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ADVISORY: UNEMPLOYMENT INSURANCE PROGRAM LETTER NO.8-20

TO: STATE WORKFORCE AGENCIES

FROM: JOHN PALLASCH
Assistant Secretary

SUBJECT: Fiscal Year (FY) 2020 Funding Allotments and Operating Guidance for Unemployment Insurance (UI) Reemployment Services and Eligibility Assessments (RESEA) Grants

1. **Purpose.** To provide guidelines for the FY 2020 UI RESEA grants and to invite State Workforce Agencies to submit applications for funding.
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 in, but not limited to, 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 2020 must submit a RESEA state plan containing all required information described in this UIPL via www.grants.gov within 45 calendar days from the issue date of this UIPL.
3. **Summary and Background.**

Summary – This UIPL provides general operating guidance for the RESEA program for FY 2020, including changes and clarifications to program operations, maximum state award limits based on anticipated funding availability, and instructions for submitting a RESEA state plan via www.grants.gov. The submission of a RESEA state plan and applicable budget documentation identified in section 9 of this UIPL will serve as the State's application for FY 2020 RESEA funding. This UIPL is published concurrently as a Training and Employment Guidance Letter (TEGL). The joint UIPL/TEGL reflects the shared responsibilities across UI and workforce programs in conducting RESEA activities, and the guidance documents are identical other than non-substantive changes to formatting.

Background – Since 2005, the Department and participating state UI agencies have been addressing individual reemployment needs of unemployment compensation (UC) claimants,

RESCISSIONS	EXPIRATION DATE
None	Continuing

and working to prevent and detect UC improper payments through the voluntary UI Reemployment and Eligibility Assessment (REA) program and its successor, the voluntary RESEA program. Because there is strong evidence that these programs and service delivery strategies are effective, they have been a high priority for ETA.¹ During FY 2019, a total of 50 states and jurisdictions were operating an RESEA program.

On February 9, 2018, the President signed the Bipartisan Budget Act of 2018, Public Law 115-123 (BBA), which included amendments to the Social Security Act (SSA) that created 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 permanently authorized RESEA program provides for a phased implementation of new program requirements over several years. The phased implementation began in FY 2019 with new requirements that RESEA funds must be used for interventions or service delivery strategies demonstrated to reduce the average number of weeks participants receive benefits by improving participant employment outcomes, which include earnings (See UIPL No. 07-19, section 5), and the introduction of additional flexibilities for targeting RESEA participants (See UIPL No. 07-19, section 6).

The new requirements and flexibilities introduced in FY 2019 will continue in FY 2020. New statutory requirements that will be implemented during FY 2020 include the RESEA state plan required by Section 306(e), SSA, and further described in section 9 and Attachment II of this UIPL. Information and resources to support states' implementation of the new evidence and evaluation requirements are provided in section 8 of this UIPL and in UIPL No. 01-20 and TEGP No. 06-19.

Additional program requirements will be phased in during FYs 2021-2023, including, but not limited to, performance reporting, formula-based allocation of funds, and outcome payments to high-performing states.

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

- 1) To improve employment outcomes of UC recipients and to 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.

¹IMPAQ International, January 2012, *Impact of the Reemployment and Eligibility Assessment Initiative in Nevada*; and IMPAQ International, June 2011, *Impact of the Reemployment and Eligibility Assessment Initiative*.

The permanent RESEA program is a new and different program than the prior discretionary RESEA program. The RESEA program, as implemented under previous operating guidance, was tightly prescribed and included limits on the number of RESEA sessions that could be provided. This UIPL provides additional flexibility by removing the limitation on the number of visits that may be part of a RESEA. States now have significant flexibility in program design and targeting UI claimants for participation. The permanently-authorized RESEA program promotes and rewards new and innovative service delivery strategies and interventions. In the context of these changes and the program's potential growth in future years, states are strongly encouraged to revisit their service delivery designs, how they staff the program, and how to most effectively achieve the purposes of the RESEA program. State workforce and UI agencies implementing RESEA are also encouraged to engage their State Workforce Boards in support of the latter two RESEA purposes, especially in the context of further integrating the RESEA program into American Job Center (AJC) service delivery and WIOA State Plans.

4. Definitions.

The permanently-authorized RESEA program is no longer governed by the construct of the REA program or the former RESEA program. RESEA now has the features of a broader reemployment program, so the terms used previously for REA and RESEA reporting and planning, such as "subsequent RESEA" or "completed" have different meanings in the new permanent RESEA program. Additionally, the term "reemployment services" has been expanded to include a wider range of potential activities. Therefore, for purposes of RESEA planning and performance reporting, new definitions are needed.

