who is selected for a RESEA using FY 2015 funding with the following exceptions that also apply to the new target populations: both claimants who have a definite return-to-work date and claimants who seek work solely through a union hiring hall must be excluded.

Both continuing states and new states have flexibility in identifying staffing options 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, and/or WIA/WIOA 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 development of the staff training and delivery of such training, as appropriate. States are encouraged to consider designating the same staff to provide the required RESEA activities, including some or all of the reemployment services deemed appropriate for the individual 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. Subsequent RESEAs must include the traditional UI REA 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 by telephone, state RESEA staff must ensure that both they and the claimant have access to the claimant's individual reemployment plan for review 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 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 REA 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.

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. For continuing states that have not transitioned to the new target population, it is not required that claimants who are not initially eligible be included in the treatment or comparison group; reporting of comparison groups is not required for either new states or continuing states after they transition to the new target population.

Up to three 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 provide clear and complete information that claimants need to access appropriate

reemployment services. Additional RESEAs for an individual who has received the initial RESEA and two subsequent RESEAs cannot be funded under this grant.

Continuing States Transitioning to RESEA Targeting in 2015 and New States: Once continuing states have transitioned to serving the new targeted population and for new states, funding for each individual RESEA may be provided for up to five (5) hours of individual staff time per RESEA. Under the prior UI REA program, funding was limited to a maximum of two hours per UI REA. The three-hour increase for all RESEAs is to allow adequate time for the 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. Continuing states that are not transitioning to the target population and not requesting funding for reemployment services may request up to two hours to provide the required REA activities. 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:

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

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

Continuing States Delaying Transitioning to the New RESEA Target Population: For any portion of 2015 that states continue to select and serve UI claimants for RESEAs under the prior UI REA program rules, funding for each RESEA continues to be limited to two hours per RESEA. However, continuing states may request additional funding for the provision of targeted reemployment services under the new RESEA guidelines to meet the needs of each claimant in accordance with the claimant's reemployment plan. All staffing costs should be calculated based on the direct time charges per activity (see above example for calculating group activity costs, if any).

**C. 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 2015 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 self-service core 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 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 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.

New states must submit a copy of the MOU or provide the date when it will be submitted. Continuing states do not need to submit a copy of the MOU if there are no needed revisions to reflect changes consistent with the new rules for the RESEA program, but they 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.

**D. UI Feedback Loop and Adjudication.** Once selected for a 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 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 as to 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.

**E. Performance and Reporting.** Currently, a measure of program effectiveness is derived from comparing outcomes of the UI REA treatment group with outcomes from a similar group of claimants who were selected for the comparison group and did not participate in the UI REA program. The current UI REA reporting requirements will remain in effect for the duration of the FY 2015 grant and through FY 2016 for those states that are currently operating UI REA programs. States must submit timely required reports, which are the ETA 9128 and ETA 9129. 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 and the comparison group. States must continue the necessary cross-program coordination that ensures data quality.

States must review their reported data for the most recent four-quarter period and confirm the accuracy of the data in a narrative attached to the FY 2015 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. It should also address negative results that have occurred over multiple reporting periods in measurements of average duration, benefits per claimant, percent exhausting, and percent reemployed for participants compared to the comparison group. The narrative should address planned changes that will be implemented to improve data quality. Attachment D has been developed to help states identify reporting problems. The quarterly summary of data includes comparisons of the workload activities and of the 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 2015 RESEA grant.

States must agree to participate in any ETA-funded evaluations of the effectiveness of the RESEA program. Results of these studies may be used for a report(s) to Congress. States selected to participate in the current UI REA evaluation must calculate costs based upon the evaluation design that has been developed in conjunction with the evaluation contractor. In addition, states must participate in periodic RESEA conference calls and webinars to facilitate information sharing and technical assistance.

As stated previously, the Department is planning to utilize the WIOA common measures to assess RESEA program outcomes. The Department will be providing states the opportunity for notice and comment in the Federal Register as the new reporting and performance requirements are developed for the RESEA program.

