

To: Indiana's Workforce System

From: Indiana Department of Workforce Development (DWD)

Date: April 18, 2022

Subject: DWD Policy 2021-16
Reemployment Services and Eligibility Assessment (RESEA)

Purpose

To provide guidance on RESEA service provision, required reporting elements, performance measures, funding allocations, and monitoring.

Rescission

- DWD Policy 2017-12 *Reemployment Services and Eligibility Assessment*

References

- UIPL 3-17 *Fiscal Year (FY) 2017 Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grants*
- UIPL 7-16 *Change 1 Coronavirus Aid, Relief, Economic Security (CARES) Act of 2020 – Pandemic Unemployment Assistance (PUA) Program Operating, Financial, and Reporting Instructions*
- UIPL 13-21 *Fiscal Year (FY) 2021 Funding Allotments and Operating Guidance for Unemployment Insurance (UI) Reemployment Services and Eligibility Assessments (RESEA) Grants*
- UIPL 10-22 *Fiscal Year (FY) 2022 Funding Allotments and Operating Guidance for Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grants*
- TEGL 12-20 *Fiscal Year (FY) 2021 Funding Allotments and Operating Guidance for Unemployment Insurance Reemployment and Eligibility Assessments (RESEA) Grants*
- TEGL 9-20 *Performance Measures for Reemployment Services and Eligibility Assessments (RESEA) and Unemployment Insurance (UI) participants*

Content

RESEA is a federal program that provides intensive reemployment assistance to individuals who are receiving unemployment benefits and are determined likely to exhaust their benefits before becoming reemployed.

RESEA provides an opportunity to engage Unemployment Insurance (UI) claimants and acquaint them with services available through the WorkOne/American Job Centers (AJC) to support timely reemployment.

RESEA funding must be used to implement evidenced-based interventions and service delivery strategies. Successful intervention activities and strategies will demonstrate a reduction in the average number of weeks claimants receive benefits by improving employment outcomes.¹

Program Goals

- 1) Reduce the average duration of receipt of UI benefits by improving reemployment outcomes.
- 2) Strengthen program integrity and reduce improper UI payments through the detection and prevention of such payments to ineligible individuals.
- 3) Promote the alignment with the broader vision of WIOA for increased program integration and service delivery for job seekers, including UI claimants.
- 4) Establish reemployment services and eligibility assessments as an entry point for UI claimants into other workforce system partner programs.

Initial RESEA Claimant Selection² Overview

An individual who files for UI benefits, known as a claimant, may be selected for participation in the RESEA program.

RESEA claimants are identified through Indiana's UI benefit system. Claimant selection is determined by a system algorithm³ which is executed by DWD's Uplink UI system each Sunday afternoon.

UI claimants are either exempted from participation or are determined to be eligible for RESEA services. A claimant may be exempted and waived from participation if their return-to-work date is within 60-days of the separation date. Waivers are typically provided for Union Hiring Halls, WIOA approved training, or if the claimant has moved out of state. Uplink sends a file of all eligible claimants who have filed their fourth (4th) weekly UI claim to DWD's case management system. Eligible claimants will then be scheduled for an Initial RESEA event.

Subsequent RESEA (SUB RESEA) Claimant Selection Overview

Uplink will generate a list of all 15-week claimants and send the list to DWD's case management system. Claimants that are most likely to exhaust benefits are selected for SUB RESEA. The intention of SUB RESEA is to further connect with the claimant to identify new strategies and resources by which they may be referred to support their efforts of obtaining employment.

Claimant Scheduling and Center Capacity

WorkOne/AJC offices that have been designated to implement the RESEA Program are required to schedule all claimants in the current week's Pool Count unless otherwise approved. Special circumstances, such as a holiday, may warrant an exception to this requirement. If an exception is granted, all previously unscheduled claimants must be scheduled for services within two (2) weeks following their initial period to be scheduled.

¹ USDOL RESEA Fact Sheet https://oui.doleta.gov/unemploy/docs/factsheet/RESEA_FactSheet.pdf.

² Only UI claimants that have been referred from the Uplink system are eligible to receive services through the RESEA program.

³ The algorithm is based on the USDOL Workforce Profiling Reemployment Services (WPRS) model.

RESEA designated offices must accommodate all claimants selected to participate in the program. RESEA services can be offered in person, virtually, or through a combination of both. In person and virtual options must be available at each office designated to deliver RESEA services.

Regions are also required to accommodate the number of selected claimants seeking in person services each week. If delayed scheduling is consistently needed due to the lack of available space, the region is required to identify additional space to deliver services to RESEA claimants. Regions may submit a request to designate additional RESEA WorkOne/AJC offices or locations to the Director of Re-Employment Pathways.⁴

RESEA Program Requirements⁵ Overview

The foundational element of the RESEA program is a meeting between the claimant and a trained RESEA staff member. The primary method of service delivery is an in-person meeting. However, if a claimant cannot meet in person, services must be available virtually.