The following definitions are now used for RESEA planning and performance reporting purposes. These definitions identify minimum levels of service delivery and states are strongly encouraged to integrate a wide range of additional services, including performing an assessment, that can identify and respond to the specific needs of each UC claimant.

- a. Initial RESEA – The term "initial RESEA" refers to the first meeting between a RESEA service provider and a UC claimant who reported to the meeting in response to an official notification of selection and required participation in RESEA services. For reporting and planning purposes (RESEA State Plan, element 18 [see Attachment II] and ETA 9128, element 3 [see Section 7(f)]), the initial RESEA session is "completed" when the following components have been provided:
 1. A UC eligibility review that is conducted on a one-on-one basis, which must include review of work search activities, 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. 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. Information and referral to additional reemployment services and other AJC services, resources, and training, as appropriate.

The above list identifies the minimum requirements for an initial RESEA, and states may include additional activities or services as part of their respective service delivery designs. Importantly, completion of the initial RESEA does not necessarily terminate a claimant's enrollment in RESEA, given that it does not include many of the reemployment services that may support the claimant's return to work. States have flexibility in their service-delivery design to include subsequent RESEA sessions and/or provision of and/or referral to additional reemployment services. The number of claimants receiving reemployment and/or training services resulting from an RESEA referral is reflected in the ETA 9128 report, elements 4-6. Sections 6 and 7 of this UIPL provide additional information and requirements pertaining to RESEA services during FY 2020.

- b. Subsequent RESEA – States have flexibility to 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 a follow-on RESEA meeting that includes, at a minimum, a UC eligibility assessment and a review of the claimant's work search activities to determine if additional assistance is needed to support the claimant's compliance with the work search requirements and the claimant's return to work at the earliest possible time.

States may include additional activities or services as part of their respective service delivery designs. For planning purposes, the projected number of completed subsequent RESEAs is reported in element 18 of the RESEA state plan. States are no longer limited in the number of subsequent RESEAs that may be provided.

- c. Reemployment Services – States need to develop processes to support RESEA participants' referral to reemployment services, including those provided using RESEA funding and those provided through other programs. In support of RESEA's goal of greater alignment with the WIOA, reemployment services include, but are not limited to, activities identified as career services under WIOA section 134(c)(2) and further detailed at 20 CFR 678.430. States have significant flexibility in types and quantity of reemployment services provided, but must ensure their respective RESEA programs' 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 is 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 and other WIOA partners by RESEA.

- d. Training – RESEA program reporting requirements (ETA 9128) include submitting the number of claimants that report to training as a result of a RESEA referral (items 4 and 6). In the context of RESEA, training includes training services under WIOA section 134(c)(3) and 20 CFR 680.200. Training also includes any other training program approved by the state's UI agency. Given that RESEA funds may not be used to support training activities, training activities will be reported through the workforce program reporting structures for the training activities to which the claimant is referred.

5. Funding.

- a. Award Limits – The awards that may be made under this UIPL are subject to the availability of Federal funds. Under the Appropriations Act for FY 2020, the total available funding for RESEAs is \$175,000,000. 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.

FY 2020 funding award limits were calculated for all eligible states using each state's proportionate share of projected FY 2020 UI first payments. The states' proportionate shares were calculated by dividing each state's projected UI first payments by the national total and multiplying the result with the total anticipated funding level of \$175,000,000. To prevent significant disruption in service delivery, and to support new RESEA requirements, ETA applied minimum and maximum funding limits. These limits include a minimum funding increase of 10 percent and maximum increase of 20 percent from FY 2019 authorized funding limits (See UIPL No. 07-19, Attachment I). Each individual state may request an amount up to the award limit provided in Attachment I of this UIPL. The state has discretion to request a lesser amount based on appropriate factors, such as capacity and program trends.

Beginning in FY 2021, each state's maximum state RESEA award will be determined using a formula allocation based on the Insured Unemployment Rate and the size of the civilian labor force in each state. On April 4, 2019, ETA published a *Federal Register* Notice (FRN), [84 Fed. Reg. 13,319](#), requesting public comments on the RESEA allocation process. On August 8, 2019, ETA published a second FRN, [84 Fed. Reg. 39,018](#), identifying the final allocation methodology and providing analysis of how ETA considered public comments in its development.

