

UI REPORTS HANDBOOK NO. 401

ETA 9048 Worker Profiling and Reemployment Services Activity

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A. Facsimile of Form.

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| STATE: | REGION: | REPORT FOR PERIOD ENDING: |
|---|---|---------------------------|
| SECTION A. PROFILED CLAIMANTS: | | |
| 1. | Total Profiled | |
| 2. | Number Put in Selection "Pool/Queue" | |
| 3. | Number Referred to Services | |
| 4. | Number Exempted from Mandatory | |
| SECTION B. PROFILED CLAIMANTS REFERRED TO AND REPORTING TO SERVICES: | | |
| 1. | Number Reported to Services | |
| 2. | Orientation | |
| 3. | Assessment | |
| 4. | Counseling | |
| 5. | Job Placement Services and Referrals to Employers | |
| 6. | Job Search Workshops or Job Clubs | |
| 7. | Referral to Education and Training | |
| 8. | Number Enrolled in Self-Employment Program | |
| SECTION C. PROFILED CLAIMANTS REFERRED TO AND COMPLETING SERVICES: | | |
| 1. | Number Completed Services | |
| 2. | Orientation | |
| 3. | Assessment | |
| 4. | Counseling | |
| 5. | Job Placement Services and Referrals to Employers | |
| 6. | Job Search Workshops or Job Clubs | |
| 7. | Completed Education and Training | |
| 8. | Completed Self-Employment Program | |

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Public Burden Statement: Persons are not required to respond to this collection of information unless it displays a currently valid OMB control number. Respondents obligation to reply to these reporting requirements is required to obtain or retain benefits (SSA302 (a)). Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This is public information and there is no expectation of confidentiality. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Unemployment Insurance, Room S-4516, Washington, DC 20210 (Paperwork Reduction Project 1205-0353).

B. Purpose

The ETA 9048 report provides quarterly information on the Worker Profiling and Reemployment Service activities of claimants who are profiled to assess their likelihood of exhausting benefits. Worker profiling allows for the targeting of reemployment services to those most in need. The data on this report is used for evaluation and monitoring of the Worker Profiling and Reemployment Services system on a national level. It includes breakouts of those who reported to services and those who completed services to be able to track service utilization. The

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mandatory participation requirement of the profiling legislation does not pertain to education/training or to services provided under a state's Self Employment Assistance program. Data is captured in each of these categories to provide additional information about the range of services provided to profiled claimants.

C. Due Date and Transmittal

The electronically submitted report is due in the ETA National Office on the 20th of the second month following the quarter of reference (May 20, August 20, November 20, February 20).

D. General Reporting Instructions

Data on this report deals with individuals in the regular Unemployment Insurance program (this includes state, UCFE, and UCX) who are profiled as to their likelihood of exhaustion of benefits. State Workforce Agencies (SWAs) should assure that systems are in place to collect information on service referrals and completions. Completions should generally be furnished by the service providers, often through the Online Data Entry and Display System (ODDS) and Enhanced National Data System (ENDS), Standardized Program Information Record (SPIR) or other State systems. The data reported are counts of numbers of profiled individuals at given points in the process of profiling and of participation in services.

Data are reported for the quarter in which the activity occurred. The activity being reported, such as referral and completion of services, could occur in one or more quarters after the quarter in which the individual was first counted as profiled.

Individuals are generally counted only once in any single service category for either referred and reporting to services in Section B or completing services in Section C.

Edit checks can be found in Handbook 402, Unemployment Insurance Required Reports User's Manual, Appendix C.

E. Definitions

1. Worker Profiling. Worker profiling is the process which determines the likelihood of exhausting benefits for new initial claimants. Worker profiling can consist of the use of characteristic screens or a statistical model approach (characteristic screens in combination with a statistical model).

A characteristic screen approach eliminates claimants not likely to exhaust their benefits from the pool of those subject to mandatory referral by determining permanent separation using such screens as "no definite recall date" and "not being hired through an exclusive union hiring hall." It does not

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allow for a rank ordering of claimants. Therefore, it does not provide a means to target services to those who would most benefit from available service.

The statistical model approach, like the characteristic screen approach, first determines permanent separation using screens. Then information on individuals who have not been eliminated from the screens are put through a model to produce a numerical "score" indicating their level of probability of exhaustion. These scores allow for a rank ordering of claimants from those most likely to those least likely to exhaust their benefits thus allowing for targeting of services to those who would, potentially, benefit most.

2. Profiled Claimants. These are new initial claimants who have been put through the State's profiling mechanism during the report period. In states where the profiling process is triggered by the first payment, this figure will generally be equivalent to the number of first payments. In states which choose to initiate the profiling process at the time of the new initial claim, the count will be roughly equivalent to the number of new initial claims.
3. Put in Selection "Pool/Queue". This category consists of those claimants who were profiled during the quarter and were not eliminated by the profiling screens. Those put in the pool/queue include both those who will spend time in the pool/queue waiting to be referred and those who may be immediately referred to services. A claimant can only be put into the pool/queue once. This figure will not include claimants identified in earlier quarters who remain in the pool/queue in the current reported quarter. Individuals put in the "pool/queue" will range from those that have a high score and therefore a high probability of being referred to services through those who have a low score and therefore a low probability of being referred to services. This figure will be the number of claimants profiled during the period minus those who were eliminated by the screens.
4. Referred to Services. Those profiled claimants in the selection pool/queue for whom services were available and who were referred to those services during the reporting period. This includes claimants who were referred to services in the report quarter whether they were put in the pool/queue in the current report quarter or entered the pool/queue in prior quarters. A claimant may be counted in more than one category; however, a claimant can only be counted once in any individual service category during a benefit year regardless on the number of services provided within the distinct category.
5. Exempted from Mandatory Participation. Those profiled claimants who are not required to participate in reemployment services or in further reemployment services through the WPRS system because they have completed such services, they are participating in similar services, or have justifiable cause for their failure to participate in reemployment services. Claimants should not be counted as exempted from services that were not a

