

EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	CLASSIFICATION UI RESEA
	CORRESPONDENCE SYMBOL OUI/DUIO
	DATE December 8, 2016

ADVISORY: UNEMPLOYMENT INSURANCE PROGRAM LETTER NO. 3-17

TO: STATE WORKFORCE AGENCIES

FROM: PORTIA WU
 Assistant Secretary

SUBJECT: Fiscal Year (FY) 2017 Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grants

1. **Purpose.** To provide guidelines for the FY 2017 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. 7-16, *Fiscal Year (FY) 2016 Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grants*;
 - UIPL No. 13-15, *Fiscal Year (FY) 2015 Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grants*;
 - UIPL No. 13-15, Change 1, *Fiscal Year (FY) 2015 Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grants: Questions and Answers*;
 - Training and Employment Guidance Letter (TEGL) No. 3-15, *Guidance on Services Provided through the Adult and Dislocated Worker Program under the Workforce Innovation and Opportunity Act (WIOA or Opportunity Act) and Wagner-Peyser, as Amended by WIOA, and Guidance for the Transition to WIOA Services*;
 - Information Collection Request for the Reemployment and Eligibility Assessment Program (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*;

RESCISSIONS None	EXPIRATION DATE Continuing
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- Webinar- Implementation of Fiscal Year 2016 RESEA Grants, available at www.workforcegps.org; and
- Project Brief: Encouragement Emails Increase Participation in Reemployment Services, available at www.dol.gov/asp/cvaluation/BISStudy/Reemployment-Services-Brief.htm.

3. **Background.** The federal-state Unemployment Insurance (UI) program is a required partner in the comprehensive, integrated workforce system. Individuals who have lost employment due to lack of suitable work 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 Reemployment and Eligibility Assessment (REA) program and, beginning in FY 2015, through the voluntary Reemployment Services and Eligibility Assessment (RESEA) program. These types of program services have been considered high priorities for the Department's Employment and Training Administration (ETA). In FY 2016, a total of 50 states and jurisdictions operated a RESEA program.

As stated in UIPL No. 13-15 and UIPL No. 07-16, 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 populations for the RESEA program.

4. **FY 2017 Funding.** Although appropriations for FY 2017 have not been finalized, ETA is issuing this UIPL in anticipation that the total available funding for RESEAs will be similar or equal to the level provided for FY 2016. The awards made under this UIPL will be subject to the availability of Federal funds and may need to be changed if the final FY 2017 appropriation is substantially different than the FY 2016 appropriation. Grant recipients may be required to revise budget documents prior to award execution to account for discrepancies among estimated funding availability, funding requests, and actual award amounts.
5. **Program Changes Beginning in FY 2017.** The FY 2017 changes described below are intended to:
 - Align RESEA with Workforce Innovation and Opportunity Act's (WIOA) broader vision of increased program integration and service delivery for job-seekers, including UI claimants;
 - Promote greater consistency across states to support future establishment of a mandatory RESEA program; and
 - Grow the role of RESEA as an entry-point for UI beneficiaries into other workforce system partner programs, as has been proposed in the President's budget.

Program requirements that are not identified in this section remain unchanged from FY 2016.

Award Limits. For FY 2017, ETA is implementing state-level maximum award levels. These levels are based on a state workload of 10 percent of projected UI first-payments

during FY 2017 and the state's FY 2016 cost per initial RESEA rates (capped at a maximum of \$155 per initial RESEA). To prevent significant disruption in service delivery, ETA applied a minimum funding provision of 85 percent to the sum of each state's FY 2016 RESEA award and 50 percent of the FY 2015 RESEA funds that were carried over in FY 2016. A maximum limit equal to each state's FY 2016 RESEA grant was also applied. Each individual state may request an amount up to the award limit provided in Attachment D and has discretion to request a lesser amount based on appropriate factors such as capacity and program trends. Attachment A provides space for states to provide information for funding requests beyond the provided award limit for expanded activities, if additional funds become available.