9. **RESEA Methodology and Required Reports**. Accurate reporting is critical to the success of the RESEA program. State funding is based upon the number of RESEAs scheduled. As noted above, the current UI REA reporting requirements will remain in effect for the duration of the FY 2015 grant and through FY 2016 for those states that are currently operating UI REA programs. States must submit timely and accurate required reports (ETA 9128 and ETA 9129). The past UI REA program measurement has demonstrated the value of this type of program as it has quantified the differences between claimants who have been selected to participate in the program and a group of claimants who have similar characteristics but have not been selected to participate. Claimants who have similar expectations of returning to work are assigned to the treatment or comparison group at the time that the REA treatment group is selected. Random selection of the comparison group provides the most valid means of measuring differences.

These data have been used for reports to Congress on the UI REA 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.

It is the intent of the Department to eliminate the need for states to maintain a comparison group as currently required for the UI REA program.

**10. 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 guidance for states that have not received a REA grant before this fiscal year. Attachment B contains the elements that must be included in an abstract that must accompany all proposals. Attachment C provides guidance to states currently operating a program. Attachment D is information related to reporting for those states currently operating a UI REA program. All pages in the state's proposal should be numbered.

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.

**11. 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;
- New state RESEA programs at 10,000 RESEAs or less;
- Continuing state RESEA programs currently funded at 10,000 RESEAs or below to expand to a higher level in increments of 10,000 RESEAs or less;
- New state RESEA programs 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.

**12. Grant Scoring Criteria for New RESEA Programs.** The RESEA proposal scoring criteria are explained in Attachment A and apply to states that have not previously operated a RESEA (formerly, UI REA) program. The highest scoring proposal will be funded first based on available funding, followed in sequence by those with lower scores until all available funds are exhausted. Proposals scoring fewer than 80 points will not be funded.

**13. Grant Awards to States to Continue RESEA Programs.** States currently operating a RESEA (formerly, UI REA) program should submit an abstract containing the information in Attachment B and provide the information requested in Attachment C. These proposals will not be scored but will be evaluated and funded after review and consultation with the state(s), as needed.

**14. 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 UI claimants;
- UI and AJC staff work cooperatively in planning, developing, testing, and implementing this program;

- The proposed expenditures are justified and appropriate; and
- The state has, is prepared to, or will be preparing to develop systems for collecting data for the required reports once these new reports have been defined.

**15. Timelines.**

- States must submit proposals to the National Office by May 1, 2015.
- Award notifications are expected to be issued by June 12, 2015.
- 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.

**16. 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 and a summary of the RESEA Grant proposal to [ows.sbr@dol.gov](mailto:ows.sbr@dol.gov).

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

**18. Attachments.**

Attachment A- Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Proposal Outline for First Year RESEA Grants

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

Attachment C - Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Proposal Outline for States Continuing a RESEA Program

Attachment D - The Unemployment Insurance Reemployment and Eligibility Assessment (UI REA) Data Concerns for States with Current UI REA Grants

**UNEMPLOYMENT INSURANCE (UI) REEMPLOYMENT SERVICES AND  
ELIGIBILITY ASSESSMENT (RESEA) PROPOSAL OUTLINE FOR FIRST YEAR  
RESEA GRANTS**

1. **RESEA Grant Project Summary.** States applying for a grant for the first time must use this outline to develop their proposal to implement the RESEA program. All proposals must include an abstract of the RESEA grant proposal containing the elements described in Attachment B, *Elements of an Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grant Proposal Abstract*. Proposals should include only the information required in this outline. Additional narrative is not needed and does not help or enhance the state's proposal.
  