Required service provision and claimant reemployment activities are as follows:

RESEA Staff-Service Provision Requirements

- Assess claimant’s continuing UI eligibility;
- Assess claimant’s career path, work history, and barriers to employment;
- Review work search logs;
- Schedule required reemployment services workshops;
- Assist in the development of the claimant’s Individual Reemployment Plan (IRP);
- Provide customized career and labor market information;
- Enroll claimant in the Wagner-Peyser Employment Service;
- Provide information and access to other WorkOne/AJC services and resources that may support the claimant’s return to work; and
- Conduct all required RESEA meetings with claimants:
 - RESEA Orientation
 - Initial 1-on-1 meeting
 - Follow Up meeting
 - Sub RESEA meeting (if selected)

Claimant Reemployment Activity Requirements

- Register in DWD’s Labor Exchange system;
- Create or upload a searchable resume in DWD’s Labor Exchange system;
- Complete/Maintain a weekly work search log;
- Report to assigned WorkOne/AJC or virtually attend the Initial Assessment Interview and any agreed upon reemployment service or activities thereafter;
- Complete a minimum of one reemployment services workshop;
- Attend all required RESEA meetings:
 - RESEA Orientation
 - Initial 1-on-1 meeting

⁴ DWD.RESEA@dwd.in.gov.

⁵ Based on individual claimant circumstances, additional services may be required as documented on the IRP.

- Follow Up meeting
- Sub RESEA meeting (if selected); and
- Complete all activities identified in the IRP.

Failure To Participate (FTP) Issues

Claimants failing to report for the following RESEA meetings must be referred to UI Adjudication on the same day as the FTP occurred in accordance with Indiana State UI law.⁶

- Initial 1-on-1 meeting
- Follow Up meeting
- Sub RESEA meeting

The claimant will be subject to denial of and/or suspension of benefits until they participate in the required services.

FTP requalification must be reported to UI adjudication by noon on Friday of the week of the occurrence. Failure to timely submit requalification notices may result in a disruption of benefit payments.

Federal Performance and Reporting

The RESEA program is accountable to the following federal performance measures:⁷

- Reemployment Rate in the 2nd Quarter after Program Exit Quarter for RESEA Program Participants/Claimants (a Core Measure);
- Median Earnings in the 2nd Quarter after Program Exit Quarter for RESEA Program Participants/Claimants (a Program Performance Measure); and
- Reemployment Rate for all UI Eligible Participants/Claimants in the 2nd Quarter after Program Exit Quarter (a Program Performance Measure).

The 9128 (Workload)/9129 (Outcomes) reports are completed by DWD on a quarterly basis and submitted electronically to the United State Department of Labor (USDOL). The performance period for these measures is reported in accordance with the federal four-quarter cycle:

- October 1 – December 31
- January 1 – March 31
- April 1 – June 30
- July 1 – September 30

In addition to meeting the expected levels of performance on the above listed federal performance measures, the region will be expected to have 30% or less of scheduled participants failing to participate.⁸

⁶ IC 22-4.

⁷ TEGL 9-20.

⁸ If the local office's number of 4th week claims are below goal, the success rate (70% participation) will be based on the number of claimants scheduled instead of projection.

RESEA performance reports are extracted from DWD's case management system, where all claimant data and activities are documented. Data entry of service provision must be entered into the system within 48 hours of the event/activity.

Program Funding

Federal Funding Process

USDOL RESEA funding opportunities and guidelines are issued through Unemployment Insurance Program Letters (UIPL), which are typically released between the last quarter of a calendar year and the first quarter of the following calendar year.

DWD conducts an analysis⁷ each year to determine program goals for the upcoming program year and completes the USDOL grant application according to the instructions provided in the UIPL. Federal funding levels are based on a variety of factors that may include, but are not limited to, the following:

- Regional, State, and National economic outlooks;
- Regional and State Unemployment rates;
- Regional, State, and National RESEA claimant volume and efficiency;
- Entered Employment Rates (EER) and Employment Retention Rates (ERR);
- Average Wages (for 4 quarters after quarter of reemployment); and
- Pilot programs and innovations.

Regional Funding Process

DWD conducts an analysis of the region each year to determine appropriate funding levels. The analysis includes, but is not limited to the following:

- Prior year performance
- Forecasted expected levels of performance by USDOL
- Local labor market information (LMI)
- Local claimant volumes
- Staffing levels needed to sufficiently provide reemployment services

RESEA funding is issued annually to the regions through a sub-grantee process and includes funding for programming and administration.

Program Oversight

DWD Program and Fiscal Monitoring

DWD staff will conduct program and fiscal monitoring concurrent with annual⁹ WIOA monitoring.

Monitoring activities will include, but are not limited to, the following:

- Participant record reviews;
- Observations of RESEA orientations and/or 1-on-1 meetings;
- Review of regional self-monitoring documents;

⁹ Monitoring may be completed more frequently if there is a need to address compliance issues.

- Sample expenditure reviews; and
- Analysis of cost per participant.

An annual monitoring schedule will be provided as it becomes available.