Maximum award levels have also been provided for states that did not operate a RESEA program in FY 2016. These levels are based on a reduced workload of five percent of the state's projected FY 2017 UI first payments, and include \$100,000 to support information technology (IT) costs, if needed, as described under the "Administrative Cap" paragraph below. This funding level reflects limited service capacity during initial program implementation.

Administrative Cap. Beginning in FY 2017, administrative costs for the RESEA program are limited to 10 percent of the total grant award. This limitation aligns RESEA administrative costs with similar ETA grants and includes IT costs. States that did not administer a RESEA program in FY 2016 may request up to an additional \$100,000 beyond the 10 percent administrative cost limit to support IT costs associated with program start-up and implementation, including required reporting.

Initial RESEA Cost Limit. Since the launch of the RESEA program, there has been considerable variation in the cost of the initial RESEA session across states, ranging from less than \$100 to just under \$400. After analyzing RESEA trends and conducting comparisons to programs that provide assessments and reemployment services, ETA is implementing a cost per initial RESEA limit of no more than \$155. The majority of states already operate at levels near or below this target. States that have a higher cost per initial RESEA are encouraged to consider potential improved efficiencies, such as group orientations to American Job Center (AJC) services, automated scheduling, leveraging services and resources of workforce partners, and examining the length of the initial RESEA.

Limits on Subsequent RESEA Sessions. The number of subsequent RESEAs that may be charged to the grant is reduced from two to one. The reimbursable rate for the one fundable subsequent RESEA is capped at a maximum of up to \$80 per subsequent RESEA. This cap on subsequent RESEAs is intended to increase availability of services to additional UI beneficiaries and also encourage a timely transition of RESEA participants into other workforce programs. The \$80 reimbursement limit reflects the requirement that more time-intensive activities such as development of a reemployment plan, AJC orientation, and registration with the state's job bank must occur as part of the initial RESEA session. States continue to have flexibility in how the subsequent RESEA is delivered and may opt, where appropriate, for telephone, online chat, or other technology that allows for direct communication with the participant. Additional RESEAs beyond the initial and subsequent

session are allowable but would require leveraged funding, such as WIOA or Wagner-Peyser statewide funds, and may not be charged to RESEA grant funds.

Performance Reporting. Performance reporting for FY 2017 consists of the ETA forms 9128, 9129, 9128X, and 9129X. The ETA 9128 and ETA 9129 reports were amended in FY 2016 to remove comparison group reporting requirements. The ETA 9128X and ETA 9129X are new reports that collect service and outcome data specific to UCX claimants served by RESEAs. The amended ETA 9128 and ETA 9129 and new ETA 9128X and ETA 9129X forms were approved in FY 2016 and will be fully implemented in FY 2017. ETA previously alerted states to these changes in FY 2016 and additional guidance on these required reports is forthcoming.

Required Enrollment in Wagner-Peyser-funded Employment Services. The intent of RESEAs is to provide claimants with entry to a wide array of available resources that support reemployment and to connect claimants to the direct provision of intensive career services as appropriate. RESEAs were developed to supplement rather than supplant current reemployment activities provided by the integrated workforce system, and in this context ETA is requiring that RESEA participants be enrolled in Wagner-Peyser-funded Employment Services as part of the initial RESEA. As part of this enrollment, RESEA participants should be appropriately identified in case management and performance reporting systems. Given the structure of the state's workforce system, co-enrollment in WIOA Dislocated Worker or other available programs may also be appropriate, but is not a requirement of this grant.

6. **"No-Show" Costs and Promising Practices for Reduction.** Beginning in FY 2016 and continuing in FY 2017, 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 RESEA 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; close to or greater than 50 percent of the RESEAs scheduled in some states. Conversely, many states report rates that are lower than 20 percent. States are strongly encouraged to 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 and value of attending the RESEA;
- Providing translated call-in letters and other RESEA related documentation to assist limited English proficient claimants understand program requirements and benefits;

- Making reminder phone calls/emails when possible. A recent study found that communications to remind the claimant of a RESEA appointment, and to reinforce the positive value of the RESEA to help the claimant become reemployed, significantly increased RESEA participation and completion; and
- Implementing automated scheduling systems that offer claimants the opportunity to schedule their own RESEA appointment. Automated scheduling systems may 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 session, and must be referred to UI staff for adjudication, as appropriate, after the deadline passes.