2. **Project Costs.** Proposals must include a description of all proposed expenditures and a projected schedule for significant project activities. The costs should be identified separately as start-up costs and projected costs for one year of operation from the date of the first scheduled RESEA. The expenditures for the start-up activities are part of the grant and are subject to its rules. Start-up costs include the costs of staff training, program implementation, automation costs related to the delivery and record keeping necessary for the RESEA program, and the costs of completing the ETA 9128 and the ETA 9129 (OMB approval No. 1205-0353) (or forms similar to the ETA 9128 and the ETA 9129 that ETA will be developing and submitting for comments). ETA will not fund any proposal until the state has provided all of the required cost information to support its proposed expenditures. Additional guidance will be forthcoming regarding required reporting for new states.
  - A. **Fixed Minimum Costs:** The proposal should include fixed minimum costs. The proposal should describe the costs to implement the RESEA program and to conduct the first 10,000 RESEAs. States may propose to conduct fewer than 10,000 assessments and should calculate costs accordingly. Fixed costs should also include the projected costs for programming the ETA 9128 and ETA 9129 (or forms similar to the ETA 9128 and ETA 9129) reports as a one-time cost. Reporting instructions can be found in ET Handbook No. 401, 4<sup>th</sup> Edition, and edits for these two reports can be found in ET Handbook No. 402, 5<sup>th</sup> Edition. These instructions should assist in determining the approximate programming time needed to develop these or similar required reports. The costs for programming these or similar reports should be clearly identified in the project costs.  
  
**Incremental Costs:** States should provide the number of RESEAs that they propose to conduct. If the state proposes to conduct more than 10,000 RESEAs, the proposal should also include incremental costs. These costs should be expressed as costs per 10,000 RESEAs or if the state is proposing to conduct fewer than 10,000 REAs the proposal should include the cost per RESEA. Incremental costs for additional RESEAs in excess of 10,000 consist of costs related to conducting the RESEA rather than costs such as development of management information systems. Regardless of the total number of

proposed RESEAs, states should ensure that costs are provided in increments of 10,000 RESEAs or less. It may be possible to fund a partial increase above the base of 10,000 but not possible to fund a very large increase in the number of RESEAs. For example, a state proposing to schedule 40,000 RESEAs in Fiscal Year 2015 must provide costs associated with providing 10,000, 20,000, 30,000 and 40,000 RESEAs.

**B. 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 cost of rescheduling the RESEA. Claimants who do not report as scheduled must be referred to adjudication. In addition, they may also be rescheduled for a RESEA if the state chooses to do so. Rescheduling is not required.

**3. Scoring Elements.** The following elements are used to score the proposal. Scoring will be based on how well the elements listed below are addressed (i.e., information should clear, thorough, and relevant). Proposals must have a score of 80 points or more to be recommended for funding. Therefore, each element is important and should be addressed fully in the proposal. Proposals should use the following format.

**A. Project Costs (15 percent of total score):**

**a. Staff Costs.** The proposal must 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 on the RESEA program. Staff may be assigned to work part-time on the RESEA program, thus charging only the applicable hours to the RESEA grant. Staff costs for new RESEA programs may include costs to conduct the RESEA, costs for staff training, and costs for development of procedures. States should identify all staff costs for developing RESEA reports and programming requirements separate from the costs for providing RESEAs to claimants. Costs for administering the program may include management hours attributed directly to the RESEA program including UI staff 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 project for all staff hours for which funding is requested.

If contract staff is requested, documentation should include the type of position, estimated contract staff hours, anticipated costs per hour, and total cost. Only state merit staff may make decisions regarding claimant eligibility.

- b. **Other.** The proposal may 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 providing RESEAs to claimants.
- c. **Total Costs.** The proposal must include the total funding request. Spreadsheets used to calculate and total these costs must be included.

**B. Project Design (45 percent of total score):** The description of the RESEA program should address the processes that will be put in place to ensure that all core components described in the guidelines of this UIPL are met. Proposals should include a brief narrative that addresses each of the following project design elements.

- a. A description of the collaborative process used to develop the RESEA design to meet the new requirements and the types of partners engaged including Wagner-Peyser and WIA/WIOA staff.
- b. The geographic locations where the RESEA program will be implemented.
- c. The proposal should identify the target group for the RESEA program, which must consist of individuals most likely to exhaust UI and UCX claimants. The WPRS model must be used to identify and rank claimants' likelihood of exhausting benefits. Describe what point in the claims series the WPRS model will be run and the point in time at which the claimants will be selected for an RESEA.
- d. The point(s) in time in the claims series when claimants will be notified of their scheduled RESEA(s). Claimants must be contacted and notification must be sent to the claimant advising of a scheduled RESEA no later than the fifth week of the individual's claim series. This is the fourth week after the week in which the claimant files an initial claim. For claimants whose eligibility determination is delayed during the first week that the claimant submits a claim after being determined eligible for benefits.
- e. A description of whether the state will conduct single or multiple RESEAs for individual claimants. If multiple RESEAs are conducted for claimants, provide the projected schedule and the number of REA/RESs the state anticipates scheduling for each claimant who remains unemployed.
- f. A description of how the various RESEA components will be staffed. This should include a description of how UI staff expertise will be included in the management team. States should ensure that proposed staffing arrangements have been agreed upon by all parties before submitting the RESEA proposal.

