

EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	CLASSIFICATION
	CORRESPONDENCE SYMBOL
	DATE

ADVISORY: UNEMPLOYMENT INSURANCE PROGRAM LETTER NO.

TO: STATE WORKFORCE AGENCIES

FROM: Molly E. Conway
 Acting Assistant Secretary

SUBJECT: Reemployment Service and Eligibility Assessment (RESEA) Annual State Plan

1. **Purpose.** To provide instructions to all State Workforce Agencies on how to complete an annual RESEA State Plan as required by Section 306(e) of the Social Security Act.
2. **Action Requested.** To be considered eligible for RESEA funding for a Fiscal Year, a state must submit an annual state plan that outlines how the state intends to conduct a program of reemployment services and eligibility assessments. State agency administrators are requested to provide information contained in this Unemployment Insurance Program Letter (UIPL) to appropriate staff.
3. **Summary and Background.**

Summary – This UIPL provides general guidance for completion and submission of an RESEA State Plan as required by Section 306(e) of the Social Security Act.

Background- On February 9, 2018, the President signed the Bipartisan Budget Act of 2018, Public Law 115-123 (BBA), which included amendments to the Social Security Act (SSA) that create a permanent authorization for the RESEA program. These RESEA provisions are contained in Section 30206 of the BBA, enacting new Section 306 of the SSA. Section 306(e), SSA requires states submit a state plan as a condition of eligibility to receive RESEA funds for a fiscal year. Specifically, a state must submit a state plan that outlines how the state intends to conduct a program of reemployment services and eligibility assessments by responding to all the required elements included in the State Plan template and further described in this UIPL.

Completed plans that fully address the required elements and are submitted in timely manner will be approved by Secretary. Plans that fail to meet the required elements will be disapproved and the state will be notified of this disapproval within 30 days of the Department’s receipt of the plan. This written notification will describe any portion(s) of the

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plan that was not approved and the reason for the disapproval(s) and provide the state with an opportunity to submit a revised plan.

Approved plans will be incorporated into each state's grant agreement and be used by the Department to support routine grant monitoring and the targeting of technical assistance. The Department will also analyze and summarize the information contained in the state plans to inform future budget requests and respond to requests from Congress, Office of the Inspector General, and other RESEA stakeholders. Portions of the state plans may also be made available to the public through publication on the Department's websites.

The Department will continue to issue annual RESEA operating guidance alerting states of new program requirements or policies, important deadlines, anticipated funding levels, and any other significant information that may impact a states' design and operation of its RESEA program during the Fiscal Year.

4. RESEA State Plan.

A. RESEA Program Design. While developing RESEA state plans, states should pay careful attention to information provided in annual RESEA operating guidance and work to closely align its RESEA program design with the four purposes of RESEA as described in Section 305(b), SSA:

1. To improve employment outcomes of individuals that receive unemployment compensation and to reduce the average duration of receipt of such compensation through employment;
2. To strengthen program integrity and reduce improper payments of unemployment compensation by states through the detections and prevention of such payments to individuals who are not eligible for such compensation;
3. To promote alignment with the broader vision of the Workforce Innovation and Opportunity Act (29 U.S.C. 3101 et seq.) or increased program integration and service delivery for job seekers, including claimants for unemployment compensation; and
4. To establish reemployment services and eligibility assessments as an entry point for individuals receiving unemployment compensation into other workforce system partners.

B. Evidence-based Interventions. In addition to the purposes described above, the RESEA program is intended to expand the use and availability of evidence-based interventions. As part of the state plan submission states must provide information about past and planned evaluations and the evidence-based strategies and interventions that will be conducted. To support states in meeting these requirements, the Department has issued guidance specific to RESEA and required evaluation activities (See UIPL XXX-XXX) and developed a series of webinars, toolkits, and other technical assistance available at www.xxxxxxx.gov [will update links when available.]