7. **FY 2017 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 states that are not currently operating an RESEA program but plan to implement a program in FY 2017 (new states), must complete the information outlined in Attachments A and B of this UIPL. The performance period for FY 2017 RESEA, i.e., the period during which states should obligate their RESEA grant funds, begins on January 1, 2017, and ends on December 31, 2017. 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, 2018. 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 2017 RESEA grants should be based on the time period ending December 31, 2017.

The amount of each RESEA grant is subject to the limits identified in section 5 and 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 career services. States that have not scheduled the number of RESEAs that were funded in FY 2016 or prior years must use the remaining funds to complete the previously projected workloads and request funding for the remaining balance of the FY 2017 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 2016 or prior UI RESEA proposals should request a lower level of RESEAs in FY 2017 than was requested in FY 2016. 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 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.

All grant funding under this UIPL will be subject to the grant terms and conditions included in the final grant agreement. General grant information, requirements, and resources are available at <https://www.doleta.gov/grants/resources.cfm>.

8. **Basic RESEA Guidelines.** RESEA funds must be used to assess the continued eligibility and reemployment needs of UI claimants in the targeted populations. These funds may not supplant ongoing UI grant funds devoted to other state UI eligibility review program activities.

If a state does not implement RESEAs statewide, it must continue the WPRS program activities in the geographic locations where RESEAs are not available. The WPRS program continues to be a mandatory program. However, the RESEA program serves to meet the WPRS program requirements where these services are available to those individuals identified as most likely to exhaust UI benefits. 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-funded state Employment Service staff, WIOA staff, or other 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 in this UIPL, all eligibility determinations and redeterminations are funded through the regular funding for non-monetary determinations, not through the RESEA grant.

By applying for RESEA funding, states agree to integrate the RESEA program with WIOA and Wagner-Peyser-funded services. WIOA combines the Workforce Investment 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 career services, which may include a referral to training or 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 (e.g. 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, although it may not require a full-time position. 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 Supplemental Budget Request (SBR) project activities. Each calendar quarter, prior to submission, the reports should be reviewed for accuracy by the UI staff member of the RESEA team, in addition to being reviewed by the RESEA program lead (if a different staff member).

RESEA programs are designed to be 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 to serve the needs of the claimant:

- UI eligibility assessment and referral to adjudication, as appropriate, if an issue or potential issue(s) is identified;
- Requirement for the claimant to report to an AJC;
- Orientation to AJC services;
- The provision of labor market and career information that addresses the claimant's specific needs;
- Registration with the state's job bank;
- Enrollment in Wagner-Peyser-funded Employment 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
- Provision of at least one additional career service, such as:
 - Referrals and coordination with other workforce activities, including the WIOA Dislocated Worker Program;
 - Labor Exchange, including information about in-demand industries and occupations and/or job search assistance;
 - Information about the availability of supportive services;
 - Information and assistance with financial aid resources outside of those provided by WIOA;
 - Financial literacy services; and
 - Career readiness activities, including assistance with resume writing and/or interviewing.

States must provide each RESEA participant one-on-one services for the eligibility review and provide for the development of an individual reemployment plan, in collaboration with the claimant and tailored to their individual needs, during the initial RESEA. That plan must be updated during the subsequent RESEA, if any. It must contain specific steps to which the claimant agrees to adhere including reporting to and participating in the career 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 to ensure that the claimant understands how labor market information can be used in an appropriate job search. Additional information about career services is available in TEGL No. 3-15 and WIOA final regulations at 20 CFR 678.430.