- g.** A description of how the state will leverage RESEA funds with funding under the WIA/WIOA, Wagner-Peyser, and other programs to better serve the UI claimants.
- h.** An explanation of how American Job Centers (AJCs) will provide the services for identification of reemployment needs, orientation to help claimants access self-service career services offered through the AJC (including labor market and career information), ensure registration in the state's job bank, make other referrals to AJC services, and support the development of the claimant's reemployment plan.
- i.** A copy of the agreement or Memorandum of Understanding (MOU) with workforce service providers must be submitted with the implementation proposal. In the event that the MOU is under development and has not yet been finalized, states should provide the anticipated date of completion and should submit a copy of the MOU soon after that date. The requirements for MOUs are discussed in more detail in paragraph 4 below.
- j.** A description of how staff will be trained to identify eligibility issues and how these issues will be referred to UI adjudication staff.
- k.** A description of how eligibility reviews will be structured.
- l.** A description of the process for developing proposed individual reemployment plan, including the elements of the plan and the arrangements for completing the plan (i.e., the claimant will complete a form which will be reviewed and revised as necessary during the RESEA interview).
- m.** A description of how information will be shared among UI, Wagner-Peyser, and WIA/WIOA staff and workforce staff, and how the work search plan and related activities will be documented.
- n.** A description of the processes that will make up the feedback loop to provide information to the UI program staff, as appropriate, about the results of referrals to reemployment services, issues that arise during the eligibility review interview, and/or any failure to report for the RESEA.

In addition, states must provide brief answers to 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. This information is not used for scoring purposes and an extensive narrative is not needed.

Identify which staff will conduct each of the RESEA key components on the initial RESEA, whether each element of the RESEA will be conducted on an individual basis or in a group setting, and the average time required for each activity. Both the eligibility review and the development of an individual reemployment plan must be provided on a one-on-one basis. Claimants may be provided forms in a group setting which they will discuss with staff one-

on-one after completion. States must identify the program office in which the staff works such as UI, Employment Service (ES), or other. Any additional activities should be included in the table. The sum of the average time for each activity below should be equal to the time for the complete initial RESEA.

**Initial RESEA**

| Activity                          | Staff | Individual/<br>Group | Average<br>Time |
|-----------------------------------|-------|----------------------|-----------------|
| Eligibility Review                |       |                      |                 |
| Labor Market Information          |       |                      |                 |
| Individual Reemployment Plan      |       |                      |                 |
| Orientation                       |       |                      |                 |
| Referral to Reemployment Services |       |                      |                 |
| Reemployment Services             |       |                      |                 |

States requesting funds to provide reemployment services to RESEA participants should describe the array of proposed services that may be provided to participants. Funding requests should be based on the average of the 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 this UIPL (see Section 8).

States planning to conduct multiple RESEAs for individual claimants should provide the activities, type of staff involved, whether individual or group service(s), and the average time for a subsequent RESEA(s). States should identify the program office in which the staff works such as UI, ES, or other. Any additional activities should be included in the table. The sum of the average time for each activity below should be equal to the time needed to complete a subsequent RESEA.