- b. Use of Funds – RESEA funds must be used to assess the continued eligibility and reemployment needs of UC claimants in the targeted populations identified by the state and to provide reemployment services to RESEA participants, including reemployment services to which RESEA participants are referred. These funds must be used to supplement the level of Federal, state, and local public funds that, in the absence of such availability, would be expended to provide reemployment services and eligibility assessments to individuals receiving UC. RESEA funds may not supplant UI grant funds devoted to other state UI program enforcement or program eligibility review activities. Similarly, these funds must not supplant Federal, state, or local funds devoted to providing reemployment services to UC claimants. 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 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).
- c. Administrative Costs Limit – In FY 2020, administrative costs for the RESEA program are limited to 15 percent of the total grant award. This limitation aligns RESEA administrative costs with similar ETA grants and includes information technology costs. States may request to use up to an additional \$100,000 beyond the 15 percent administrative costs limit to support information technology and program costs, including required reporting. States requesting additional funds beyond the 15 percent administrative costs limit must identify the amount and describe planned activities in element 8 of the RESEA State Plan template.

Administrative costs include direct and indirect costs. Administrative costs do not need to be identified separately from program costs on the Standard Form-424A, Budget Information - Non-Construction Programs. However, they must be tracked through the recipient's accounting system and appropriately documented on the recipient's ETA-9130 Financial Report submissions. Recipients will be monitored for compliance with the administrative costs limit during the entire grant period of performance. Any amounts that exceed this limitation at closeout will be disallowed and subject to debt collection.

To help facilitate program alignment and integration across programs supporting the reemployment of UI claimants, ETA uses the definition of WIOA administrative costs at 20 CFR 683.215 for RESEA grants. In the context of the RESEA program, all information technology costs associated with the RESEA program, including those identified at 20 CFR 683.215, are administrative costs. Additional information will be provided in the state's grant agreement.

- d. Evaluation Set-Aside Funds – States may use up to 10 percent of their RESEA grant funds to conduct, or cause to be conducted, evaluations of interventions and service delivery strategies used in carrying out the program. Because this evaluation funding may not be sufficient to do rigorous evaluations on a state-by-

state basis, states are encouraged to collaborate and pool their funds to support evaluations that are more rigorous. The Department may also engage with states to support RESEA evaluations. Evaluation costs must be reported in the comment section of the ETA-9130 Financial Report which is available at www.eta-reports.doleta.gov. UIPL No. 01-20 and TEGL No. 06-19 provide additional guidance and resources related to RESEA-related evaluation activities. States seeking additional assistance with RESEA evaluations are invited to contact the RESEA Evaluation Technical Assistance Helpline at RESEA@abtassoc.com.

- e. Initial and Subsequent RESEA Costs Limit – RESEA operating guidance for FYs 2017-2019 included funding limits or allowable ranges for average costs for initial and subsequent RESEA sessions. Because RESEA now provides states with flexibility in how its RESEA program is designed and the types of service delivery strategies and interventions permitted, there are no longer limitations on costs for initial and subsequent RESEAs and RESEA related reemployment services, although allowable costs may not exceed the grant award limit, as described in Section 5a of this UIPL. ETA will continue to collect information about RESEA program costs as an element of the annual RESEA state plan.
- f. Period of Performance – For operational purposes, states are strongly encouraged to continue to design and operate their RESEA programs based on a calendar year schedule. The official period of performance for FY 2020 RESEA funds will be January 1, 2020, through September 30, 2021. Funding must be liquidated by December 31, 2021.

6. Program Design.

- a. State Flexibility in Targeting RESEA Services to UI Claimants – Section 306, SSA, requires RESEA-funded activities to be targeted to claimants determined most likely to exhaust UC as determined under a profiling system required under Section 303(j), SSA. However, the Department's appropriation acts for FY 2019 and FY 2020 contain a provision providing states discretion in identifying appropriate claimant populations among recipients of regular UI benefits, thus removing the requirement that states must target UC claimants determined most likely to exhaust UC benefits under Section 303(j), SSA. States are encouraged to target UC claimant populations based on local labor market information, economic trends, and other available data that informs whether the targeting strategy is likely to meet the RESEA program goals.
- b. Excluded Populations – Historically, 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, were excluded from participation in RESEA services. This blanket exclusion was based on the assumption that RESEA does not reduce the duration of UC receipt for such individuals. Beginning in FY 2020, states have discretion to further align their RESEA program with their state-specific work-search requirements. Therefore, claimants in these previously excluded groups

may be included in RESEA if they are required to conduct work search activities under the state's UC work search requirements.