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

The RESEA program targets claimants who are most likely to exhaust benefits and be in need of reemployment services and, to the greatest extent feasible, new UCX claimants. All RESEA states must target these two populations. ETA 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, develop a reemployment plan, or make appropriate referrals to reemployment services at AJCs and/or to training. As previously stated, whether the state decides to use UI, Wagner-Peyser-funded Employment Service, 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 at least some, if not all, of the career services deemed appropriate for an individual claimant, thus ensuring some continuity for the claimant.

States that conduct multiple RESEAs for the same individual must provide cost estimates for both the initial and the one subsequent RESEA. In general, the subsequent RESEA should require less time and resources because it is not necessary to repeat the orientation session, which is conducted during the initial RESEA. Otherwise, the subsequent RESEA must include: an eligibility review; review and updating of the claimant's individual reemployment plan; the provision of additional labor market information, as appropriate or if changes so dictate; and referral to additional career services or training. The subsequent RESEA 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 the 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 and 9128X only as a "scheduled RESEA" rather than as a "rescheduled RESEA," as explained in ET Handbook No. 401.

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.

Up to two RESEAs (the initial and one subsequent) 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 any subsequent RESEA, states must refer claimants to appropriate career services or training, as appropriate. Claimants who fail to report for services as directed must be referred to UI adjudication. Any additional RESEAs scheduled for an individual who has received the initial RESEA and one subsequent RESEA may not be funded under this grant.

Funding for each individual RESEA may include individual staff time per RESEA, but the total cost of the initial RESEA is limited to \$155 per participant as described in section 5 of this UIPL. 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 must 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 minutes per member times 2 staff members = 180 minutes

180 minutes divided by 10 participants = 18 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 must 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 2017 RESEA program funded under this grant. The MOU must address the following services, as well as career 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 2016 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 a 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 career services to RESEA participants by the designated party and providing the data that is needed for the ETA RESEA 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 under the 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 plans;
- 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, ETA 9128X, ETA 9129, and ETA 9129X. These reports are due on the 20th day of the second month following the end of the reporting quarter. Schedules for the submission of ETA 9128 and ETA 9129 are provided in ET Handbook No. 401. States must apply the same reporting schedule for the ETA 9128X and ETA 9129X reports. Additional guidance pertaining to the ETA 9128X and ETA 9129X reports will be issued separately. These reports capture specific data about the program participants. In addition, states must complete the Quarterly Narrative Progress Report (ETA 9165).

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 2017 RESEA grant proposal. The narrative should explain the steps the state is taking to correct any errors in the data identified by ETA and/or the state. The narrative should address planned changes that will be implemented to improve data quality.

12. Accuracy and Timeliness of Required Reports. Accurate and timely 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 ETA 9128 and ETA 9129 reports are contained in ET Handbook No. 401, and the edit checks for these reports are contained in ET Handbook No. 402. ETA will issue separate guidance for the ETA 9128X and ETA 9129X reports. In addition, states must complete 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. States must provide the information requested in all of these attachments:

- Attachment A provides an abstract that must accompany all proposals.
- Attachment B provides guidance to states submitting proposals.

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, and states must ensure that they submit the SF-424 and SF-424A forms. The SF-424 forms and instructions are available at <http://www.grants.gov/web/grants/form-instructions/sf-424-instructions.html>.

Each proposal must 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, e-mail address, and telephone number of the individual who can respond to questions about the proposal.

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 the targeted UI/UCX 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 collect the data for the required reports, including the ETA 9128 and ETA 9128X and ETA 9129 and ETA 9129X.

15. Timeline.

- States must submit proposals electronically to the National Office by December 29, 2016 with a copy to the appropriate regional office.
- States must submit a current SF-424, *Application for Federal Assistance*, signed by the state agency administrator and a current SF-424A, *Budget Information – Non-Construction Programs*, with the proposal. If any changes are required after review of the proposal, revised forms and/or proposals will be required before the awarding of these 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 to oui.sbr@dol.gov and a copy to the appropriate regional office using the title RESEA 2017 state name abbreviation such as RESEA 2017 AK, for Alaska.

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

18. OMB Information Collection. OMB Information Collection No. 1225-0086, expires May 31, 2019. 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 N1301; Washington, D.C. 20210. Comments may also be emailed to: 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.

