EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	CLASSIFICATION UI RESEA
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ADVISORY: UNEMPLOYMENT INSURANCE PROGRAM LETTER NO. 10-22

TO: STATE WORKFORCE AGENCIES

FROM: ANGELA HANKS AH
Acting Assistant Secretary

SUBJECT: Fiscal Year (FY) 2022 Funding Allotments and Operating Guidance for Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grants

1. **Purpose.** To provide guidelines for the FY 2022 UI RESEA grants and to invite State Workforce Agencies to submit a RESEA State Plan.

2. **Action Requested.** The U.S. Department of Labor's (Department's) Employment and Training Administration (ETA) requests state agency administrators to provide information contained in this Unemployment Insurance Program Letter (UIPL) to appropriate staff. This information should be shared with staff working in the following program areas, as well as other relevant staff: the UI program; workforce programs administered under the Workforce Innovation and Opportunity Act (WIOA), including the Wagner-Peyser Act-funded Employment Service; and workforce information/labor market information programs.

   States requesting funding to continue a current RESEA program or to implement a new RESEA program during FY 2022 must submit a RESEA State Plan. The submission must contain all required information described in this UIPL and be submitted via https://www.grants.gov/ by **Monday, March 7, 2022.**

3. **Summary and Background.**

   a. Summary – This UIPL provides general operating guidance for the RESEA program for FY 2022: (a) definitions for RESEA-specific terms; (b) funding details, including the base-funding formula for state grants, outcome payments, and evaluation set-aside costs; (c) program design, including covered populations, promoting program equity, and a discussion about remote and virtual service delivery; (d) program operations, including the involvement of UI agency staff and performance reporting requirements; (e) evidence-based interventions and evaluation requirements; and (f) the RESEA State Plan submission process.

RESCISSIONS None	EXPIRATION DATE Continuing

This UIPL is published concurrently as a Training and Employment Guidance Letter (TEGL) No. 5-21. The joint UIPL/TEGL reflects the shared responsibilities across UI and workforce programs in conducting RESEA activities. The guidance documents are identical other than non-substantive changes to formatting.

b. Background – Since 2005, the Department and participating state UI agencies have leveraged the voluntary UI Reemployment and Eligibility Assessment (REA) program and its successor, the voluntary RESEA program, to address individual reemployment needs of unemployment compensation (UC) claimants and to prevent and detect UC improper payments. Because there is strong evidence that these types of reemployment programs and service delivery strategies are effective, they remain a high priority for the Department.[1]

The purposes of the RESEA program are identified in Section 306(b) of the Social Security Act (SSA):

(1) To improve employment outcomes of UC recipients and reduce the average duration of UC receipt through employment;

(2) To strengthen program integrity and reduce improper UC payments through the detection and prevention of such payments to ineligible individuals;

(3) To promote the alignment with the broader vision of WIOA of increased program integration and service delivery for job seekers, including UC claimants; and

(4) To establish reemployment services and eligibility assessments as an entry point for UC claimants into other workforce system partner programs.

The Bipartisan Budget Act of 2018, Public Law 115-123 (BBA), enacted on February 9, 2018, included amendments to SSA creating a permanent authorization for the RESEA program. The RESEA provisions are contained in Section 30206 of the BBA, enacting new Section 306 of the SSA. The permanent RESEA program includes phased implementation that spans several years, as explained in UIPL no. 13-21, Section 3.b. Major implementation components are summarized in Attachment V to this UIPL.

The American Rescue Plan Act (ARPA) (Public Law (Pub. L.) 117-2) was enacted on March 11, 2021. Section 9032, ARPA, creates a new Section 2118 of the Coronavirus Aid, Relief, and Economic Security (CARES) Act (Pub. L. 116-136), as amended, and provides for a $2,000,000,000 appropriation for the Secretary of Labor to detect and

[1] USDOL, CLEAR Reemployment Synthesis, November 2018; Abt Associates, November 2019, Evaluation of Impacts of the Reemployment and Eligibility Assessment (REA) Program; IMPAQ International, March 2020, Low-Cost Randomized Control Trial Study of the Nevada Reemployment and Eligibility Assessment (REA) Program. (https://clear.dol.gov/sites/default/files/ResearchSynthesis_Reemployment_0.pdf; https://www.dol.gov/sites/dolgov/files/OASP/evaluation/pdf/REA%20Impact%20Study%20-%20Final%20Report.pdf; and https://osf.io/rja28/)

prevent fraud, to promote equitable access, and to ensure timely payment of benefits to eligible workers with respect to UI programs. Funds made available under this UIPL are provided in addition to the ARPA Fraud Prevention Grant 2021 made available with UIPL No. 22-21, the UI Equity Grant 2021 made available with UIPL No. 23-21, and the UI Tiger Team Grant 2021 made available with UIPL No. 02-22. States are encouraged to leverage these combined resources. See Section 4.c.iii. of this UIPL for additional discussion about promoting program equity within the context of RESEA.

4. Guidance.

a. **Definitions.** To reflect the increased opportunity for innovation provided by the permanently authorized RESEA program, and assist states in conducting RESEA planning and performance reporting, several definitions were introduced in FY 2020 that will continue, unchanged, in FY 2022. These definitions identify minimum levels of service delivery. States are strongly encouraged to integrate a wide range of additional services that can identify and respond to the specific needs of each UC claimant.

Each definition includes information on how the item should be reported on the RESEA State Plan and the ETA 9128 report. See Attachment II for the RESEA State Plan template, as well as further discussion in Section 4.f. of this UIPL. See Employment and Training (ET) Handbook No. 401, 5th Edition for additional information on the ETA 9128, as well as discussion in Section 4.d.v.B. of this UIPL.

i. **Initial RESEA** – The term "initial RESEA" refers to the first meeting between a RESEA service provider and a UC claimant who responded to an official notification of selection and required participation in RESEA services. As described in Section 4.d.ii. of this UIPL, every RESEA participant must be scheduled an initial RESEA.

A. ***Minimum requirements for an initial RESEA.*** The initial RESEA is considered "completed" when, at a minimum, all of the following services have been provided:

(1) A UC eligibility review that is conducted on a one-on-one basis, including review of work search activities (if the work search requirement has not been waived for the claimant) and referral to adjudication if an issue or potential issue(s) is identified;

(2) Customized labor market and career information based on an assessment of the claimant's needs;

(3) Co-enrollment in the Wagner-Peyser Act-funded Employment Service program;

(4) Support, to the extent needed, for the claimant in the development of an individual reemployment plan tailored to the claimant's needs; and

(5) Referral and information provided for additional reemployment services, and other American Job Center services, resources, and trainings (as appropriate).

The above list identifies the minimum requirements for an initial RESEA. States may add additional activities or services as part of their respective service delivery designs. This may include the addition of "subsequent RESEA" sessions (see Section 4.a.ii. of this UIPL). Additional information and requirements on RESEA services are found in Sections 4.c. of this UIPL.

B. ***Reporting instructions for RESEA State Plan.*** Report under Element 18, Total Number of RESEAs Projected to be Completed [see Attachment II of this UIPL]. This element records both the initial and subsequent completed RESEA sessions.

C. ***Reporting instructions for ETA 9128.*** Report under Element 3, Number of RESEAs completed [see Section 4.a.i.A. of this UIPL]

ii. **Subsequent RESEA** – States will determine the extent to which they require any subsequent RESEAs as part of their service delivery model in addition to referrals to reemployment services. The term "subsequent RESEA" refers to any follow-on RESEA meetings.

A. ***Minimum requirements for a subsequent RESEA.*** The subsequent RESEA is considered "completed" when, at a minimum, all of the following services have been provided:

(1) A UC eligibility review that is conducted on a one-on-one basis, including review of work search activities (if such activities have not been waived) and referral to adjudication if an issue or potential issue(s) is identified; and

(2) Review of the claimant's activities to determine if additional assistance is needed to support the claimant's return to suitable work at the earliest possible date. Additionally, if the claimant is required to search for work as a condition of UI eligibility, the state should provide any additional assistance necessary to support the claimant's compliance with the state's work search requirements.

States have the opportunity for significant innovation in their service-delivery design. This includes the extent to which they require subsequent RESEA sessions, how many subsequent RESEAs to provide, and identifying the most effective method in making referrals to additional reemployment services.

B. ***Reporting instructions for RESEA State Plan.*** Report under Element 18, Total Number of RESEAs Projected to be Completed is the number of RESEAs the State plans to complete. This element records both the initial and subsequent completed RESEA sessions.

C. ***Reporting instructions for ETA 9128.*** There is not a designated item on the ETA 9128 to record subsequent RESEA sessions. States must report the scheduled, completed, and failure to report subsequent sessions in the comment section of the ETA 9128 report.

iii. **Reemployment Services** – States must develop processes to refer RESEA participants to reemployment services, including those services provided using RESEA funding, and those provided through other programs. In support of RESEA's goal of greater alignment with WIOA, reemployment services include, but are not limited to, activities identified as career services under Section 134(c)(2), WIOA, and further detailed at 20 CFR 678.430.