C. Elements of an Unemployment Insurance RESEA Grant State Plan:

1. State Name: Enter the name of the State.
2. Name and Title of the State Agency Administrator: Enter the name, address and title of the State Agency Administrator.
3. RESEA Program Lead/ Contact: Enter the name, telephone number and email address of the person who can answer questions about the RESEA program.
4. UI Program Lead/ Contact: Enter the name, telephone number and email address of the person who can answer Questions about the UI aspect of the RESEA program (This person may also be the RESEA Program Lead/Contact).
5. Total Funds from prior RESEA Grants Projected to Carry Over: Enter the total amount of funds from prior RESEA grants projected to carry over. Include expected date for full obligation and expenditure of these remaining funds.
6. Total Proposed RESEA Project Cost: Enter the total amount of funds requested in this grant, which may be up to the limit specified in the annual RESEA operating guidance.
7. Total Service Delivery (Program) Cost: Enter the total amount of funds requested for staff and resources necessary to conduct the RESEAs excluding administrative and evaluation cost.
8. Total Administrative Cost: Enter the total amount of funds requested for program administrative costs. Please include a breakdown of these cost. (This entry includes IT cost).
9. Staff and Administrative Cost for a *Single* Completed Initial RESEA: Enter the staff and administrative amount for a single completed initial RESEA. Please include a narrative describing how the amounts were calculated.
10. Completed Initial RESEA Staffing and Time: Complete the chart to provide additional information about how specific required RESEA activities are staffed, the average time needed and estimated cost.
11. Staff and Administrative Costs for *Subsequent* RESEA: Enter the staff and administrative amount for a subsequent RESEA. (If subsequent RESEAs are not included in your program design, please indicate “No Subsequent”).
12. Completed *Subsequent* RESEA Staffing and Time: Complete the chart to provide additional information about how specific subsequent RESEA activities are staffed, the average time needed and estimated cost.

13. Projected Time for a Single Initial RESEA, Including Paperwork: Enter the total amount of time spent preparing for and conducting a single initial RESEA, including preparation, documentation and other related activities. *This is in addition to information provided in item #10.*
14. Projected Time for the Subsequent RESEA, Including Paperwork: Enter the total amount of time spent preparing for and conducting a single subsequent RESEA, including preparation, documentation and other related activities. *This is in addition to information provided in item #12.*
15. Projected Costs for a Single RESEA for which the Claimant Fails to Report: Enter 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.)*.
16. Total Number of Initial RESEAs to be Scheduled: Enter 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.
17. Total Number of Subsequent RESEAs to be Scheduled: Enter 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.)*
18. Total Number of RESEAs Projected to be Completed: Enter the total number of RESEAs the state will schedule during the grant period for which the claimant will report and participate in a RESEA. Please include break out of initial and subsequent, if applicable.
19. Total Number of RESEAs Projected for which the Claimant Will Fail to Report: Enter the total number of RESEA's the state will schedule during the grant period for which the claimant will fail to report and will not participate in a RESEA. Please include the break out of initial and subsequent, if applicable.
20. Actions Taken to Reduce Number of Claimant's Failing to Report: If the state has taken any actions in the past year and/or plans to carry out any activities under the proposed RESEA program to reduce the number of claimants failing to report, please identify and provide a brief description

Please select all that apply:

- Self-scheduling of appointments: Please select if the state uses the self-scheduling for appointments. Enter the completion date of the actual or projected self-scheduler (mm/yy).

- Automated reminders: Please select if the state uses automated reminders for RESEA appointments. (text messages, e-mail, phone, etc.)
- Restructuring of notifications and other communications: Please select if the state is restructuring notifications and other communications (behavioral insights, plain-language, etc.)
- Other: Please select if the state will pursue an action not included in the above list.

Insert a brief narrative of actions taken or planned: Enter a brief narrative of the actions the state has taken or plan to take.