- c. Intersection of the RESEA and Worker Profiling and Reemployment Services (WPRS) programs – The WPRS program was established by amendments to the SSA contained in P.L. 103-152 (enacting Section 303(j), SSA) requiring states to provide reemployment services to UC claimants identified through profiling methods as likely to exhaust benefits and who will need job search assistance services to transition to new employment. WPRS operating guidance (UIPL No. 41-94) provides further information necessary for states to operate the WPRS program, including the criteria for establishing profiling models used to identify claimants likely to exhaust benefits. States must provide services under the requirements of Section 303(j), SSA, to the identified population if that population is not served by the state's RESEA program.

Only RESEA programs that continue to incorporate WPRS profiling models to select participants and provide RESEA services statewide will satisfy WPRS requirements and eliminate the need for states to separately meet WPRS reporting requirements. States that include the WPRS profiling model, but do not provide RESEA statewide, must continue to provide WPRS in areas not served by RESEA. States that do not include claimants using the WPRS selection methods 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 authorized under Section 306, SSA, for those programs. In the context of meeting WPRS requirements, a state is considered to be operating RESEA statewide if RESEA services are available in each WIOA-designated local workforce development area (see WIOA section 106).

RESEA programs that target several claimant populations, including those identified by the WPRS selection methods, will be considered as meeting WPRS requirements if claimants selected under WPRS are provided priority over the other populations and RESEA services are provided statewide.

Although not required, the integration of WPRS and RESEA is potentially beneficial for both the state and the UC claimants selected for RESEA. For states, this integration reduces performance reporting burden by consolidating WPRS and RESEA reporting into one set of reports; allows states to leverage RESEA funding to conduct statutorily required WPRS services, which do not have a devoted funding stream; and may positively impact the state's RESEA performance outcomes by identifying claimants that are both likely to exhaust UC benefits and benefit from RESEA services. Similarly, UC claimants identified using the WPRS model are among those most in need of reemployment services and likely to benefit from innovative and evidence-based reemployment strategies that are now a required component of the new RESEA program.

As described in Training and Employment Notice (TEN) No. 37-15, ETA is available to provide assistance with all aspects of profiling modeling, including guidance on modeling issues, techniques, and diagnostics, as well as complete model building assistance. States are reminded that having a strong and updated profiling model is important when identifying claimants that are most likely to exhaust benefits. To obtain assistance with profile model building and maintenance, please contact Kevin Stapleton at (202) 693-3009 or at stapleton.kevin@dol.gov.

- d. Required RESEA Services – The primary goals for the RESEA program are to reduce duration of UC receipt through improved employment outcomes, including earnings, and to ensure an individual claiming UC continues to meet eligibility requirements. To support these goals, all RESEA participants must be scheduled for an initial RESEA. However, states may also include a combination of subsequent RESEAs and reemployment services, as appropriate. Initial RESEA, subsequent RESEA, and reemployment services are defined in Section 4 of this UIPL.

Since the current evaluation and evidence supporting the RESEA program are based on strategies that required in-person services, states should prioritize in-person services whenever possible. However, states may provide remote services, including the initial and subsequent RESEA sessions, using virtual person-to-person technologies such as Skype, Zoom, FaceTime, or other similar products. The level and timeliness of remote service must be comparable to assistance the individual would receive if staff were assisting such individual in-person.

For claimants that need more support in planning their work search and reemployment strategies, states are strongly encouraged to consider the use of the My Reemployment Plan tool. TEN No. 18-16 provides additional information about the My Reemployment Plan and related tools and resources. A PDF version of the My Reemployment Plan and related introductory videos are available at: <https://rc.workforcegps.org/>. An interactive, online version of the My Reemployment Plan was launched in May 2019. The electronic My Reemployment Plan is available for states to download and customize through the National Association of State Workforce Agencies' (NASWA's) Information Technology Support Center (ITSC) at www.itsc.org.

- e. Integration with WIOA and Wagner-Peyser Act-funded services – By applying for RESEA funding, states agree to integrate the RESEA program with WIOA-funded and Wagner-Peyser Act-funded services, as well as with the workforce system broadly. Beyond serving as a workforce system entry point for over one million UC claimants each year, the RESEA program can also directly support WIOA activities by providing reimbursement for various reemployment services conducted during or directly resulting from a claimant's participation in RESEA. ETA is currently developing a Quick Start Action Planner (QSAP) tool to assist states in their efforts to further integrate RESEA with other workforce programs.