19. 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) Cost Summary
- Attachment C- Maximum Fiscal Year (FY) 2017 Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grant Awards by State.

ATTACHMENT A

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

(1) State Name:	
(2) Name and Title of the State Agency Administrator:	Name: Title: Address:
(3) RESEA Program Lead/Contact <i>The person who can answer questions about the RESEA proposal.</i>	Name: Telephone: E-mail:
(4) UI Program Lead/Contact <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:
(5) Total Funds From prior RESEA Grants Projected to Remain after December 31, 2016	\$

(6) Total Proposed RESEA Project Cost <i>The total amount of funds requested in this grant, which may be up to the limit specified in Attachment D. Do not include funds carried forward from 2016.</i>	\$
(7) Staff Benefit Cost Percentage Rate	
(8) Indirect Cost Percentage Rate	
(9) Total Service Delivery Staff Cost <i>The total amount of funds requested for staff solely to conduct the RESEAs excluding management costs and other costs that are not related to service delivery such as programming.</i>	\$
(10) Total Management Costs <i>The total amount of funds requested for program management costs excluding cost of staff who will conduct the RESEAs.</i>	\$
(11a) Total Information Technology (IT) Staff Costs <i>The total amount of funds requested for programming and other IT staff costs.</i>	\$
(11b) Additional IT Costs (Applies to States that have not previously administered an RESEA program before FY 2017) <i>If proposal includes a request for up to \$100,000 in IT costs beyond the administrative cost limit described identify the amount requested and provide a brief summary describing the proposed activities and how they would benefit claimants.</i>	

<i>–Insert description of additional IT activities (Limit 500 words) –</i>	
(12) Staff and Management Costs for a <u>Single Completed Initial RESEA</u> <i>The sum of service delivery staff costs and management costs divided by the number of initial RESEAs projected to be completed. (Initial RESEA costs are capped \$155 per initial RESEA)</i>	\$
<i>(Narrative can be included to provide additional clarification or information as needed)</i>	
(13) Staff and Management Costs for Subsequent RESEA <i>The sum of service delivery staff costs and management costs divided by the number of subsequent RESEAs projected to be complete. Must not exceed one subsequent RESEA and \$80 per claimant. If subsequent RESEAs are not included in program design please indicate "No Subsequent".</i>	\$
(14) Staff Training Costs <i>The total amount of funds requested for staff training to conduct RESEAs.</i>	\$

(15) Projected Time for a <u>Single</u> Initial RESEA, Including Paperwork <i>The total time spent preparing for and conducting a single initial RESEA, recording results, and other documentation.</i>	
(16) Projected Time for the Subsequent RESEA, Including Paperwork <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>	
(17) Projected Costs for a Single RESEA for which the Claimant Fails to Report <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>	\$
(18) Total Number of Initial RESEAs to be Scheduled <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>	

(19) Total Number of Subsequent RESEAs to be Scheduled <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>	
(20) Total Number of RESEAs Projected to be Completed <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>	
(21) Total Number of RESEAs Projected for which the Claimant Will Fail to Report <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>	
(22) Actions taken to reduce number of claimants failing to report. <i>If the state has taken any actions in the past year and/or plans to carry out any actions in FY 2017, to reduce the number of claimants failing to report, please provide a brief description.</i> <i>–Insert description of activities taken to reduce claimants failing to report (Limit 500 words) –</i>	

(23) Total number of RESEA Sites <i>The total number of sites where RESEAs will be conducted. If RESEAs are conducted statewide, please indicate "statewide." If RESEAs are provided at limited sites, list the towns/cities or local workforce areas where RESEA activities will be conducted.</i>	
–Insert total number of sites and list of site locations if activities are not statewide- (Limit 500 words) –	
(24) Type of staff conducting RESEAs <i>Description of the staff that will conduct the RESEAs. List all applicable program staff including: UI, Wagner-Peyser-funded Employment Services, WIOA formula programs, or other.</i>	
(25) Role of UI Staff <i>Briefly describe the role played by UI staff in program management. As discussed in UIPL, all eligibility determinations and redeterminations are funded through the regular funding for non-monetary determinations and not through the RESEA grant. (limit 250 words)</i>	
–Insert description of UI staff roles (Limit 250 words) –	
(26) Selection of RESEA Participants <i>Describe how claimants are selected and at what point in the claim series selections are made. 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</i>	