**Subsequent RESEAs**

| Activity                             | Staff | Individual or<br>Group | Check if by<br>Telephone | Average<br>Time |
|--------------------------------------|-------|------------------------|--------------------------|-----------------|
| Eligibility Review                   |       |                        |                          |                 |
| Labor Market Information             |       |                        |                          |                 |
| Individual Service Plan              |       |                        |                          |                 |
| Orientation                          |       |                        |                          |                 |
| Referral to Reemployment<br>Services |       |                        |                          |                 |
| Reemployment Services                |       |                        |                          |                 |

**C. Performance Accountability and Reporting (15 percent of total score):** The proposal should identify areas in which UI program performance is expected to improve as a result of the RESEA program, such as increasing the numbers of UI claimants receiving workforce services, and achieving improved employment outcomes, reductions in average benefit duration, and reductions in improper payments. The proposal should also explain how expected performance improvements will be measured. In addition, the

narrative should contain an affirmation that the state will comply with the RESEA reporting requirements.

**D. Estimated Time and Cost for Each Assessment (15 percent of total score):** The proposal must include an estimate of the time and the cost requirements for each RESEA. The total time funded for an individual RESEA cannot exceed five (5) hours. If appropriate, varying levels of service may be specified in conjunction with varying costs, e.g., it may cost less to serve UCX claimants who are determined to be "job ready." Enough information should be provided to explain how the state determined the projected staff costs and projected staff time for the various components of the assessment that were used to determine the maximum number of RESEAs that could be accomplished based upon the grant amount requested.

**E. Program Timeline (10 percent of total score):** A timeline of the project must be included that identifies significant milestones in implementing the program, including project design, and any staff training. The timeline should include a projected date for completion of programming the selection of participants and tracking of participants. It should also include the projected time needed to complete the RESEA required reports (the ETA 9128 and the ETA 9129 or similar reports), and the date that the first RESEAs will be offered. Scoring will be based upon the thoroughness of the timeline provided by the state.

**4. Collaboration with Workforce Service Providers.** UI and appropriate workforce service providers who partner with UI for the RESEA program must develop an agreement or MOU. This ensures that the necessary partners commit to providing reemployment services as required by the grant. The MOU must include a commitment of the staff necessary to perform the REA tasks. States must submit a copy of the agreement or MOU. If the agreement/MOU has not been finalized, the state must provide the estimated date of submission. The agreement or MOU must contain:

- Names of all parties to the agreement;
- A brief description of the collaborative process jointly developed;
- Identification of the types of staff responsible for providing the specific services;
- Description(s) of how feedback will be provided; and
- Description(s) of the role of the service providers.

**5. Supporting Materials.** States may attach additional materials that will support the proposal.

**ATTACHMENT B**

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

|  |            |
|--|------------|
| 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:      |
|  | Telephone: |
|  | E-mail:    |
| Total UI REA Funds From <u>Prior</u> UI REA Grants Projected to Remain after March 31, 2015  | \$         |
| Total RESEA Project Cost<br><i>The total amount of funds requested in this grant. Do not include funds carried forward from 2014.</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>  | \$         |

|   |    |
|---|----|
| <p>Staff and Management Costs for a <u>Single</u> Completed Initial RESEA<br/> <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<br/> <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 2 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<br/> <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<br/> <i>The total time spent preparing for and conducting a single initial RESEA, recording results, and other documentation. The funded time cannot exceed five (5) hours if requesting funds for reemployment services or two (2) hours if not requesting funds for reemployment services.</i></p> |    |
| <p>Projected Time for a <u>Single</u> Subsequent RESEA, Including Paperwork<br/> <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<br/> <i>The total costs spent preparing for a single RESEA for which the claimant subsequently fails 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<br/> <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<br/> <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> |  |
| <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>   |  |
| <p>Date at which the state projects transitioning to selecting those claimants most likely to exhaust and UCX claimants.</p>  |  |

**UNEMPLOYMENT INSURANCE (UI) REEMPLOYMENT SERVICES AND  
ELIGIBILITY ASSESSMENT (RESEA) PROPOSAL OUTLINE FOR STATES  
CONTINUING A PROGRAM**

1. **RESEA Grant Project Summary.** States should follow this outline to develop proposals to continue the RESEA program. All proposals must include an abstract of the RESEA grant proposal containing the elements listed in Attachment B, *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.

Proposals from continuing RESEA states are not scored. Requests to expand a state's RESEA program are subject to funding availability.

2. **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, 2015.