Monitoring results will be provided in the following categories:

- **Noteworthy Efforts** (Best Practices) - New, unique, significant, or innovative initiatives and results, and/or notable or exemplary practices.
- **Areas of Concern** - Items that may or may not be compliance-based but may impede effectiveness and efficiency of service delivery. DWD may offer suggestions or assistance to the region in making qualitative improvements.
- **Compliance Findings** - Items identified as non-compliant with federal, state, or local regulations, policies, or procedures. DWD will provide citations from appropriate authorities, identify specific areas of non-compliance, and prescribe the corrective measures necessary for resolution.
- Previous corrective action plans (if applicable).

Following the completion of monitoring, the region will receive a RESEA Monitoring Report detailing the results from DWD's programmatic and fiscal monitoring activities. The report is typically made available within 30 days following the completion of monitoring.

When findings are identified, the region has 30 days to submit a plan for how to resolve the identified issue(s) for DWD's approval. This plan should identify the action steps the region has initiated to correct the issue, estimated date when problem will be resolved, and how the region will be involved in addressing the issue. DWD RESEA staff track these communications until the issue(s) have been resolved and communicates such in a letter.

Regional Self-Monitoring

Regions are responsible for self-monitoring their delivery of the RESEA program and services. The region is required to conduct self-monitoring for each office designated to deliver RESEA services. Self-monitoring must occur approximately 45 days after initial RESEA meeting, utilizing the RESEA Self-Monitoring tool.¹⁰ Self-monitoring is intended to identify best practices and areas for improvement prior to DWD's annual monitoring. In addition to self-monitoring, DWD encourages regions to conduct regular file reviews on the delivery of RESEA services.

DWD Requirements and Responsibilities

- **RESEA Staff Training** - DWD will develop, and make available, basic RESEA training materials to the regions and will conduct annual refresher training. All staff that deliver RESEA services are required to complete the annual refresher training.
- **Technical Assistance** - DWD will provide ongoing technical assistance to regions and update formal technical assistance guides as needed.
- **Error Reports** - DWD will provide an error report to the region weekly. RESEA staff must resolve all errors by Thursday of the reporting week to avoid overpayments to claimants.
- **Communications** - Microsoft TEAMS will be DWD's primary tool for resources and support. Any staff can be added to the channel upon request.

¹⁰ Please see Attachment A.

- **Program & Fiscal Monitoring**

Regional Requirements and Responsibilities

- **Staff Training** – RESEA training must be completed prior to the staff member delivering direct services to participants. Staff, working with RESEA participants, must also be trained to detect and report potential FTP and Able and Available (AA) issues to the UI division. Local RESEA staff are required to participate and complete annual refresher training provided by DWD.
- **Administrative Costs** - Regions may use up to 10% of their allocation for administration. Billing for administrative activities should be kept to the minimum amount necessary to conduct the RESEA program.
- **Program Costs and Staffing** - Based on the funding awarded and estimated claimant volume, a minimum number of RESEA staff will be required for each region. Regions are required to maintain minimum staffing levels to ensure services are available for RESEA participants. If a staff position is vacant for more than 30 days, the region must notify the Director of Re-Employment Pathways.¹¹
- **Time Charging** - Regions are required to maintain time charging records for any staff member supported by RESEA funding. These records must be made available to DWD upon request. The records must include at a minimum:
 - Staff Name
 - Job Title
 - Hire Date
 - RESEA Duties and Responsibilities
 - Regular Pay Rate
 - Regular Pay Rate w/benefits
 - Gross Pay
 - Total Hours Charged for Program Year
 - Average Weekly Hours charged to program
- **Communications** - Microsoft TEAMS will be DWD’s primary tool for resources and support. Any staff can be added to the channel upon request.
 - Regions are required to have at least one designee assigned to monitor the channel.
- **Interpreter Services**¹² - Notification of RESEA participation must include a Babel¹³ document in various languages. Claimants that inform the WorkOne/AJC of the need for interpretation services due to a hearing impairment or language barrier, must be offered reasonable accommodations to participate. RESEA staff must adjust the date and time of any required meeting to a date at which an interpreter can be made available to attend.
- **Regional Self-Monitoring**

Action

Regions must ensure local programs and policies align with this policy and all additional program guidance issued by DWD.

¹¹ DWD.RESEA@dwd.in.gov.

¹² RESEA staff should reach out to their Local EO Officer for additional information.

¹³ 29 CFR 38.9(g)(3).

The contents of this policy will be subject to routine DWD monitoring.

Attachments

Attachment A – Regional RESEA Self-Monitoring Tool (separate Excel File)

Effective Date

Immediately.

Ending Date

Upon rescission.

Additional Information

Questions regarding the content of this publication should be directed to the Director of Re-Employment Pathways, DWD.RESEA@dwd.in.gov.

Attachment A
RESEA Self-Monitoring Tool

See DWD's Active Policy page, <https://www.in.gov/dwd/compliance-policy/policy/active/>, to access the Excel file.