<i>–Insert description of how claimants are selected (Limit 250 words) –</i>	
(27) Description of RESEA <i>Provide a brief description of the state's initial and, if applicable, subsequent RESEA, including the elements of the RESEA and how the key components in this UIPL are implemented (limit 500 words).</i>	
<i>–Insert description of RESEAs (Limit 250 words) –</i>	
(28) Group or Individual <i>Identify components, if any, of the RESEA activities provided in a group setting.</i>	
<i>–Identify RESEA components conducted in a group (Limit 250 words) –</i>	
(29) Memorandum of Understanding (MOU) <i>Is it signed and operational? (Yes or No)</i> <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> <i>If yes, list all parties to the agreement.</i>	
<i>–Insert status of MOU and members (Limit 250 words) –</i>	

(30) RESEA Required Reports and Reporting Problems

States currently operating an RESEA program should review both ETA 9128s and ETA 9129s with particular emphasis on the most recent 4 quarters. Attachment C "Unemployment Insurance Reemployment Services and Eligibility Assessment RESEA Data Concerns" provides some guidelines for detecting current reporting problems

- (1) Provide a narrative identifying any current reporting issues and the steps that will be taken to address these challenges*
- (2) If the state has made any major corrections in the past year please describe and provide dates.*

–Insert description of reporting challenges, plans to correct, and any major corrections that have occurred in past year –

(31) Planned Supplemental Activities if Additional Funding is Available.

If the State has capacity and need for funding beyond the provided maximum level identified in Attachment D, please provide:

- (1) The amount of additional funds requested;*
- (2) The number of additional sites, if any there would be served using the increased funds*
- (3) The estimated number of additional scheduled and completed RESEAs that would be conducted.*
- (4) Any additional activities or program enhancements that will be implemented, if applicable.*

***–Insert description of funding needed, additional sites services, and scheduled/completed RESEAs supported
(Limit 500 words-)***

ATTACHMENT B

UNEMPLOYMENT INSURANCE (UI) REEMPLOYMENT SERVICES AND ELIGIBILITY ASSESSMENT (RESEA) COST SUMMARY

RESEA Grant Project Summary. All proposals must include Attachment A, *Elements of the Unemployment Insurance Reemployment and Eligibility Assessment (RESEA) Proposal Abstract*. Proposals must also include information requested below. Additional narrative is not helpful and does not enhance the state's proposal. All pages in the state's proposal should be numbered.

- I. **Project Costs.** Proposals must include a description of all proposed expenditures and a projected schedule for significant project activities.
 - 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, 2017.
 - B. **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 must 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 must include costs for conducting the RESEA and costs for programming proposed changes to the RESEA program to be implemented in 2017. Management costs must also be identified, as appropriate. States must 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 must include the type of position, estimated contract staff hours, anticipated costs per hour, and total cost.

- C. **Other Costs.** 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.
 - D. **Total Costs.** The proposal should include the total funding request. Spreadsheets used to calculate and total these costs should be included.

- II. 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 must contain the name of the program office for these staff such as UI, the Employment Service (ES), Workforce Innovation and Opportunity Act (WIOA), or other. Any additional key activities must be included in the table. The sum of the average time for each activity below must be equal to the time required to complete the initial RESEA.

Initial RESEA

<u>Activity</u>	<u>Staff</u>	<u>Individual/ Group</u>	<u>Average Time</u>
Eligibility Review			
Labor Market Information			
Individual Reemployment Plan			
American Job Center (AJC) Orientation			
Provision of Reemployment/Career Services			
Enrollment in Employment Services or other AJC services			
Total Average Time for Initial RESEAs			

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 must be calculated based upon the example and formula provided in Section 9 of this UIPL.