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- part of their service plan or to which they were never referred. Exemptions do not include individuals who are no longer participating due to reemployment. Exemptions also do not include individuals who were not referred to services because they had a definite recall data, obtain employment through an exclusive union hiring hall, or other state imposed screen.
6. Reporting to Services. Those profiled claimants who were referred and reported to reemployment services. This information should generally be provided to the agency by the service provider. An individual can be referred to, and report to, more than one service. Therefore, the sum of the categories may equal more than the total number of individuals. If one particular service has components of two or more service categories, the dominate category, as determined by the state, should be used consistently. Counts should not be taken in two categories for a single service. A claimant may be counted in more than one category; however, a claimant can only be counted once in any individual service category during a benefit year regardless on the number of services provided within that distinct category.
 7. Completing Services. Those profiled claimants who were referred to and completed a reemployment service in accordance with their service plan. This information should generally be furnished to the agency by the service provider. Completion implies that the claimant spent the necessary time required by the provider and/or the state to complete the service. Completion does not imply a passing grade. Some services have definite completion times, such as a job search workshop or a specific training course. For other services such as counseling or job referral, the point of completion may not be as obvious. In these latter instances, the state should develop general rules for determining when the service is to be considered as complete and should apply this consistently for purposes of counting completions on the report. Because an individual can be referred to, and therefore complete, more than one service, the sum of the categories may equal more than the total number of individuals. A claimant may be counted in more than one category; however, a claimant can only be counted once in any individual service category during a benefit year regardless on the number of services provided within the distinct category.
 8. Orientation Services. Services that provide the claimant an overview of the programs and services available; the criteria and requirements for program participation and receipt of services; and an understanding of what is required and what is optional. Orientation may be individual or in group sessions. It may provide information on the services available, including other community services, and completing forms.
 9. Assessment Services. Services that evaluate the claimant's employment history, education, interests and skills and that result in the identification of employment goals, barriers to employment and services needed to obtain goals. Assessment services include completion and review of the application;

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- standardized testing; and interviews. Assessment includes joint development with the claimant of an individual Service Plan.
10. Counseling Services. Interactions between appropriate staff and claimants designed to establish and reach realistic employment related goals. Assistance may include support in choosing or changing occupations; making a suitable job adjustment; and addressing personal issues that may limit the claimant's ability to achieve employment related goals. Counseling may be provided individually to the claimant or through group counseling session(s) and may result in a recorded individual Service Plan.
 11. Job Placement Services and Referrals to Employers. Services to facilitate the matching of job seekers and employers by providing the claimant with information on job openings and by bringing to the attention of an employer a claimant who is qualified and available to fill a job opening. Services might include searching job orders, doing customized job development when no suitable job orders are on file, and contacting and scheduling an interview with an employer.
 12. Job Search Workshops or Job Clubs. Services to help claimants carry out a successful job search strategy. The workshop services include organized group activities that provide instructions on resume writing; application preparation; interview skills; using labor market information; networking; developing a job search plan; and following up on job leads. Job club services have the same elements as a job search workshop, but in addition use a structured application of the skills obtained by the claimant in an active job search.
 13. Referral to Education and Training. Services include referral to educational and/or training services. There is no mandatory participation requirement under the WPRS program for these services. Data is captured in this category to provide additional information about the range of services provided to profiled claimants.
 14. Self Employment Program. Participation in the Self Employment Program as authorized under P.L. 103-182 where states have conforming legislation. There is no mandatory participation requirement under the WPRS program for these services. Data is captured in this category to provide additional information about the range of services provided to profiled claimants.

F. Item by Item Instructions

1. Total Profiled. Enter in item A.1., the number of profiled claimants during the period.
2. Number Put in the Selection "Pool/Queue". Enter in item A.2., the number of profiled claimants put in the selection pool/queue.

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3. Number Referred to Services. Enter in item A.3., the number of profiled claimants who were referred to at least one reemployment service. Only count the individual claimant once.
4. Number Exempted from Mandatory Participation. Enter in item A.4. the number of profiled claimants who were exempted from mandatory participation in reemployment.
5. Profiled Claimants Referred and Reporting to Services.

B.1. - Enter in item B.1. the number of profiled claimants who were referred and reported to their first reemployment service. Only count the individual claimant once.

B.2. through B.8. - Enter in each category of service, the number of profiled claimants who were referred to that service. Only count the individual once within a service category.

Because individuals may be referred to and report to more than one service, the sum of B.2. through B.8. will usually be more than item B.1.

6. Profiled Claimants Referred and Completing Services.

C.1. - Enter the number of referred, profiled claimants who completed at least one reemployment service during the report quarter, no matter in which quarter they were profiled or referred.

C.2. through C.8. - Enter in each category of service, the number of those individuals reported in C.1., the number of completions for that category in the report quarter. Only count the individual once within a service category.

Because individuals may be referred to and complete more than one service, the sum of C.2. through C.8. will usually be more than item C.1.