Each state will identify the types and quantity of reemployment services provided, but must ensure that its respective RESEA program design and the services provided supplement, rather than supplant, federal, state, and local public funds that would otherwise be expended on reemployment services in the absence of a RESEA program.

Referrals to reemployment services resulting from RESEA are captured on the ETA 9128, elements 4-5, and in each state's RESEA state plan narrative describing service delivery. ETA will also collect additional information via the Workforce Integrated Performance System for claimants referred to the Employment Service program and other WIOA partners by RESEA.

A. ***Reporting instructions for RESEA State Plan.*** Report under the narrative sections describing service delivery and referral processes.

B. ***Reporting instructions for ETA 9128.*** Report under Element 4, Number reporting for reemployment services or training and Element 5, Number reporting for reemployment services. These elements capture reemployment services resulting from RESEA.

iv. **Training** – In the context of RESEA, training includes training services identified under Section 134(c)(3), WIOA, and 20 CFR 680.200, as well as any other training program approved by the state's UI agency. It is expected that training resulting from a RESEA referral will align with the statutory purposes of RESEA by making use of available labor market information, business services, and other resources to directly link the training to a specific job or in-demand occupation. RESEA funds may not be used to support training activities.

A. ***Reporting instructions for RESEA State Plan.*** Training is not reported on the RESEA State Plan.

B. ***Reporting instructions for ETA 9128.*** Report under Element 4, Number reporting for reemployment services or training, and Element 6, Number reporting for training require the number of claimants that report to training as a result of RESEA referral.

C. ***Other important items to note.*** Training activities resulting from RESEA referrals will be reported through the workforce program reporting structures for the training activities to which the claimant is referred.

b. **Funding.** The following section describes: (i) funding availability; (ii) the base-funding formula for state grants; (iii) allowable uses of these state grants; (iv) removal of administrative cost limitations; (v) evaluation set-aside funds; (vi) a note on the average costs of Initial RESEAs and Subsequent RESEAs; and (vii) the period of performance for these state grants. Allowable costs may not exceed the state's formula allocation, as provided in Attachment I.

The awards presented in this UIPL are subject to the availability of federal funds. The amounts identified in Attachment I are based on the appropriated FY 2022 funding level of $250,000,000. The projected funding level is distributed across three funding streams:

- eighty-nine (89) percent ($222,500,000) awarded to states via the base-funding formula (*see Section 4.b.i. of this UIPL*);
- ten (10) percent ($25,000,000) awarded to states for outcome payments (*see Section 306(f)(2), SSA*); and
- one (1) percent ($2,500,000) reserved by the Department to conduct research and provide technical assistance (*see Section 306(f)(3), SSA*).

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.

i. **Base-Funding Formula for State Grants** – The Department began in FY 2021 to determine each state's maximum RESEA base award using a formula allocation based on the state's Insured Unemployment Rate (IUR) and the size of its civilian labor force. The final RESEA allocation formula was published in the *Federal Register* on August 8, 2019 (84 *Fed. Reg*. 39,018).

Attachment I provides projected state-level formula allocations of RESEA base funding. 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.

The formula allocation includes provisions intended to stabilize funding from year to year, and to incentivize the timely expenditure of RESEA funds. These include a hold harmless provision, minimum funding clause, and carry-over threshold.

A. ***Hold harmless.*** In FY 2022, each state will receive no less than an amount equal to at least 96 percent of its FY 2021 allotment.

B. ***Minimum funding.*** No state will receive an amount equal to less than 0.28 percent of the total available funding for FY 2021 RESEA's base funding level or $498,400.

C. ***Carry-over threshold.*** Subject to a temporary modification for FY 2022 and FY 2023 explained below, a state may carry over from its previous year's grant award up to 30 percent of the state's previous year grant award. Amounts in excess of 30 percent would be reduced from the state's subsequent allocation.

D. ***Modifications to FY 2022 formula allocation.*** The Department may change the final allocation methodology in accordance with Section 306(g), SSA, upon providing a 90-day notification to Congress before the change may take effect. As described in Section 6 of UIPL No. 13-21, the Department implemented such a change to suspend the carry-over threshold for FY 2021 funds. This change was implemented to reflect program disruptions, including temporary program suspensions, resulting from COVID-19.

   For FY 2022 and FY 2023, the Department intends to further modify implementation of the 30-percent carry-over threshold. Specifically, the Department is proposing to suspend the 30-percent carry-over limit for FY 2022 grants and to phase in the requirement for FY 2023 grants at the modified level of 60 percent. For all grant awards after FY 2023, the 30-percent limit will be applied. This change is being proposed in response to the COVID-19 pandemic's continuing impact on RESEA operations. Congress was notified of this change on October 25, 2021; it will take effect on January 23, 2022.

ii. **RESEA Outcome Payments.** The Department will award outcome payments to states participating in the RESEA program that, in the previous fiscal year, met or exceeded certain outcome goals. These outcome payments will increase the amount otherwise awarded to a state in its base-funding allocation, in accordance with Section 306(f)(2), SSA. See 86 *Fed. Reg.* 57,856, published on October 19, 2021, for additional details.

iii. **Allowable Use of Funds** – When a state applies for RESEA funding, the state is agreeing to integrate the RESEA program with other workforce partner programs, including services funded under WIOA and the Wagner-Peyser Act, and to co-enroll all RESEA participants into the Employment Service program. RESEA funds must

be used to support states in providing initial RESEAs, subsequent RESEAs (where determined appropriate by the state), and reemployment services (where determined appropriate by the state.

These funds must supplement the level of federal, state, and local public funds that are already expended to provide reemployment services and eligibility assessments to individuals receiving UC. Thus, only reemployment or other service costs that are a direct result of a claimant's participation in the RESEA program may be reimbursed using RESEA funds.

RESEA funds may not supplant UI grant funds devoted to other state UI program enforcement or program eligibility review activities. This includes federal, state, or local funds devoted to providing reemployment services to UC claimants. Moreover, 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). Funding for RESEA state staff may not be obligated for use at a future date, and the obligation may only occur at the time the staff performs services on the project.

iv. **Administrative Cost Limitations** – Beginning in FY 2017, ETA limited RESEA administrative costs to a specific percentage of the each state's annual grant award. These limits were intended to align RESEA with other similarly-sized discretionary grants. FY 2022 RESEA grants are no longer subject to a specific administrative cost limit. The removal of this limit reflects changes to the RESEA program including, among others, its permanent authorization and potential growth in future years. ETA intends for this change to incentivize states to grow their RESEA program by increasing permanent RESEA staffing and supporting other resources necessary to increase RESEA's capacity to serve a larger percentage of UC claimants. ETA will continue to review RESEA state plan submissions and perform routine monitoring to ensure administrative costs are reasonable and limited to supporting RESEA, and state spending is aligned with the approved FY 2022 RESEA state plans.

v. **Evaluation Set-Aside Funds** – Beginning in FY 2023, states must link a percentage of their RESEA funding to evidence-based components with a high or moderate causal rating that show a demonstrated capacity to improve employment and earnings outcomes for program participants. This percentage will incrementally increase through FY 2026. In anticipation of these forthcoming funding constraints, states must engage now in conducting such evaluations to build the necessary evidence to support a successful RESEA program in the future.

To support this forthcoming requirement, Section 306(d), SSA, allows states to use up to 10 percent of their RESEA grant funds (including the base grant and outcome payment amount) to conduct or commission evaluations of interventions and service delivery strategies used in carrying out the RESEA program. If a state finds that the evaluation funding is insufficient to conduct a rigorous evaluation needed to build evidence-based strategies, the state is encouraged to explore multi-year funding

strategies, or collaborate and pool its funds with other states. Additional detail is provided in Section 4.e. of this UIPL. The evaluation costs must be reported quarterly in the comment section of the ETA-9130 Financial Report, which is available at https://www.dol.gov/agencies/eta/grants/management/reporting.

vi. **Average Cost of Initial RESEAs and Subsequent RESEAs** – States have the opportunity to innovate in designing their RESEA programs and the types of service delivery strategies and interventions permitted (see Section 4.e.ii of this UIPL regarding evaluation of such activities). Previous funding limits regarding the average cost of each Initial RESEA and Subsequent RESEA were removed in FY 2020. However, states must continue to report information about these costs in the RESEA State Plan for program management and technical assistance purposes.

A. ***Reporting instructions for RESEA State Plan.*** Report under Element 9, Staff and Administrative Costs for a Single Completed Initial RESEA and 10, Completed Initial RESEA Staffing and Time. If the state has subsequent RESEAs, report under Element 11, Staff and Administrative Costs for Subsequent RESEA and Element 12, Completed Subsequent RESEA Staffing and Time.