This tool, along with promising practices and other resources, will be available on the “RESEA landing page” that is part of ETA’s knowledge-sharing site, WorkforceGPS (www.workforceGPS.org). The RESEA landing page can be accessed directly at: <https://rc.workforcegps.org/resources/RESEA>.

7. Program Operations.

- a. Service Delivery Staff – RESEA services may be delivered by UI staff or qualified and trained Wagner-Peyser Act-funded Employment Service (ES) staff, WIOA staff, or other AJC staff. The UC eligibility review is a key part of RESEA services for program integrity purposes. Service delivery staff must receive training to identify eligibility issues and must refer all eligibility issues to UI merit staff for adjudication, as appropriate. All eligibility determinations and redeterminations resulting from issues identified through the RESEA program are funded through the regular UI administrative grant (or state funds), not through the RESEA grant. There is no merit staffing requirement for RESEA service providers. As states develop their RESEA state plan, they are encouraged to explore innovative approaches to how the program is staffed and to review the January 6, 2020, final rule regarding increased flexibility in the administration of ES activities (85 FR 592).
- b. Required Engagement of UI Staff – UI staff must be engaged in RESEA planning, administration, and oversight, as well as providing all appropriate staff training on UC eligibility requirements. UI staff must be available and involved in the RESEA functions, including reporting, although it may not require a full-time position. Program staff delivering RESEAs must be qualified and have sufficient training from UI staff to conduct a thorough eligibility review and detect eligibility issues requiring referral to the UI agency for adjudication. Further, states must have UI staff participation to ensure accurate data are provided in the RESEA-required reports. Each calendar quarter, prior to submission, the reports must be reviewed for accuracy by a UI staff member, in addition to being reviewed by the RESEA program lead (if a different staff member). Additional information about required RESEA reports is provided in Section 7(f) of this UIPL.
- c. Claimant Participation in RESEA Activities and Rescheduling – Once the state notifies a claimant that s/he has been selected to participate in the RESEA program, participation in RESEA is mandatory. Claimants who contact the appropriate agency before their RESEA appointment and request to change the scheduled RESEA date or time for good reason, such as scheduled job interviews, should be accommodated within reason.

Many states are developing or have already implemented self-scheduling of RESEA sessions. ETA strongly encourages such system upgrades due to their efficiency and proven ability to increase program participation and decrease no-show rates. However, 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, which is a condition of UI eligibility.

The ETA 9128 report data item 2, “Number of RESEAs scheduled,” is intended to capture the total number of RESEAs scheduled. The ETA 401 handbook, 6th edition defines “Number of RESEA scheduled” as “the number of RESEAs for which an official notice was sent to the claimant.” The handbook clarifies this item does not include RESEAs that are rescheduled with no disqualification and further clarifies that rescheduled RESEAs with a disqualification must be counted as another scheduled RESEA in Item 2 of the ETA 9128. Each claimant scheduled for an RESEA and reported in item 2 will either participate in the RESEA or fail to participate and this result must be appropriately captured in ETA 9128 item 3, “Number of RESEAs Completed,” or item 15, “Number of RESEAs for Which the Claimant Failed to Report.”

- d. UC Feedback Loop, Adjudication, and Due Process – Once claimants are selected to participate in the RESEA program, they are required to participate in all RESEA activities required by the state, including the initial RESEA, any subsequent RESEAs, and any reemployment services to which they are referred. 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.
- e. Required Co-Enrollment in Wagner-Peyser Act-funded Employment Services – To promote integrated service delivery and to support capturing RESEA program outcome information through the Participant Individual Record Layout (PIRL) used for WIOA and Wagner-Peyser Act reporting, ETA requires that RESEA participants be co-enrolled in Wagner-Peyser Act-funded Employment Service as part of the initial RESEA. 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.
- f. Performance Reporting – Performance reporting for FY 2020 consists of the ETA forms 9128 and 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. Additional information about these reports is provided in Employment and Training (ET) Handbook No. 401, 5th Edition. ETA is currently assessing potential changes to these reports to align with the new RESEA program requirements. States will be alerted of any changes in future guidance. In addition, states must complete the Quarterly Narrative Progress Report (ETA 9178); OMB Control No. 1205-0517, expiration date 8/31/2021. 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.