21. RESEA Availability: Enter the total number of sites where RESEAs will be conducted. If RESEAs are conducted statewide (at least one location in each Workforce Innovation and Opportunity Act (WIOA) workforce development area, please indicate “Statewide”. If RESEAs are provided at limited sites, list the towns/cities or local workforce development areas where RESEA activities will be conducted. If RESEA is not available statewide, Worker Profiling and Reemployment Services (WPRS) must be provided in areas where RESEA is not available.
- Enter the number of sites providing RESEAs.
 - Enter the number of sites providing WPRS.
 - List the RESEA locations if RESEA activities are not statewide.
 - List the WPRS locations if RESEA activities are not.
22. Role of UI Staff: Briefly describe the role played by UI staff in program management. Please note that all eligibility determinations and redeterminations are funded through the regular UI funding for non-monetary determinations and not through the RESEA grant.
23. Selection of RESEA Participants: Describe the state’s methodology for selecting claimants to participate in the RESEA program and at what point the claim series selection are made. If a profiling or statistical model is used, please describe the model including factors used and when the model was last updated. 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. (Description of how claimants are selected)
24. Proper Notification: Provide the mandatory assurance and description of how, individuals selected to participate in RESEA will receive proper notifications regarding the program’s eligibility conditions, requirements and benefits. Proper notifications must be in clear and simple language and include warnings to ensure selected individuals are fully aware of the consequences of noncompliance with the state’s policies related to non-attendance and/or nonfulfillment of UI work search requirements. (Section 306(e)(1)(A)(i), Social Security Act (SSA)).

- Do you assure that proper notification as described in Element (28) will be provided? Please indicate “YES” or “NO”.
- Insert description of notification process and attach template used for notification.

25. Reasonable Scheduling Accommodations: Provide the mandatory assurance and description of how, reasonable scheduling accommodations are made available to individuals selected for RESEA. (Section 306(e)(1)(A)(ii), SSA).

- Do you assure that reasonable scheduling accommodations are available to RESEA participants? Please indicate “YES” or “NO”.
- Insert description of the reasonable scheduling accommodations provided.

26. UI Feedback Loop and Adjudication: Provide the description of the UI feedback loop and adjudication process. 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.

- Provide a brief description regarding the feedback loop from the RESEA provider to the UI system on whether the claimants reported and participated in required activities as directed.
- Provide a brief description of the feedback loop established to refer any UI eligibility issues identified during the RESEA for adjudication.

27. Activities Supporting RESEA’s Statutory Purposes: Provide the mandatory assurance and description of how, the planned RESEA program will conform to the four statutory purposes identified (Section 306(e)(1)(B), SSA).

27(a) **Purpose 1**: To improve employment outcomes of individuals that receive unemployment compensation and to reduce the average duration of receipt of such compensation through unemployment.

- Do you assure that the proposed RESEA program design and planned activities conform to “Purpose 1” as described in element 27(a)? Please indicate “YES” or “NO”.
- Insert description of the specific RESEA program elements and/or activities that support this purpose.

27(b) **Purpose 2**: To strengthen program integrity and reduced improper payments of unemployment compensation by states through the detection and prevention of such payments to individuals who are not eligible for such compensation.

- Do you assure that the proposed RESEA program design and planned activities conform to “Purpose 2” as described in element 27(b)? Please indicate “YES” or “NO”.

- Insert description of the specific RESEA program elements and/or activities that support this purpose.

27(c) **Purpose 3:** To promote alignment with the broader vision of the Workforce Innovation and Opportunity Act (WIOA) (29 U.S.C. 3101 et seq.) of increased program integration and service delivery for job seekers, including claimants for unemployment compensation.

27(d) **Purpose 4:** To establish reemployment service and eligibility assessment as an entry point for individuals receiving unemployment compensation into other workforce system partner programs.

- Do you assure that the proposed RESEA program design and planned activities conform to “Purpose 4” as described in element 27(d)? Please indicate “YES” or “NO”.
- Insert description of the specific RESEA program elements and/or activities that support this purpose.