B. ***Reporting instructions for ETA 9128.*** Average costs of Initial and Subsequent RESEAs is not reported on the ETA 9128.

vii. **Period of Performance for State Grants** – For operational purposes, states are strongly encouraged to continue designing and operating their RESEA programs based on a calendar year schedule. However, the period of performance for FY 2022 RESEA funds will be January 1, 2022, through September 30, 2023. FY 2022 funding must be obligated by September 30, 2023, and liquidated by December 31, 2023. In the event that a state needs additional time to obligate or liquidate their funds, the state must seek approval to modify its grant request. Section 4.f.iv. of this UIPL provides instructions for requesting grant modifications.

c. **Program Design.** The following section describes: (i) UC claimant populations that are covered by the RESEA program; (ii) the intersection of the RESEA and Worker Profiling and Reemployment Services (WPRS) programs; (iii) promoting program equity; (iv) required RESEA services; (v) remote service delivery and virtual resources; (vi) integration with WIOA, Wagner-Peyser, and other workforce-funded services; and (vii) additional resources to support program implementation.

i. **Covered Populations** – States are strongly encouraged to increase the percentage of UC claimants that are selected for RESEA. Section 306(a), SSA, requires RESEA-funded activities to be targeted to claimants determined most likely to exhaust UC in accordance with Section 303(j), SSA. Refer to Section 4.c.ii. of this UIPL for additional details on the population of UC claimants identified in accordance with Section 303(j), SSA.

Since FY 2019, the Department's appropriation acts have contained a provision providing states discretion in identifying additional claimant populations among recipients of regular UC, thus removing the requirement that states target only those UC claimants determined most likely to exhaust UC benefits under Section 303(j), SSA. It is anticipated that this flexibility will be continued during FY 2022.

Historically, states excluded from RESEA selection UC claimants who have a definite return-to-work date, who secure work only through a union hiring hall, or who are in approved training. These blanket exclusions were based on the assumption that participation in the RESEA program would not reduce the duration of UC recipiency for such individuals. Beginning in FY 2020 and continuing into FY 2022, states are encouraged to consider expanding RESEA services to these populations if doing so aligns with the four purposes of the RESEA program identified in Section 3.b. of this UIPL.

If a state later identifies capacity to expand RESEA services beyond the target population identified in the approved RESEA State Plan process, the state may request a modification to its program to include additional populations of recipients of regular UC. Section 4.f.iv. of this UIPL provides instructions for requesting grant modifications.

Note: Individuals receiving extended benefits (EB) or payments under temporary federal UC programs are not eligible for RESEA services. As described in Section 7.b. of UIPL No. 13-21 (also issued as TEGL 12-20), states should continue to leverage partnerships across available workforce partners to ensure other reemployment assistance is made available to recipients and exhaustees of these temporary programs.

ii. **Intersection of the RESEA and Worker Profiling and Reemployment Services (WPRS) Programs** – Section 303(j), SSA, requires that states evaluate all new UC claimants to identify those who are most likely to exhaust UC, refer such individuals to reemployment services, and collect follow-up information related to employment outcomes for these individuals; this is known as the WPRS program. See UIPL No. 41-94 for additional details on WPRS program requirements.

A state that is selecting UC claimants identified as most likely to exhaust UC in accordance with Section 303(j), SSA, for participation in the RESEA program will have met the WPRS requirements and does not need to provide a separate WPRS program. Additionally, a state that includes these UC claimants identified in accordance with Section 303(j), SSA, along with other UC claimant populations will also have met the WPRS requirements if both of the following conditions are satisfied: (1) claimants selected in accordance with Section 303(j), SSA, are provided priority over the other populations; and (2) RESEA services are provided statewide.

States that select UC claimants for participation in the RESEA program in accordance with Section 303(j), SSA, but do not provide RESEA statewide, must continue to

provide a WPRS program in areas not served by RESEA. Additionally, states that do not serve individuals identified as most likely to exhaust in accordance with Section 303(j), SSA, as part of their RESEA program must operate a separate WPRS program to serve these claimants. States operating separate WPRS programs under Section 303(j), SSA, may not use funds appropriated for RESEA activities to administer a WPRS program.

A. ***Resources to strengthen state data analytics in identifying UC claimants who are most likely to exhaust UC.*** Having a strong data analytics model to identify claimants filing new UC claims who are most likely to exhaust UC from that claim is important so that states can maximize their resources in serving those who would most likely benefit from this investment. States seeking assistance with this data analytics model may reference Training and Employment Notice (TEN) No. 37-15, or contact OUI.RESEA@dol.gov.

B. ***Reporting instructions for RESEA State Plan.*** Element 23, Selection of RESEA Participants [see Attachment II of this UIPL] collects information about the profiling models.

iii. **Promoting Program Equity.** As states consider RESEA program design, equitable access to UC must be at the forefront of the decision-making process, in line with Executive Order 13985, "Advancing Racial Equity and Support for Underserved Communities Through the Federal Government," issued in January 2021, and UIPL Nos. 02-16 and 02-16, Change 1. At the most fundamental level, equity within the UI program means the provision of UC to eligible workers, including workers who belong to historically underserved communities, in a timely and fair manner, with an application process that is readily accessible to all workers. These historically underserved communities include, but are not limited to, workers who are low paid, Black, Hispanic/Latinx, American Indians, Alaska Native, Asian Americans, Native Hawaiians, Pacific Islanders, Indigenous persons, other persons of color, individuals with disabilities, members of religious minorities, LGBTQI+ persons, individuals with limited English proficiency, women, formerly incarcerated workers, and individuals living in rural areas.

As stated in Section 8.c.(1) of UIPL No. 41-94, when identifying UC claimants that are most likely to exhaust UC, states must not produce results that discriminate in violation of any federal or state law or which otherwise unfairly favor some claimants over those similarly situated with respect to their need for reemployment services. The Department has advised states that they may not use the following characteristics in their selection process: age, race, ethnic group, sex, color, national origin, disability, religion, political affiliation or belief, and citizenship.

Within the context of the RESEA program, ensuring equitable access includes, but is not limited to: (1) providing clear and accessible alternatives to digital tools; (2) providing reasonable accommodations, modifications, and auxiliary aids and services, where appropriate, and ensuring that communications with persons with disabilities

are as effective as communications with others; (3) ensuring all communications are linguistically and culturally appropriate and that LEP individuals are effectively informed and able to participate in the RESEA program; and (4) ensuring that data is available to understand the impact, if any, of RESEA service delivery on the equitable access to UC for all eligible individuals.

Some questions that states may consider in this effort include:

- What logistical supports are needed to best serve individuals selected for RESEA participation in rural and urban communities?
- Are there technology concerns that impact access?
- Has the state regularly updated its selection process to reflect current economic conditions and other factors?
- Are notifications and other information about RESEA and other reemployment services clear, accessible, translated into appropriate languages to effectively serve RESEA participants, and widely distributed?

iv. **Required RESEA Services** – Two of the primary goals for the RESEA program are to reduce duration of UC receipt through improved employment outcomes and ensure that individuals claiming UC continue to meet eligibility requirements. To support these goals, every RESEA participant must be scheduled for an initial RESEA. States may choose to also include a combination of subsequent RESEAs and reemployment services. Initial RESEA, subsequent RESEA, and reemployment services are defined in Section 4.a. of this UIPL.

v. **Remote Service Delivery and Virtual Resources** – Although the Department encourages in-person services where safety and other circumstances allow, as described in Section 7.e. of UIPL No. 13-21, states may continue to conduct RESEA remotely, including the initial RESEA and subsequent RESEA, using person-to-person technologies such as Skype, Zoom, FaceTime, or other similar applications. The level and timeliness of these remote services must be comparable to the assistance staff would have provided in-person. In instances where in-person or person-to-person technologies are not available, states may also continue to provide RESEA services via telephone.

States are also encouraged to leverage virtual service delivery tools that allow portions of the RESEA sessions to be automated and accessed through self-service methods. Examples of virtual service tools include pre-recorded orientations to American Job Center services, as well as online registration and assessment tools that assist a UC claimant in preparing for the initial RESEA. These virtual service delivery tools should be designed to increase RESEA program efficiencies, including: (1) enhance the participants' experience with RESEA services; (2) complement the resources and services provided during the initial RESEA or subsequent RESEA; and (3) massively expand the number of UC claimants who can be served under the RESEA program.

States are invited to share promising practices related to remote and virtual RESEA services by contacting OUI.RESEA@dol.gov.

vi. **Integration with WIOA, Employment Service, and Other Workforce-Funded Service**s – One of the statutory goals of the RESEA program is to serve as an entry point for individuals receiving UC into other workforce system partner programs. State RESEA programs must support this goal by ensuring that the RESEA program is integrated into the workforce system broadly so as to enable RESEA participants access to the full range of services offered through the state's one-stop delivery system. States are particularly encouraged to consider how RESEA can be integrated with other programs serving dislocated workers including, but not limited to, the Employment Service program (co-enrollment is required with the Employment Service program as described in Section 4.d.iv. of this UIPL), Trade Adjustment Assistance, Dislocated Worker Grants, Registered Apprenticeship, Jobs for Veterans State Grants, and the WIOA Adult and Dislocated Worker programs.

vii. **Additional Resources to Support Program Implementation** – States may leverage the following tools as they assess their current program design and identify possible enhancements.