**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.

3. **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 REA**

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

**\*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. Other continuing states have flexibility in determining the target population for 2015 and whether to fund reemployment services to which the claimants are referred.**

States requesting funds to provide reemployment services to RESEA participants should describe the array of proposed services that will be provided to participants. Funding requests should be based on the average of the 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 this UIPL (see Section 8).

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 REA**

| Activity                          | Staff | Individual/<br>Group | Check if by<br>Telephone | Average<br>Time |
|-----------------------------------|-------|----------------------|--------------------------|-----------------|
| Eligibility Review                |       |                      |                          |                 |
| Labor Market Information          |       |                      |                          |                 |
| Individual Reemployment Plan      |       |                      |                          |                 |
| Orientation, if applicable        |       |                      |                          |                 |
| Referral to Reemployment Services |       |                      |                          |                 |
| Reemployment Services*            |       |                      |                          |                 |

**\*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. Other continuing states have flexibility in determining the target population for 2015 and whether to fund reemployment services to which the claimants are referred.**

**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 the new

RESEA guidelines implemented in 2013, a UI staff member must be available to work on program management. Provide an explanation of the UI staff role in 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 Worker Profiling and Reemployment Services (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 Unemployment Insurance Program Letter are implemented. In addition, please describe the type of staff that will provide each of the components of the RESEA (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 a nonmonetary issue is pending adjudication, the claimant should be selected during the first week that s/he claims after being determined eligible for benefits.
- 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. 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 D, *The Unemployment Insurance Reemployment and Eligibility Assessment (UI REA) 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.
- 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.

**THE UNEMPLOYMENT INSURANCE REEMPLOYMENT AND ELIGIBILITY  
ASSESSMENT (UI REA) DATA CONCERNS FOR STATES WITH CURRENT UI  
REA GRANTS**

The list below has been developed to help states in reviewing their current Employment and Training Administration (ETA) UI REA required reports. The list identifies data problems that have occurred in some states and that must be corrected. Each quarter, the ETA National Office has provided 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 REA/RES (formerly, UI REA) grants for Fiscal Year 2015. 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 on the ETA 9128 forms that they submit. If the state is not meeting this percentage by reporting on all REA/RESs, a narrative should explain the steps that will be taken to correct this problem.

Each claimant that is scheduled for a UI REA may participate or fail to participate. If the claimant fails to participate, the claimant may or may not be disqualified depending on why the claimant failed to participate and how the issue was addressed by the state. Claimants who have returned to work are not disqualified. Claimants who 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 REA, states are required to adjudicate the claimant's eligibility. It is not required that the claimant be rescheduled. The number of claimants scheduled for a UI REA must be equal to the number of claimants who completed a UI REA and the number of claimants who failed to complete a UI REA. If this total is not 100 percent of the scheduled UI REAs, the state should examine the population that is not explained by the data. Since the UI REA may be scheduled in one quarter and the claimant may report or fail to report in a subsequent quarter, these percentages should average out over multiple calendar quarters as this will occur in all calendar quarters on an ongoing basis.

**ETA 9128 REA Workloads Report**

**A. UI REAs Scheduled (Item 2)**

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

UI REAs Scheduled should be approximately the sum of Item 3 *UI REAs 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 REAs 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 REAs 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 REAs completed it is possible that the state is counting disqualifications or overpayments that are not a part of the UI REA. Both disqualifications and overpayments must be based on issues that were discovered as a result of the UI REA.

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

If this number is large compared to the number of UI REAs completed, it is possible that the state is counting disqualifications that are not a part of the UI REA. 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 REAs 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 REA should 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 UI REA Outcomes Report**

The number of claimants who established a UI benefit year in the report quarter is provided for the Comparison Group in Item 1a and for the UI REA group in Item 2a. The number in Item 1a should not be less than 10 percent of the number in Item 2a, as the comparison group must, at a minimum, be 10 percent of the treatment group to provide a reasonable measurement.

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 for the Comparison Group and in items 2a and 2b for the UI REA Treatment Group. 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 for the Comparison Group and in items 2a and 2e for the Treatment Group. 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. If the difference of the average duration between the Comparison Group and the UI REA Treatment Group is two weeks or greater, there may be programming problems.

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.