28. Evidence Based Standards and Evaluation Requirements: Provide the mandatory assurance and description of how, the state’s RESEA program will satisfy the requirement to use grant funds only for interventions and service delivery strategies designed to reduce the number of weeks for which program participants receive unemployment compensation by improving employment outcomes for participants, including employment and earnings. States implement RESEA interventions or service delivery strategies without a high or moderate causal rating must be under evaluation at the time of use. (Section 306(e)(1)(B), SSA).

28(a):

- Do you assure that the state’s RESEA program will satisfy the requirement to use grant funds only for interventions and service delivery strategies designed to reduce the number of weeks for which program participants receive unemployment compensation by improving employment outcomes for participants, including employment and earnings? Please indicate “YES” or “NO”.
- Provide the description of the evidence-based interventions and service delivery strategies the state plans to use to speed reemployment, including specific references to the evidence relied upon.
- Provide the explanation of how such interventions and service delivery strategies are appropriate to the population served.

28(b):

- Do you assure that the RESEA interventions or service delivery strategies used to implement the program without a high or moderate causal rating are under evaluation at the time of use? Please indicate “YES” or “NO”.
- Provide, if applicable, a description of the structure the state plans to use for interventions and service delivery strategies without at least a moderate or

high causal evidence rating, which may include national evaluations conducted by the U.S. Department of labor or by other entities.

28(c): Enter the total amount of funds that will be set-aside to conduct or cause to be conducted evaluations of interventions used in carrying out the RESEA Program. This amount is limited to 10 percent of grant award. (Section 306(d)(2), SSA).

28(d): Provide a description of any reemployment activities and evaluations of reemployment interventions and service delivery strategies conducted in the prior fiscal year and any data collected on the following:

1. The characteristics of program participants;
2. The number of weeks for which program participants received unemployment compensation; and
3. The employment and other outcomes for program participants consistent with state performance accountability measures provided by the state unemployment compensation program and performance outcome measures as defined in section 116(b) of the Workforce Innovation and Opportunity Act (29 U.S.C. 3141(b)).

This information should be sourced from available resources that includes quarterly RESEA and WIOA reports and/or data collected as part of an RESEA focused evaluation.

29: Planned Supplemental Activities if Additional Funding is Available (Participants Served): If the state has capacity and need for funding beyond the provided maximum level identified in Attachment B, please provide the following:

1. Enter the amount of additional funds requested;
2. Enter the number of additional sites, if any that would be served using the increased funds;
3. Enter the estimated number of additional scheduled and completed RESEAs that would be conducted.

29. Planned Supplemental Activities if Additional Funding is Available (Innovation): Please describe, if applicable, any system improvements or innovative service delivery models your state would pursue if additional funds became available. Include both a description of the activities and an estimate of additional funds needed.

- Enter the level of funding needed;
- Enter a description of activities that would be completed;
- Enter the projected impact on the program such as improved no-show rates, additional participants served and improvements to system integrity.

D. Submission Process. States must access required forms and submit applications via www.grants.gov. Specific instructions and deadlines will be included in the annual RESEA operating guidance. For planning purposes, states should anticipate submitting their plans at least four months before the start of each Fiscal Year to allow time for application reviews, technical assistance as needed, and processing of awards.

5. **Inquiries.** Please direct inquiries to the appropriate Regional Office.

6. **References.**

- Sections 303(j) and 306 of the SSA;
- Consolidated Appropriations Act, 2018, Pub. L. No. 115-141;
- Bipartisan Budget Act of 2018, Pub. L. No. 115-123;
- Workforce Innovation and Opportunity Act (WIOA) (Pub. L. 113-128),
- 20 CFR 683.215;
- 2 CFR 200.68 and 200.414;
- Training and Employment Guidance Letter No. 19-14, *Vision for the Workforce System and Initial Implementation of the Workforce Innovation and Opportunity Act*; and
- UIPL No. 14-18, *Unemployment Insurance and the Workforce Innovation and Opportunity Act*.

7. **Attachment(s).**

- Elements of an Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment Grant State Plan