A. ***Quick Start Action Plan (QSAP).*** This tool reviews the current status of a state's RESEA operations and strategic planning. Each section of the guide is an indicator that helps states self-assess where their RESEA implementation is in relation to an integrated workforce system. Therefore, states are encouraged to use this guide to strengthen their RESEA programs and in meeting the program goals.

The QSAP can be found on the WorkforceGPS website at: https://rc.workforcegps.org/resources/2021/05/28/13/29/RESEA_QSAP.

B. ***Existing remote and virtual services.*** Internet-based virtual tools help optimize customer access to services and resources. Additionally, providing customers instant access and self-services supports increased program efficiency by reducing the number of calls, emails or in-person visits.

The following is a link to a WorkforceGPS webpage on Service Delivery: Virtual Tools https://www.workforcegps.org/resources/2020/01/16/13/21/service-delivery-virtual-tools.

d. **Program Operations.** The following section describes: (i) the required engagement of UI staff in RESEA program operations; (ii) claimant participation in RESEA activities and rescheduling; (iii) the communication feedback loop with UI staff for adjudication activities; (iv) the requirement that claimants be co-enrolled in the Employment Service program; and (v) state performance reporting.

i. **Required Engagement of UI Staff** – UI staff must be engaged in the administration of the RESEA program. This includes, but is not limited to:

- Participating in the planning, administration, and oversight of the RESEA program;
- Providing all appropriate staff training on UC eligibility requirements;
- Ensuring accurate data are provided in the RESEA-required reports; and
- Conducting eligibility determinations and redeterminations resulting from issues identified through RESEA participation.

ii. **Claimant Participation in RESEA Activities and Rescheduling** – Once a state notifies claimants of their selection to participate in the RESEA program, participation is a mandatory condition of UC eligibility. This includes: 1) the initial RESEA; 2) any subsequent RESEAs; and 3) any reemployment services to which they are referred.

A claimant who contacts the appropriate agency before the RESEA appointment and requests to change the scheduled RESEA date or time for good reason, such as scheduled job interviews, should be accommodated within reason. Many states are developing or have already implemented self-scheduling of RESEA sessions. The Department strongly encourages states to use this option due to its efficiency and proven ability to increase program participation and decrease no-show rates. States utilizing this strategy need to develop policies that prevent excessive rescheduling that substantially delays or allows a claimant to circumvent participation in RESEA activities. Additionally, as discussed in Section 4.c.iv. of this UIPL and to the extent possible, states should assess if scheduling challenges, such as excessive rescheduling, are related to issues concerning equitable access and outcomes.
To mitigate instances of excessive rescheduling, some state UC laws provide that UC be denied for failure to report as directed until the individual actually reports. The Department issued UIPL No. 01-16 to remind states of the requirements of federal law pertaining to protecting individual rights in state procedures. As discussed in Section 4.h of UIPL No. 01-16: "If an individual fails to report as required, the state may apply (subject to any applicable procedural protections for individuals) its law's provisions on ineligibility for UC due to failure to report until the individual complies with the reporting requirement." States are advised that an individual may not be found ineligible for UC for failure to report for any week in which no services were available.

iii. **UC Feedback Loop and Adjudication** – RESEA staff must refer any failures to report or participate in any aspect of the RESEA program to the UI agency for adjudication under the applicable state law. This feedback loop should also be used to report potential eligibility issues.

iv. **Required Co-Enrollment in Employment Service Program** – The Department requires that RESEA participants be co-enrolled in the Wagner-Peyser Act-funded Employment Service program as part of the initial RESEA. This is to promote the

integrated service delivery described in Section 4.c.vi. of this UIPL. This practice also supports capturing RESEA program outcome information through the Workforce Integrated Performance System (WIPS) to streamline WIOA and Wagner-Peyser Act reporting.

As part of this enrollment, each RESEA participant must be appropriately identified in Employment Service case management and performance reporting systems as "referred by RESEA." 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.

v. **Performance Reporting** – There are three mechanisms under which RESEA performance will be monitored. This includes RESEA performance reporting measures obtained from the WIPS, the state's submission of their quarterly ETA 9128 and ETA 9129 reports, and the state's Quarterly Narrative Progress Report (ETA 9178).

A. ***RESEA Performance Reporting.*** To support employment goals for UC claimants and the vision of WIOA for a set of primary indicators of performance to be used across workforce development programs, the following measures will assess state performance related to employment and earnings.

(1) Reemployment rate in the 2nd quarter after program exit quarter for RESEA program participants;
(2) Median earnings in the 2nd quarter after program exit quarter for RESEA participants; and
(3) Reemployment rate for all UC-eligible participants in the 2nd quarter after program exit quarter.

The data to support these performance measures will be derived from the WIPS. There is no additional reporting burden to states. See UIPL No. 07-21 for additional details.

B. ***ETA 9128 and ETA 9129.*** Performance reporting for FY 2022 consists of the ETA 9128, Reemployment and Eligibility Assessment Workload, and ETA 9129, Reemployment and Eligibility Assessments Outcomes; Office of Management and Budget (OMB) Control No. 1205-0456, expiration date 9/30/2022. All RESEA-related performance reports are due on the 20th day of the second month following the end of the reporting quarter.

A state UI staff member must review these reports for accuracy each calendar quarter and prior to submission, in addition to being reviewed by the RESEA program lead (if a different staff member).

Additional information about these reports is provided in Employment and Training (ET) Handbook No. 401, 5th Edition. The Department is currently soliciting comments concerning a proposed revision to these reports; see notice published in the *Federal Register* on November 23, 2021 (86 *Fed. Reg.* 66,593).

C. ***Quarterly Narrative Progress Report (ETA 9178).*** States must complete the Quarterly Narrative Progress Report (ETA 9178); OMB Control No. 1205-0517, expiration date 7/31/2024. States must submit the ETA 9178 to their ETA Regional Office no later than 45 days after the end of each reporting quarter. Additional information about the ETA 9178 is provided in UIPL No. 05-19.

e. **Evidence-Based Interventions and Strategies and Evaluation Requirements.** Interventions and service delivery strategies funded by RESEA grant funds must demonstrate the ability to reduce the average number of weeks participants receive UC by improving employment outcomes, as set out in Section 306(c)(1), SSA. Beginning in FY 2023, a growing percentage of RESEA funds may be used to support only those interventions and service delivery strategies with a "high" or "moderate" causal evidence rating.

This section discusses: (i) a tiered evidence approach; (ii) expectations for conducting evaluations in FY 2022 and future years; (iii) opportunities for states to partner on impact evaluations; (iv) leveraging evidence across states; and (v) additional technical assistance available to states.

i. **Tiered Evidence Approach** – The phrase "tiered evidence" refers to a policy tool that allows agencies to tie funding to strategies with evidence, to encourage the use of interventions or service delivery strategies that have strong evidence of success, and to test promising new interventions and service-delivery strategies. Section 306(c), SSA, includes this tiered evidence approach for the RESEA.

The goal of this approach is to ensure that each state: (1) employs RESEA interventions and service delivery strategies that, based on rigorous evaluations, are known to reduce UC duration through improved employment outcomes; and (2) evaluates its RESEA interventions and service delivery strategies to determine their effectiveness in achieving these goals.

ETA provided preliminary guidance with regard to the evidence-based strategies and evaluation provisions in UIPL No. 07-19. Building on this, UIPL No. 01-20 (also issued as TEGL No. 06-19) provided further information on the RESEA evidence-based requirements including:

- a description of how the Department rates a study's evidence quality through its Clearinghouse for Labor Evaluation and Research (CLEAR);

- the standards for rating intervention effectiveness and relevant interventions that currently meet those standards;
- RESEA components that are in need of expanded evidence;
- and potential evaluation approaches and strategies for carrying out evaluations.

These documents also identify resources on existing evidence and can help states initiate rigorous high quality evaluations.

ii. **Evaluation and Evidence-Base Expectations for FYs 2022-2027** – States must align their FY 2022 RESEA State Plans and program design with the evaluation and evidence-based requirements and guidance identified in UIPL No. 01-20.

A. ***Existing evidence.*** The Department currently allows states to meet the requirements of Section 306(c), SSA, by applying evidence that demonstrated the effectiveness of three intervention categories: the REA program, Job Search Assistance (JSA) Services, and Profiling interventions.[2] These categories are discussed in more detail in Section 9 of UIPL No. 01-20.

The REA program was replaced by the RESEA program in FY 2015 (see UIPL No. 13-15). Permission for states to rely on the REA intervention category (and the related causal evidence that supports its "high" effectiveness rating) to meet RESEA requirements is temporary and will be phased out and replaced by new, more precise intervention categories as more RESEA evidence becomes available. This phasing-out reflects structural differences between the REA and RESEA programs and the inherently evolving nature of an evidence-based culture, where programs continually adapt based on available evidence to improve program results. The timeframe for the final phasing-out of the REA intervention category will be announced in future guidance.