Subsequent RESEA

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

ATTACHMENT C

**Maximum Fiscal Year (FY) 2017 Unemployment Insurance (UI) Reemployment Services
and Eligibility Assessment (RESEA) Grant Awards by State**

State	FY 2015 Award	FY 2016 Award	FY 2017 Funding Limit*
Alabama	\$1,236,154	\$250,444	\$743,299
Alaska	\$147,749	\$130,293	\$258,967
Arizona	\$318,099	\$648,946	\$684,693
Arkansas	\$537,758	\$143,429	\$405,247
California	\$3,908,287	\$12,698,079	\$11,564,378
Colorado	---	\$364,416	\$370,916
Connecticut	\$134,836	\$913,219	\$1,388,348
Delaware	\$257,804	\$564,658	\$559,952
District of Columbia	\$654,478	\$525,182	\$596,188
Florida	\$3,762,857	\$5,714,020	\$5,355,367
Georgia	\$1,242,663	\$202,171	\$761,981
Hawaii	\$356,120	\$1,075,361	\$963,019
Idaho	\$406,406	\$749,790	\$676,556
Illinois	---	\$1,245,566	\$1,245,566
Indiana	\$3,404,771	\$4,404,403	\$4,193,360
Iowa	\$957,875	\$1,613,534	\$1,417,373
Kansas	\$594,107	\$748,455	\$693,310
Kentucky	\$1,058,364	\$561,932	\$824,313
Louisiana	\$1,426,238	\$1,800,284	\$1,590,183
Maine	\$1,585,105	\$772,659	\$1,193,723
Maryland	\$530,545	\$1,325,350	\$1,142,426
Massachusetts	\$5,437,029	\$6,251,469	\$5,611,249
Michigan	\$961,746	\$1,550,610	\$1,969,740
Minnesota	\$1,351,176	\$1,646,396	\$1,399,437
Mississippi	\$729,607	\$998,544	\$928,062
Missouri	\$700,057	\$769,758	\$706,587
Montana	\$322,636	\$702,997	\$615,936
Nebraska	\$353,820	\$441,477	\$476,534
Nevada	\$2,019,313	\$2,070,137	\$1,997,667
New Hampshire	\$620,305	\$1,295,354	\$1,249,165
New Jersey	\$1,213,420	\$1,917,219	\$1,761,276
New Mexico	\$302,301	\$635,048	\$539,791
New York	\$18,067,387	\$20,270,329	\$18,576,075
North Carolina	\$4,012,447	\$4,438,192	\$4,163,155
North Dakota	---	---	\$321,612
Ohio	\$987,107	\$3,002,253	\$3,002,253
Oklahoma	---	\$1,054,169	\$896,044
Oregon	\$3,915,801	\$5,221,196	\$4,438,017
Pennsylvania	\$418,672	\$1,290,160	\$1,376,121
Puerto Rico	\$179,310	\$302,442	\$307,079
Rhode Island	\$903,568	\$1,249,242	\$1,061,856
South Carolina	\$1,313,108	\$1,144,308	\$1,201,793
South Dakota	\$264,752	\$305,187	\$334,642
Tennessee	\$2,060,640	\$2,963,132	\$2,518,662
Texas	---	---	\$3,594,646
Utah	\$1,365,249	\$1,889,591	\$1,663,979
Vermont	\$1,069,540	\$100,000	\$667,887
Virgin Islands	\$75,084	\$264,643	\$324,626
Virginia	\$541,033	\$1,766,845	\$1,513,527
Washington	\$6,720,406	\$9,192,063	\$8,841,998
West Virginia	\$161,083	\$358,083	\$304,371
Wisconsin	\$2,481,385	\$2,456,965	\$2,699,048
Wyoming	---	---	\$227,434

* These limits are provided in anticipation that the total available funding for RESEAs will be similar or equal to the level provided for FY 2016. However, grant awards remain subject to the availability of Federal funds.