8. Implementation of Evidence-based Strategies and Evaluation Requirements.

Section 306(c) of the SSA includes a tiered evidence approach for the RESEA program to encourage the Department to fund and states to use evidence-based strategies where they exist, and to conduct evaluations and build evidence in areas where needed.² The goal is to ensure that each state employs RESEA interventions and service delivery strategies that, based on rigorous evaluations, improve employment outcomes and reduce benefit duration, or that the intervention or service delivery strategy are being evaluated to determine their effectiveness in achieving these goals. Specifically, the statute requires that interventions or service delivery strategies funded by RESEA grant funds must be demonstrated to reduce the average number of weeks participants receive UC by improving employment outcomes, including earnings.

In FY 2023 and FY 2024, states will be required to use no less than 25 percent of the grant funds for interventions or service delivery strategies with high or moderate causal evidence ratings that show a demonstrated capacity to improve employment and earnings outcomes for program participants. For FY 2025 and FY 2026, states must use no less than 40 percent of funds for interventions or service delivery strategies with high or moderate causal evidence ratings. For FY 2027 and beyond, states must use no less than 50 percent of RESEA funds for interventions or service delivery strategies with high or moderate causal evidence ratings. Additional guidance will be provided before these requirements become effective.

To meet Congressional intent with regard to causal evidence ratings in the tiered evidence approach and to ensure states' ability to comply with the evidence and evaluation provisions in the statute, states are expected to begin evaluating RESEA interventions and service delivery strategies no later than during FY 2020.

ETA provided preliminary guidance with regard to the evidence-based strategies and evaluation provisions for FY 2019 in UIPL No. 07-19. UIPL No. 01-20 and TEGL No. 06-19 build upon the previous preliminary guidance and provide further information on the new 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. UIPL No. 01-20 and TEGL No. 06-19 also identify resources that are available to states to better understand and use existing evidence and to help states initiate rigorous high quality evaluations to build evidence on the effectiveness of interventions in their RESEA programs.

² Tiered evidence" refers to a policy tool that allows federal agencies to tie federal funding to strategies with evidence, to encourage the use of interventions that have strong evidence of success and test promising new interventions.

States must align FY 2020 RESEA State Plans and program design with the requirements and guidance identified in UIPL 01-20 and TEGL No. 06-19.

9. FY 2020 RESEA State Plan Submission Process.

Section 306(e), SSA, requires states to submit a state plan as a condition of eligibility to receive RESEA funds for a Fiscal Year. A state must submit a state plan that outlines how the state intends to conduct a program of reemployment services and eligibility assessments by responding to all the required elements included in the state plan template. For reference purposes, the RESEA state plan template is provided in Attachment II to this UIPL.

The RESEA state plan package must consist of the following documents:

1. Completed RESEA state plan template: An electronic, fillable version of Attachment II will be made available to states through www.grants.gov and from ETA's Regional Offices; OMB Control No. 1205-0538, expiration date 10/31/2022.
2. SF-424: Application for Federal Assistance; OMB Control No. 4040-0004, expiration date 12/31/2019. Additional guidance for completing the SF-424 is provided in Attachments III and IV. In addition to other information requested on the SF-424, each state must enter "UIPL 8-20" into the opportunity number field of the application and enter the applicable amount set out for the state in Attachment I of this UIPL.
3. SF-424A: Budget Information – Non-Construction Programs; OMB Control No. 4040-0006, expiration date 02/28/2022.
4. Indirect Costs: Applicant states that include indirect costs in the budget 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 following link contains information regarding the NICRA at the Department:
<https://www.dol.gov/agencies/oasam/centers-offices/business-operations-center/cost-determination>.

To allow for the timely review of state plans and award of funds, states must submit their RESEA state plan packages, including all the required components identified above, via grants.gov by Monday, March 16, 2020.

The Secretary of Labor will approve completed plans that fully address the required elements and are submitted in a timely manner. Plans that fail to meet the required elements will be disapproved and the state will be notified of this disapproval within 30 days of the

Department's receipt of the plan. A state that receives a disapproval notification will be provided an opportunity to submit a revised plan. The written disapproval notification 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. An approved RESEA state plan is a condition of eligibility for RESEA funds and disapproval of a state's RESEA state plan will suspend that state's grant award until the plan is appropriately revised.

ETA's Office of Grants Management's website 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 of this UIPL provides more detailed instructions about submitting an application through www.grants.gov.