B. ***Building future evidence to support whole program service delivery and components of service delivery.*** RESEA program components that were not evaluated in REA studies or other research should be under evaluation to develop the evidence base necessary to satisfy future tiered-evidence program requirements. To meet future evidence-based requirements, all states are expected to continue to conduct the RESEA evaluations that were implemented during FY 2021.[3]

[2] Currently, these are the three interventions CLEAR has found to have achieved "high" or "moderate" intervention effectiveness ratings. In recent state plans, most states have used the REA intervention and its evidence to show their RESEA programs are evidence-based.

[3] Currently, the Department uses a vote-counting strategy to rate RESEA intervention effectiveness. Criteria for RESEA intervention effectiveness ratings are described in UIPL No. 01-20 (also published as TEGL No. 06-19), and CLEAR's technical guidelines for operationalizing rating RESEA intervention effectiveness may be found here: https://clear.dol.gov/sites/default/files/CLEAR%20guidelines%20on%20effectiveness%20of%20reemployment%20interventions_final_Jan%202021.docx.pdf.

To date, the majority of states have reported that they are pursuing whole program evaluations of RESEA. The Department recognizes the value of whole program evaluations and supports state's ongoing efforts. Additionally, causal evidence on RESEA program components will be necessary to meet future RESEA requirements. Moving forward, the Department strongly encourages states to develop new or modify current evaluations to help build causal evidence on specific RESEA components.

C. ***Forthcoming funding requirements.*** Beginning in FY 2023, states must devote at least 25 percentage of their RESEA funds for interventions with a high or moderate causal evidence rating that shows demonstrated capacity to improve employment and earnings outcomes for program participants. The minimum funding level is 25 percent during FY 2023 and FY 2024; increasing to 40 percent during FY 2025 and 2026; and increasing to 50 percent after FY 2026. The chart below provides a tentative implementation timetable for the available RESEA evidence base.

Tentative Implementation Timetable for RESEA Evidence-base by Fiscal Year	
Fiscal Years	**Required Percentage of RESEA Funds Dedicated to Program Components with a High or Moderate Causal Evidence Rating**
FY 2022	None
FYs 2023-2024	25% of RESEA award
FYs 2025-2026	40% of RESEA award
After FY 2026	50% of RESEA award

iii. **State Partnering on Impact Evaluations** – As part of evaluation planning and implementation, states are strongly encouraged to explore potential evaluation partnerships with other states toward the goal of conducting a single evaluation that would answer research questions and build evidence on RESEA programs for all involved states. These partnerships could allow for increased efficiencies, pooling of resources, and larger sample sizes necessary to collect evidence at a program component level. For assistance locating potential partner states, please contact DOL's RESEA Evaluation Technical Assistance Help Line at RESEA@abtassoc.com.

iv. **Evaluation Technical Assistance** – Specialized RESEA evaluation technical assistance remains available, and states are encouraged to submit any technical assistance requests to the Department's RESEA Evaluation TA Help Line at RESEA@abtassoc.com. An archive of previous RESEA evaluation technical assistance webinars and related resources is maintained on WorkforceGPS at (https://rc.workforcegps.org/resources/2019/07/30/17/32/RESEA_Evaluation_Evidence_Resources) and on the Clearinghouse for Labor Evaluation and Research

(CLEAR) RESEA Topic Area Tab (https://clear.dol.gov/reemployment-services-and-eligibility-assessments-resea).

A. ***Role of the Department's Clearinghouse.*** As described in Section 6 of UIPL No. 01-20, the Department will leverage CLEAR to identify evaluations in the evidence base that are relevant to the RESEA program and determine which impact studies have high, moderate, or low causal evidence ratings. As more causal evidence becomes available, it is the Department's intent that CLEAR's RESEA intervention categories will be updated and become more precise over time.

To facilitate this evolution, the Department anticipates that CLEAR will conduct periodic systematic evidence reviews to find, summarize, and rate reemployment studies and related RESEA interventions. In order to do this, it is important that states and their independent evaluators make RESEA program evaluation reports publicly available.[4] States and their evaluators are invited to notify CLEAR when and where new studies are publicly posted, by contacting CLEAR at https://clear.dol.gov/about/contact-us.

B. ***Recommendations for Consistent Evaluation Reports***
To make evaluation findings more useful for program operators and policy makers, it is important that states' RESEA program evaluation reports include well-documented information about the interventions tested, analysis performed, and other necessary contextual and statistical information about the program and evaluation. The Department's recommendations for consistent evaluation study reporting are available at https://rc.workforcegps.org/resources/2016/10/03/06/29/~/link.aspx?_id=472F42AAE3FD4A159CBCC374AAA36CCB&_z=z

f. **RESEA State Plan Submission.** This section discusses: (i) the RESEA State Plan package; (ii) what happens with disapproved State Plans; (iii) available technical assistance during the grant submission process; and (iv) the process for requesting a grant modification.

Each state must submit a plan that outlines how the state intends to conduct its RESEA program, as required under Section 306(e), SSA, to receive RESEA grant funds. Plans must be submitted via https://www.grants.gov/ by **Monday, March 7, 2022**.

[4] At a minimum, states should receive final reports from their independent evaluators. States may also wish to receive and publicly post interim reports during the course of their program evaluations. Interim reports can provide useful information for states needing to use that evidence to inform ongoing program decisions, and add timely evidence to the growing RESEA evidence base. States and their evaluators may determine the frequency of reporting that is appropriate and feasible.

As part of the timely submission and review process, each state must provide all required and correctly completed RESEA State Plan documents as described below. Incomplete submissions will be returned for correction without review.

i. **RESEA State Plan Package.** Each state's submission must consist of the following documents:

A. ***RESEA State Plan Template:*** This refers to the Adobe PDF, electronic fillable version with all elements and sections fully answered and completed. Note that when providing answers to each component, be sure to include details and contextual information regarding how the state modified its RESEA programs during FY 2021 and the planned activities for FY 2022. This may include, but is not limited to, information about unplanned RESEA changes, and any impact those changes had or continue to have on the performance, staffing, and operations of the state's RESEA program. Moreover, if any FY 2021 RESEA activities were modified or funding expenditures delayed, please provide a timeline of resumed activity. Likewise, states are to provide a timeline for any proposed modification of activities to occur in the FY 2022.

Attachment II to this UIPL, the RESEA State Plan template (OMB Control No. 1205-0538, expiration date 10/31/2022) can be found on https://www.grants.gov/ and ETA's Regional Offices.

B. **SF-424:** Application for Federal Assistance (OMB Control No. 4040-0004, expiration date 12/31/2022). See Attachment IV to this UIPL for instructions and guidance on how to complete the form.

Additionally, on the SF-424, each state must enter: 1) "UIPL 10-22" into "Section #12 Funding Opportunity Number" of the application; and 2) the amount under "Section #18 Estimated Funding" must not exceed the amount set out for the state in Attachment I to this UIPL

Note that the budget numbers listed on the SF-424 must match those on the State Plan template and SF-424A. States may be required to submit a revised Budget Narrative, SF-424, and SF-424A if the final award amount is different from the initial request.

C. **SF-424A:** Budget Information Non-Construction Programs (OMB Control No. 4040-0006, expiration date 02/28/2022). See Attachment IV to this UIPL for instructions.

Note that the budget numbers listed on the SF-424A must match those on the State Plan template and SF-424. States may be required to submit a revised Budget Narrative, SF-424, and SF-424A if the final award amount is different from the initial request.

D. **Indirect Costs**: If the state is including indirect costs in the budget, it must include either: (a) The approved indirect cost rate with a copy of the Negotiated Indirect Cost Rate Agreement (NICRA), a description of the base used to calculate indirect costs along with the amount of the base, and the total indirect costs requested; OR (b) For those applicant states that meet the requirements to use the 10 percent *de minimis* rate as described in 2 CFR 200.414(f), a description of the modified total direct cost base (see 2 CFR 200.68 for definition) used in the calculation along with the amount of the base, and the total indirect costs requested based on the 10 percent *de minimis* rate.

The Department's information on NICRA is available at the following link: https://www.dol.gov/agencies/oasam/centers-offices/office-of-the-senior-procurement-executive/cost-price-determination-division.

ii. **Disapproved RESEA State Plans.** Plans that do not meet the required elements will not be approved for RESEA grant funds. States with unapproved plans will receive notification within 30 days of the Department's receipt of the plan, and be given the opportunity to submit a revised plan.

The revised plan is to address the deficient items provided in the written disapproval notification, which will describe any portion(s) of the plan that was not approved, the reason for the disapproval(s), and instructions for submitting a revised plan.

iii. **Technical Assistance with the Grant Submission Process.** The website http://www.grants.gov provides additional general information about grant requirements and the application process, including standard terms and conditions.

For technical issues encountered during application submission, applicants may call 800-518- 4726 or 606-545-5035 to speak to a Customer Support Representative or email support@grants.gov. The Contact Center is open 24 hours a day, seven days a week, but closed on federal holidays.

Attachment III to this UIPL provides more detailed instructions about submitting an application through https://www.grants.gov/.

iv. **Grant Modification Requests.** States that need to modify their approved grant activities during their grant's period of performance may request a modification to their current grant.

States must consult with their respective ETA Federal Project Officer (FPO) to determine the appropriate type of modification, the applicable timeline, and other requirements. Completed modification requests must be sent to the appropriate ETA Regional Office and OUI.RESEA@dol.gov.

Generally, modification requests must provide the following information and should be submitted 30 days prior to the requested change taking effect:

- Request for modification on grantee letterhead, dated and signed by authorized representative;
- Subject line of letter includes: modification type, grant name, grant number;
- Submission of revised statement of work, which outlines request and provides an explanation/detail for each request;
- New obligation deadline for funds, if applicable; and
- Signed by the authorized representative that is on the grant.

In the event that a state is requesting additional funding, such as a Supplemental Budget Request, then the modification request must also include a revised SF 424, SF 424A, and updated budget narrative. The FPO will identify any additional requirements specific to the state's requested modification.

5. **Inquiries**. Please direct inquiries to the appropriate ETA Regional Office and copy OUI.RESEA@dol.gov. For technical questions about evaluations please contact RESEA@abtassoc.com and for questions about grants.gov to support@grants.gov.

6. **References.**

- Sections 303(j) and 306, SSA, 42 U.S.C. 503(j) and 506;
- Bipartisan Budget Act of 2018, enacted February 9, 2018, Pub. L. 115-123;
- Workforce Innovation and Opportunity Act (WIOA), enacted July 22, 2014, Pub. L. 113-128;
- 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards;
- 20 CFR Part 678, Description of the One-Stop Delivery System under Title I of the Workforce Innovation and Opportunity Act;
- 20 CFR Part 680, Adult and Dislocated Worker Activities under Title I of the Workforce Innovation and Opportunity Act;
- 20 CFR Part 683, Administrative Provisions under Title I of the Workforce Innovation and Opportunity Act;
- 86 Fed. Reg. 57856, Notice Announcing the Methodology to Distribute Outcome Payments to States for the Unemployment Insurance (UI) Reemployment Services and Eligibility Assessments (RESEA) Program in Accordance with Title III, Section 306(f)(2) of the Social Security Act (SSA), published October 19, 2021;
- 84 Fed. Reg. 39018, Allocating Grants to States for Reemployment Services and Eligibility Assessments (RESEA) in Accordance with Title III, Section 306 of the Social Security Act (SSA), published August 8, 2019;
- Executive Order 13985, 86 Fed. Reg. 7009, Advancing Racial Equity and Support for Underserved Communities through the Federal Government, issued January 20, 2021;

- UIPL No. 02-22, *Grant Opportunity to Support States Following a Consultative Assessment for Fraud Detection and Prevention, Promoting Equitable Access, and Ensuring the Timely Payment of Benefits, including Backlog Reduction, for all Unemployment Compensation (UC) Programs*, issued November 2, 2021, https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=6683;
- UIPL No. 23-21 Change 1, *Extension of Time to Submit Request for Funding under Grant Opportunity Announced in Unemployment Insurance Program Letter (UIPL) No. 23-21*, issued November 1, 2021, https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=4662;
- UIPL No. 23-21, *Grant Opportunity for Promoting Equitable Access to Unemployment Compensation (UC) Programs*, issued August 17, 2021, https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=7400;
- UIPL No. 22-21, Change 1, *Extension of Time to Submit Request for Funding under Grant Opportunity Announced in Unemployment Insurance Program Letter (UIPL) No. 22-21*, issued September 17, 2021, https://wdr.doleta.gov/directives/corr_doc.cfm?docn=5369;
- UIPL No. 22-21, *Grant Opportunity to Support States with Fraud Detection and Prevention, Including Identity Verification and Overpayment Recovery Activities, in All Unemployment Compensation (UC) Programs*, issued August 11, 2021, https://wdr.doleta.gov/directives/corr_doc.cfm?docn=4240;
- UIPL No. 13-21/ TEGL No. 12-20, *Fiscal Year (FY) 2021 Funding Allotments and Operating Guidance for Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grants*, issued January 19, 2021, https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=6686;
- UIPL No. 07-21, *Performance Measures for Reemployment Services and Eligibility Assessments (RESEA) and Unemployment Insurance (UI) Participants*, issued December 17, 2020, https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3854;
- UIPL No. 01-20/TEGL No. 06-19, *Expectations for States Implementing the Reemployment Service and Eligibility Assessment (RESEA) Program Requirements for Conducting Evaluations and Building Program Evidence*, issued October 31, 2019, https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=6691;
- UIPL No. 07-19, *Fiscal Year (FY) 2019 Funding Allotments and Operating Guidance for Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grants*, issued January 11, 2019, https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=8397;
- UIPL No. 05-19, *Form ETA 9178 for Employment and Training Supplemental Grant Reporting*, issued December 19, 2018, https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=4071;
- UIPL No. 02-16 Change 1, *State Responsibilities for Ensuring Access to Unemployment Insurance Benefits, Services, and Information*, issued May 11, 2020, https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5491;
- UIPL No. 02-16, *State Responsibilities for Ensuring Access to Unemployment Insurance Benefits*, issued October 1, 2015, https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=4233;

- UIPL No. 01-16, Change 1, *Federal Requirements to Protect Claimant Rights in State Unemployment Compensation Overpayment Prevention and Recovery Procedures – Question and Answers*, issued January 13, 2017, https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=7706;
- UIPL No. 01-16, *Federal Requirements to Protect Individual Rights in State Unemployment Compensation Overpayment Prevention and Recovery Procedures*, issued October 1, 2015, https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5763;
- UIPL No. 13-15, *Fiscal Year (FY) 2015 Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grants*, issued March 27, 2015, https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=4482;
- UIPL No. 41-94, *Unemployment Insurance Program Requirements for the Worker Profiling and Reemployment Services System*, issued August 16, 1994, https://oui.doleta.gov/dmstree/uipl/uipl94/uipl_4194.htm;
- TEGL No. 20-19, *Revised ETA-9130 Financial Report, Instructions, and Additional Guidance*, issued April 29, 2020, https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5804;
- ET Handbook No. 401, 5th Edition, *Revised ET Handbook No. 401, Unemployment Insurance Reports Handbook*, issued August 16, 2017, https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=7774;
- TEN No. 37-15, *Availability of Assistance Building Profiling Models to Identify Unemployment Insurance Claimants Most Likely to Exhaust Benefits*, issued June 3, 2016, https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=4113;
- *Reemployment Services and Eligibility Assessments (RESEA): Promising Reemployment Assistance Interventions*, published May 3, 2021, available at https://rc.workforcegps.org/resources/2016/10/03/06/29/~//media/F0F359D1000345A99FCCB91EF934D2F1.ashx;
- *Guidelines on Effectiveness of RESEA Interventions*, published January 2021, available at https://clear.dol.gov/sites/default/files/CLEAR%20guidelines%20on%20effectiveness%20of%20reemployment%20interventions_final_Jan%202021.docx.pdf;
- *Reemployment Services and Eligibility Assessment (RESEA) Evaluation Toolkit*, available at https://d2leuf3vilid4d.cloudfront.net/-/media/0CA5268944284F3DB41E6DC92A313C2E.ashx?rev=12CE61A8975C28F1A9FBBADDF5F035F1;
- *Low-Cost Randomized Control Trial Study of the Nevada Reemployment and Eligibility Assessment (REA) Program*, published March 2020, available at https://osf.io/rja28/;
- *Evaluation of Impacts of the Reemployment and Eligibility Assessment (REA) Program*, published November 2019, available at https://www.dol.gov/sites/dolgov/files/OASP/evaluation/pdf/REA%20Impact%20Study%20-%20Final%20Report.pdf;
- Clearinghouse for Labor Evaluation and Research (CLEAR) RESEA Topic Area Tab, available at https://clear.dol.gov/reemployment-services-and-eligibility-assessments-resea;

- Quick Start Action Plan (QSAP) Tool, available at https://rc.workforcegps.org/resources/2021/05/28/13/29/RESEA_QSAP;
- Service Delivery: Virtual Tools, available at https://www.workforcegps.org/resources/2020/01/16/13/21/service-delivery-virtual-tools;
- RESEA Evaluation and Evidence Resources, available at https://rc.workforcegps.org/resources/2019/07/30/17/32/RESEA_Evaluation_Evidence_Resources;
- Office of the Assistant Secretary for Administration and Management Cost & Price Determination Division, available at https://www.dol.gov/agencies/oasam/centers-offices/office-of-the-senior-procurement-executive/cost-price-determination-division;
- https://www.grants.gov/; and
- https://clear.dol.gov/about/contact-us.

7. Attachments.

- Attachment I: Maximum Fiscal Year (FY) 2022 Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grant Awards by State.
- Attachment II: Elements of an Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grant State Plan.
- Attachment III: Additional Grants.gov Submission Instructions.
- Attachment IV: Additional Guidance for Completing the SF-424 and SF-424A.
- Attachment V: Phased Implementation of RESEA Components.