10. Inquiries.

Please direct inquiries to the appropriate ETA Regional Office.

11. References.

- Further Consolidated Appropriations Act, 2020, Pub. L. 116-94, Division A, Title I;
- Department of Defense and Labor, Health and Human Services, and Education Appropriations Act, 2019 and Continuing Appropriations Act, 2019, Pub. L. 115-245, Division B, Title I;
- Sections 303(j) and 306, SSA, 42 U.S.C. 503(j) and 506;
- Workforce Innovation and Opportunity Act (WIOA), Pub. L. No. 113-128;
- Consolidated Appropriations Act, 2018, Pub. L. No. 115-141;
- Bipartisan Budget Act of 2018, Pub. L. No. 115-123;
- Continuing Appropriations Act, 2018, Pub. L. No. 115-56, Division D;
- Consolidated Appropriations Act 2017, Pub. L. No. 115-31, Division H;
- Explanatory Statement accompanying the Consolidated Appropriations Act, 2017, Pub. L. No. 115-31;
- Unemployment Compensation Amendments of 1993, Pub. L. No. 103-152, amending section 303(j), SSA;
- 20 CFR 683.215;
- 2 CFR 200.68 and 200.414;
- UIPL No. 01-20, *Expectations for States Implementing the Reemployment Service and Eligibility Assessment (RESEA) Program Requirements for Conducting Evaluations and Building Program Evidence* (also issued as TEGL No. 06-19);
- UIPL No. 07-19, *Fiscal Year (FY) 2019 Funding Allotments and Operating Guidance for Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grants*
- UIPL No. 05-19, *Form ETA 9178 for Employment and Training Supplemental Grant Reporting*

- UIPL No. 14-18, *Unemployment Insurance and the Workforce Innovation and Opportunity Act*;
- UIPL No. 08-18, *Fiscal Year (FY) 2018 Funding Allotments and Operating Guidance for Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grants*;
- UIPL No. 3-17, and Change 1, *Fiscal Year (FY) 2017 Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grants*;
- UIPL No. 41-94, *Unemployment Insurance Program Requirements for the Worker Profiling and Reemployment Services System*;
- TEGL No. 9-19, *Fiscal Year (FY) 2020 Funding Allotments and Operating Guidance for Unemployment Insurance (UI) Reemployment Services and Eligibility Assessments (RESEA) Grants*;
- TEGL No. 2-16, *Revised ETA-9130 Financial Report, Instructions, and Additional Guidance*
- ET Handbook No. 401, 5th Edition, *Revised ET Handbook No. 401, Unemployment Insurance Reports Handbook*;
- TEN No. 18-16, *Pathways to Reemployment Tools and Resources*; and
- TEN No. 37-15, *Availability of Assistance Building Profiling Models to Identify Unemployment Insurance Claimants Most Likely to Exhaust Benefits*.

12. Attachments.

- Attachment I: Maximum Fiscal Year (FY) 2020 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

**Maximum Fiscal Year (FY) 2020 Unemployment Insurance (UI) Reemployment Services
and Eligibility Assessment (RESEA) Grant Awards by State**

State	FY 2019 Funding Limit	FY 2020 Funding Limit ¹
ALABAMA	\$994,163	\$1,192,995
ALASKA	\$346,369	\$415,643
ARIZONA	\$885,821	\$1,062,986
ARKANSAS	\$542,018	\$650,421
CALIFORNIA	\$15,467,355	\$18,560,826
COLORADO	\$496,100	\$595,320
CONNECTICUT	\$1,856,915	\$2,228,298
DELAWARE	\$724,438	\$796,881
DISTRICT OF COLUMBIA	\$771,319	\$848,451
FLORIDA	\$6,928,506	\$7,621,357
GEORGIA	\$1,019,150	\$1,222,980
HAWAII	\$1,245,906	\$1,370,497
IDAHO	\$875,294	\$962,823
ILLINOIS	\$1,665,945	\$1,999,134
INDIANA	\$5,425,160	\$5,967,676
IOWA	\$1,895,736	\$2,274,884
KANSAS	\$896,970	\$1,076,364
KENTUCKY	\$1,102,519	\$1,323,023
LOUISIANA	\$2,057,299	\$2,263,029
MAINE	\$868,626	\$955,489
MARYLAND	\$1,478,014	\$1,773,617
MASSACHUSETTS	\$7,259,554	\$7,985,509
MICHIGAN	\$2,634,528	\$3,161,433
MINNESOTA	\$1,810,521	\$2,172,626
MISSISSIPPI	\$1,200,680	\$1,320,748
MISSOURI	\$945,060	\$1,134,072
MONTANA	\$796,868	\$876,554
NEBRASKA	\$616,516	\$678,168
NEVADA	\$2,584,481	\$2,842,929
NEW HAMPSHIRE	\$1,616,108	\$1,777,718
NEW JERSEY	\$2,355,706	\$2,826,848
NEW MEXICO	\$721,970	\$844,874