Maximum Fiscal Year (FY) 2022 Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grant Awards by State

State	FY 2021 Funding Limit	FY 2022 Funding Limit
ALABAMA	$1,460,327	$1,401,914
ALASKA	$498,400	$572,359
ARIZONA	$1,178,577	$2,075,673
ARKANSAS	$796,170	$999,072
CALIFORNIA	$22,720,015	$40,013,786
COLORADO	$728,722	$1,283,403
CONNECTICUT	$2,727,625	$3,280,972
DELAWARE	$772,975	$742,056
DISTRICT OF COLUMBIA	$822,997	$790,077
FLORIDA	$7,392,716	$9,043,040
GEORGIA	$1,497,031	$2,636,525
HAWAII	$1,023,113	$1,761,828
IDAHO	$933,938	$896,580
ILLINOIS	$2,447,109	$4,309,773
INDIANA	$5,788,646	$5,557,100
IOWA	$2,206,637	$2,118,372
KANSAS	$1,044,073	$1,349,315
KENTUCKY	$1,619,492	$2,261,286
LOUISIANA	$2,470,761	$3,534,609
MAINE	$823,061	$790,139
MARYLAND	$2,171,057	$3,274,034
MASSACHUSETTS	$7,564,554	$7,261,972
MICHIGAN	$3,869,861	$6,815,479
MINNESOTA	$2,659,478	$4,244,327
MISSISSIPPI	$1,453,156	$1,723,593
MISSOURI	$1,388,200	$2,198,089
MONTANA	$850,257	$816,247
NEBRASKA	$657,823	$631,510
NEVADA	$2,765,182	$4,158,147
NEW HAMPSHIRE	$1,724,386	$1,655,411
NEW JERSEY	$3,460,301	$6,094,175
NEW MEXICO	$950,271	$1,562,156
NEW YORK	$25,642,995	$24,617,275
NORTH CAROLINA	$5,746,751	$5,516,881
NORTH DAKOTA	$498,400	$498,400

OHIO	$5,594,896	$5,600,429
OKLAHOMA	$1,547,187	$1,875,335
OREGON	$6,126,378	$5,881,323
PENNSYLVANIA	$2,703,604	$4,761,504
PUERTO RICO	$542,862	$956,072
RHODE ISLAND	$1,465,819	$1,407,186
SOUTH CAROLINA	$2,089,391	$2,205,984
SOUTH DAKOTA	$498,400	$498,400
TENNESSEE	$3,476,840	$3,337,766
TEXAS	$11,745,300	$16,860,815
UTAH	$2,297,009	$2,205,129
VERMONT	$921,972	$885,093
VIRGIN ISLANDS	$498,400	$498,400
VIRGINIA	$2,725,763	$3,827,073
WASHINGTON	$10,562,477	$10,139,978
WEST VIRGINIA	$498,400	$877,767
WISCONSIN	$3,851,845	$3,697,771
WYOMING	$498,400	$498,400

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

STATE PLAN

1. State Name

2. Name and Title of the State Agency Administrator

Name: **Title:**

Address:

3. RESEA Program Lead/Contact

The Person who can answer questions about the RESEA Proposal.

Name: **Telephone:**

Email:

4. UI Program Lead/Contact

The person who can answer questions about the UI aspects of the RESEA proposal. This person may also be the RESEA Program Lead/Contact.

Name: **Telephone:**

Email:

5. Total Funds From prior RESEA Grants Projected to carry over

Please include expected date for full obligation and expenditure of these remaining funds.

Obligation date – (mm/dd/yy) expected by:

Expenditure date – (mm/dd/yy) expected by: **$** _____

(If needed, please use the box below to elaborate on expenditures.)

6. Total Proposed RESEA Project Cost

The total amount of funds requested in this grant, which may be up to the limit specified in annual RESEA operating guidance.

$ _____

(If needed, please use the box below to elaborate on grant funds.)

7. Total Service Delivery (Program) Cost

The total amount of funds requested for staff and resources necessary to conduct the RESEAs excluding administrative and evaluation costs.

$ _____

(If needed, please use the box below to elaborate on program costs.)

8. Total Administrative Costs

The total amount of funds requested for program administrative costs. Please include a breakout of these costs (Note: This entry includes IT costs).

$ _____

(If needed, please use the box below to elaborate on administrative costs.)

9. Staff and Administrative Costs for a *Single* Completed Initial RESEA

Please include narrative describing how amounts were calculated.

$ _____

(Use the box below to describe amount calculations used.)

10. Completed Initial RESEA Staffing and Time

Complete chart below to provide additional information about how specific required initial RESEA activities are staffed, the average time needed, and estimated costs.

ACTIVITY	STAFF *(ES/WIOA/UI/OTHER)*	INDIVIDUAL/ GROUP	AVERAGE TIME	STAFF COST PER HOUR
Eligibility Review				
Labor Market Information				
Individual Reemployment Plan				
Providing information and access to American Job Center (AJC) services including career services				
Enrollment in Employment Services				
Providing support with individual reemployment plan.				
Referrals to other services				
Other services provided in addition to required elements.				
TOTALS	--	--		

11. Staff and Administrative Costs for Subsequent RESEA

If subsequent RESEAs are not included in program design, please indicate "No Subsequent" in text box below.

$ _____

(If needed, please use the box below to elaborate on Staff and Administrative costs for subsequent RESEAs.)

12. Completed Subsequent RESEA Staffing and Time

Complete the chart below to provide additional information about how specific subsequent RESEA activities are staffed and the average time needed.

ACTIVITY	STAFF *(ES/WIOA/UI/OTHER)*	INDIVIDUAL/ GROUP	AVERAGE TIME	STAFF COST PER HOUR
Eligibility Review				
Labor Market Information				
Providing support with individual reemployment plan				
Providing information and access to American Job Center (AJC) services including career services				
Referrals to other services				
TOTALS	--	--		

13. Projected Time for a *Single* Initial RESEA, Including Paperwork

In addition to information provided in 12, this entry should represent total time spent preparing for and conducting a single initial RESEA, including preparation, documentation and other related activities.

14. Projected Time for the Subsequent RESEA, Including Paperwork

In addition to information provided in 15, this entry should represent total time spent preparing for and conducting a single subsequent RESEA, including preparation, documentation and other related activities.

15. Projected Costs for a Single RESEA for which the Claimant Fails to Report

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.

$

(If needed, please use the box below to elaborate on expenditures.)

16. Total Number of Initial RESEAs to be Scheduled

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

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

The total number of RESEAs the state will schedule during the grant period for which the claimant will report and participate in an RESEA. Please include breakout of initial and subsequent, if applicable.

19. Total Number of RESEAs Projected for which the Claimant Will Fail to Report

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.

20. Actions Taken to Reduce Number of Claimants 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 (Completion date [actual or projected] mm/yy)
- ☐ Automated reminders (text message, e-mail, phone, etc.)
- ☐ Restructuring of notifications and other communications (behavioral insights, plain-language, etc.)
- ☐ Other

Insert brief narrative of actions taken or planned:

21. Total number of RESEA Sites

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.

Number of sites providing RESEAs: _____ **Number of sites providing WPRS:** _____

List RESEA locations if RESEA activities are not statewide:

List WRPS locations if RESEA activities are not statewide:

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.

Insert description of UI staff roles:

23. Selection of RESEA Participants:

Please describe the state's methodology for selecting claimants to participate in the RESEA program and at what point in the claim series selections 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.

Insert description of how claimants are selected:

24. Proper Notification

All states participating in the RESEA program must provide both an assurance that, 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?

☐ Yes / ☐ No

Insert description of notification process and attach template used for notifications.

25. Reasonable Scheduling Accommodations

To maximize participation in the RESEA program, the state must provide assurance that, and a 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?

☐ Yes / ☐ No

Insert a description of the reasonable scheduling accommodations provided.

26. 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 of the UI feedback loop and adjudication process.

Insert 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.

Insert 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

Each state must provide assurance that, and description of how, the planned RESEA program will conform to the four statuary purposes identified below (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)?

☐ Yes / ☐ No

Insert brief description of 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 are conform to purpose 2 as described in Element 27(b)?

☐ Yes / ☐ No

Insert brief description of 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. (Note: Additional information about the vision of WIOA is provided in Training and Employment Guidance Letter No. 19-14, *Vision for the Workforce System and Initial Implementation of the Workforce Innovation and Opportunity Act* and additional information specific State UI programs is provided in Unemployment Insurance Program Letter 14-18).

Do you assure that the proposed RESEA program design and planned activities conform to purpose 3 as described in Element 27(c)?

☐ Yes / ☐ No

Insert a brief description of the specific RESEA program elements and/or activities that support this purpose including information about how RESEA has been integrated into the State's workforce system and network of AJCs.

27(d) Purpose 4:

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)?

☐ Yes / ☐ No

Insert brief description of specific RESEA program elements and/or activities that support this goal.

28. Evidence-based Standards and Evaluation Requirements

Each state must provide assurances and a 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 implementing 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?

☐ Yes / ☐ No

Insert 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.

Insert an 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?

☐ Yes / ☐ No

Insert, if applicable, a description of the evaluation 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):

Total 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):

Insert 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:

1. Characteristics of program participants;
2. Number of weeks for which program participants receive unemployment compensation; and
3. 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))

29. Planned Supplemental Activities if Additional Funding is Available-Participants Served

If the State has capacity and need for funding beyond the provided funding level, please provide:

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

30. 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. Please include both a description of the activities and an estimate of additional funds needed.

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

OMB No.: 1205-0538 OMB Expiration Date: 10/31/2022 Average Estimated Response Time: 40 hours
O M B Burden Statement: These reporting instructions have been approved under the Paperwork Reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is required to retain or obtain benefits under SSA 303(a)(6). 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-4524, 200 Constitution Ave., NW, Washington, DC, 20210.

Additional Grants.gov Submission Instructions

The following is provided as additional instructions beyond what is already available on the www.grants.gov website. In the event you encounter a problem with www.grants.gov and do not find a resolution in any of the other resources, call 1-800-518-4726 or 606-545-5035 to speak to a Customer Support Representative, or email support@grants.gov.

States are strongly advised to initiate the application submission and validation process via www.grants.gov as soon as possible and to plan for time to resolve technical problems. Please note that validation does not mean the State's application has been accepted as complete or has been accepted for review. Rather, www.grants.gov only verifies the submission of certain parts of the application.

Before you begin to write the application, the U.S. Department of Labor (Department) strongly recommends that you initiate and complete the "Get Registered" registration steps at: https://www.grants.gov/web/grants/register.html.

Before registering, you should read through the registration process carefully. These steps can take as many as four weeks to complete, and this time should be factored into plans for timely electronic submission in order to avoid unexpected delays that could result in the rejection of your application. The www.grants.gov website also contains the Step-By-Step Guide to Organization Registration to help applicants walk through the process.

The next step in the registration process is creating a username and password with www.grants.gov to become an Authorized Organizational Representative (AOR). AORs will need to know the Data Universal Number System (DUNS) Number of the organization for which they will be submitting applications to complete this process. To read more detailed instructions for creating a profile on www.grants.gov visit: https://www.grants.gov/web/grants/applicants/registration.html.

After creating a profile on www.grants.gov, the E-Biz Point of Contact (E-Biz POC), a representative from your organization who is the contact listed for System of Award Management (SAM), will receive an email to grant the AOR permission to submit applications on behalf of their organization. The E-Biz POC will then log into www.grants.gov and approve an individual as the AOR, thereby giving him or her permission to submit applications. To learn more about AOR Authorization visit: https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html or to track AOR status visit: https://www.grants.gov/web/grants/applicants/registration/track-role-status.html.

An application submitted through www.grants.gov constitutes a submission as an electronically signed application. The registration and account creation with www.grants.gov, with E-Biz POC approval, establishes an AOR. When an application is submitted through www.grants.gov, the name of the AOR on file will be inserted into the

signature line of the application. **State Workforce Agencies must register the individual who is able to make legally binding commitments for your organization as the AOR**. This step is often missed and it is crucial for valid submissions.

When a registered applicant submits an application with www.grants.gov, an electronic time stamp is generated within the system when the application is successfully received by www.grants.gov. Within two business days of application submission, www.grants.gov will send the applicant two email messages to provide the status of the application's progress through the system.

- The first email, sent almost immediately, will contain a tracking number and will confirm receipt of the application by www.grants.gov.
- The second email will indicate that the application either has been successfully validated or has been rejected due to errors.

If the applicant's registration in SAM is expired, www.grants.gov will reject the application. Only applications that have been successfully submitted in www.grants.gov by the deadline and subsequently successfully validated will be considered. It is the State's responsibility to ensure a timely submission. While it is not required that an application be successfully validated before the deadline for submission, it is prudent to reserve time before the deadline in case it is necessary to resubmit an application that has not been successfully validated in www.grants.gov. Therefore, adequate time should be allotted for submission (two business days recommended) and additional time to address any errors and requiring validation upon resubmission (an additional two business days for each ensuing submission).

To ensure consideration, the components of the application must be saved as .doc, .docx, .xls, .xlsx, .rtf or .pdf files. If submitted in any other format, the applicant bears the risk of compatibility or other issues preventing a State's application from being considered. The Department will attempt to open the document, but will not take any additional measures in the event of problems with opening it (e.g., conversions of any kind).

The Department strongly advises applicants to use the various tools and documents, including Frequently Asked Questions, which are available on the "Applicant Resources" page at https://www.grants.gov/web/grants/applicants/applicant-faqs.html.

To receive updated information about critical issues, new tips for users, and other time sensitive updates, you may subscribe to www.grants.gov updates at https://www.grants.gov/web/grants/manage-subscriptions.html.

Additional Guidance for Completing the SF-424 and SF-424A

I. Application for Federal Assistance (SF-424)

- Use the current version of the form for submission. Expired forms will not be accepted. SF-424, Expiration Date 12/31/2022, Office of Management and Budget (OMB) Control No. 4040-0004 (Grants.gov). https://www.grants.gov/web/grants/forms/sf-424-family.html

- Section # 8, APPLICANT INFORMATION:

    - Legal Name: The legal name must match the name submitted with the System for Award Management (SAM). Please refer to instructions at https://www.sam.gov

    - Employer/Tax Identification Number (EIN/TIN): Input your correct 9-digit EIN andensure that it is recorded within SAM.

    - Organizational DUNS: All applicants for Federal grant and funding opportunities are required to have a 9-digit Data Universal Numbering System (D-U-N-S®) number, andmust supply their D-U-N-S® number on the SF-424. Please ensure that your state is registered with the SAM. Instructions for registering with SAM can be found at https://www.sam.gov. Additionally, the state must maintain an active SAM registrationwith current information at all times during which it has an active Federal award or an application under consideration. To remain registered in the SAM database after the initial registration, there is a requirement to review and update the registration at least every 12 months from the date of initial registration or subsequently update the information in the SAM database to ensure it is current, accurate, and complete. Failureto register with SAM and maintain an active account will result in a rejection of your submission.

    - Address: Input your complete address including Zipcode+4; Example: 20110-831. Forlookup, use link at https://tools.usps.com/go/ZipLookupAction!input.action

    - Organizational Unit: Input appropriate Department Name and Division Name, if applicable

    - Name and contact information of person to be contacted on matters involving this application. Provide complete and accurate contact information including telephonenumber and email address for the point of contact

- Section # 9, Type of Applicant 1: Select Applicant Type: Input “State Government”

- Section # 10, Name of the Federal Agency: Input “Employment and Training Administration”

- Section # 11, Catalog of Federal Domestic Assistance Number: include the accurate Catalogof Federal Domestic Assistance Number for the applicable Funding Opportunity; Example: 17.225 for Unemployment Insurance

- Section # 12, Funding Opportunity Number and Title: Input the appropriate funding opportunity number and Title; Example: UIPL No. 1-17 – Health Coverage Tax Credit; TEGL 17-15 – WIOA Adult, Dislocated Worker and Youth Activities Program Allotments

Phased Implementation of RESEA Components

Year	Description
FY 2019	• Application of requirement that RESEA funds be used for interventions (*i.e.*, service delivery strategies) demonstrated to reduce the average number of weeks participants receive benefits by improving participant employment outcomes, as required by Section 306(c)(1), SSA. • Ability to expand the pool of RESEA participants from those most likely to exhaust UC to include up to all UC claimants, as provided in the Department's appropriations act for FY 2019. This provision was continued in all subsequent RESEA appropriations and is anticipated to continue in FY 2022. See Section 4.c.i. of this UIPL.
FY 2020	• In response to the COVID-19 pandemic, the Department approved additional flexibility allowing states to provide the full range of RESEA services using remote and virtual service-delivery. This provision continues in FY 2022. See Section 4.c.v. of this UIPL.
FY 2021	• Implementation of a formula to allocate RESEA base funds as required by Section 306(f)(1)(A), SSA. The final RESEA allocation formula was published in the *Federal Register* on August 8, 2019 (84 *Fed. Reg*. 39,018). See Section 4.b.i. of this UIPL. • Submission of a Congressional Report identifying promising reemployment assistance interventions (https://rc.workforcegps.org/resources/2016/10/03/06/29/~/-/media/F0F359D1000345A99FCCB91EF934D2F1.ashx). • Implementation of new RESEA performance measures that align with the primary indicators of performance under WIOA. See UIPL No. 07-21. • Implementation of RESEA performance-based outcome payments as required by Section 306(f)(2), SSA. The final methodology was published in the *Federal Register* on October 19, 2021 (86 *Fed. Reg.* 57,856). See Section 4.b.ii. of this UIPL.
FY 2022	• Continuation of the provisions implemented in FY 2019, FY 2020, and FY 2021.
FY 2023	• Application of requirement that states directly link a percentage of their RESEA funding to evidence-based components with a high or moderate causal rating that show a demonstrated capacity to improve employment and earnings outcomes for program participants, as required by Section 306(c)(2), SSA. This percentage will incrementally increase through FY 2026. See Section 4.e.ii.C of this UIPL.