¹ Any funds that remain available after RESEA grant awards are finalized will be used to support supplemental requests identified in the states' FY 2020 RESEA state plans or will be allocated across all states operating RESEA programs during FY 2020. The allocation methodology applied will be selected based on the amount of funds available.

**Maximum Fiscal Year (FY) 2020 Unemployment Insurance (UI) Reemployment Services
and Eligibility Assessment (RESEA) Grant Awards by State**

State	FY 2019 Funding Limit	FY 2020 Funding Limit¹
NEW YORK	\$24,032,798	\$26,436,077
NORTH CAROLINA	\$5,386,081	\$5,924,689
NORTH DAKOTA	\$592,813	\$652,094
OHIO	\$4,015,514	\$4,818,617
OKLAHOMA	\$1,159,258	\$1,275,183
OREGON	\$5,741,685	\$6,315,854
PENNSYLVANIA	\$1,840,561	\$2,208,674
PUERTO RICO	\$397,284	\$476,741
RHODE ISLAND	\$1,373,776	\$1,511,154
SOUTH CAROLINA	\$1,556,260	\$1,867,511
SOUTH DAKOTA	\$432,943	\$476,237
TENNESSEE	\$3,258,519	\$3,584,371
TEXAS	\$9,348,178	\$11,217,813
UTAH	\$2,152,773	\$2,368,050
VERMONT	\$864,079	\$950,487
VIRGIN ISLANDS	\$419,985	\$461,984
VIRGINIA	\$2,024,343	\$2,226,777
WASHINGTON	\$11,439,335	\$12,583,269
WEST VIRGINIA	\$407,096	\$488,516
WISCONSIN	\$3,609,976	\$3,970,974
WYOMING	\$495,112	\$644,623

**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 statutory 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

OMB 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 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 has either 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 12/31/2019, Office of Management and Budget (OMB) Control No. 4040-0004 (Grants.gov). <http://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 and ensure 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, and must 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 registration with 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. Failure to 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. For lookup, 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 telephone number 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 Catalog of 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

- Section # 13, Competition Identification Number: include the advisory reference number or appropriate funding opportunity number
- Section # 14, Areas Affected by Project: Input the place of performance for the project implementation; Example “NY” for New York
- Section # 15, Descriptive Title of Applicant’s Project: Input the title of the Project
- Section # 16, Congressional Districts of:
 - a. Applicant: Input the Congressional District of your home office. For lookup, use link at www.house.gov with Zipcode + 4
 - b. Program/Project: Input the Congressional District where the project work is performed. If it’s the same place as your home office, input the congressional district for your home office. For lookup, use link at www.house.gov with Zipcode+4
- Section # 17, Proposed Project
 - a. Start Date: Input a valid start date for the project
 - b. End Date: Input a valid end date for the project
- Section # 18, Estimated Funding (\$): Input the estimated funding requested. Ensure that the funding requested matches the TOTALS in Section B – Budget Categories of the SF424A
- Complete Section #s 19 – 20 as per instructions in Form SF-424
- Section # 21, Authorized Representative: Input complete information for your authorized signatory including contact information such as telephone number and email address. Remember to get the SF-424 signed and dated by the Authorized representative. If your Authorized Representative has changed from your previous application submission for this program, please include a letter from a higher level leadership authorizing the new signatory for the application submission

II. Budget Information -Non-Construction Programs (SF-424A)

- Use the current version of the form for the submission. Expired forms will not be accepted. SF 424A, Expiration Date 02/28/2022, OMB Control No. 4040-0006
<http://apply07.grants.gov/apply/forms/sample/SF424A-V1.0.pdf>
- Section B – Budget Categories: Ensure that TOTALS in Section 6, Object Class Categories matches the Estimated Funding requested in the SF-424.
- If indirect charges are specified in Section 6, Object Class Categories, then 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% 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% de minimis rate.