

EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	CLASSIFICATION UI
	CORRESPONDENCE SYMBOL OWS/DUIO
	DATE August 24, 2006

ADVISORY: ET HANDBOOK NO. 401, 3RD EDITION, CHANGE 18

TO: STATE WORKFORCE AGENCIES

FROM: *for* CHERYL ATKINSON *Cheryl Atkinson*
 Administrator
 Office of Workforce Security

SUBJECT: Employment and Training Administration (ETA) Reports ETA 9128
 Reemployment and Eligibility Assessments Activity and ETA 9129
 Reemployment and Eligibility Assessments Outcomes

1. Purpose. To provide data elements, definitions, and reporting instructions for form ETA 9128, contained in Section IV, Chapter 8 and form ETA 9129 contained in Section IV, Chapter 9 of ET Handbook No. 401.
2. References. Regional Office issuances regarding Fiscal Year (FY) 2006 Unemployment Insurance (UI) Grants to Continue Reemployment and Eligibility Assessment (REA) Programs.
3. Background. The Office of Management and Budget (OMB) has approved the U.S. Department of Labor's (DOL's) request to collect data on the REA initiative. Form ETA 9128 contains quarterly information about the REA activities for UI beneficiaries and the ETA 9129 contains data about the outcomes of these activities.

These reports support the ETA UI program goals of reducing improper payments and facilitating the reemployment of UI beneficiaries. These reports will be used to evaluate the outcomes of REA activities which are intended to ensure continuing benefit eligibility and to facilitate the delivery of reemployment services to beneficiaries.

RESCISSIONS None	EXPIRATION DATE April 30, 2007
----------------------------	--

4. OMB Approval. The reporting requirements for forms ETA 9128 and ETA 9129 are approved by OMB according to the Paperwork Reduction Act of 1995 under OMB approval No. 1205-0456, which expires on March 31, 2009. The Secretary's authority to implement this reporting requirement is found in section 303(a)(6) of the Social Security Act (42 U.S.C. 505(a)(6)). Persons are not required to respond to this collection of information unless it displays a currently valid OMB control number.
5. Burden Disclosure. The estimated reporting burden for this collection of information is five (5) hours per each of the quarterly reports (four responses per year per report), including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. 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, Employment and Training Administration, Office of Workforce Security (Attn: Diane Wood), 200 Constitution Avenue, NW, Room S-4522, Washington, D.C. 20210 (Paperwork Reduction Project 1205-0456).
6. Effective Date. These data elements, definitions, and reporting instructions are effective immediately upon issuance.
7. Instructions for Handbook Maintenance. Insert Chapter 8, ETA 9128 Reemployment and Eligibility Assessments Activities, pages IV-8-1 through IV-8-9 and Chapter 9, ETA 9129 Reemployment and Eligibility Assessments Outcomes, pages IV-9-1 through IV-9-7 in ET Handbook No. 401, 3rd Edition, Section IV, Special Programs.
8. Inquiries. Questions should be directed to the appropriate Regional Office.
9. Attachments. Chapters 8 and 9, Section IV of ET Handbook No. 401, 3rd Edition.

UI REPORTS HANDBOOK NO. 401

ETA 9128 Reemployment and Eligibility Assessments Activities

CONTENTS

A. FACSIMILE OF FORM IV-8-2

B. PURPOSE..... IV-8-3

C. DUE DATE AND TRANSMITTAL..... IV-8-3

D. GENERAL REPORTING INSTRUCTIONS IV-8-3

E. ITEM BY ITEM INSTRUCTIONS..... IV-8-3

1. NUMBER OF FIRST REAS.....IV-8-3

2. NUMBER OF REAS SCHEDULED.....IV-8-3

3. NUMBER OF REAS COMPLETEDIV-8-3

4. NUMBER REPORTING FOR REEMPLOYMENT SERVICES OR TRAINING.....IV-8-4

5. NUMBER REPORTING FOR REEMPLOYMENT SERVICES.....IV-8-4

6. NUMBER REPORTING FOR TRAININGIV-8-4

7. NUMBER OF REAS RESULTING IN A DISQUALIFICATION OR OVERPAYMENTIV-8-4

8. NUMBER OF DISQUALIFICATIONS FOR A SEPARATION ISSUEIV-8-4

9. NUMBER OF DISQUALIFICATIONS FOR ABLE AND AVAILABLE ISSUESIV-8-4

10. NUMBER OF DISQUALIFICATIONS FOR DISQUALIFYING INCOME.....IV-8-4

11. NUMBER OF DISQUALIFICATIONS FOR REFUSAL OF SUITABLE WORKIV-8-4

12. NUMBER OF DISQUALIFICATIONS FOR OTHER ISSUESIV-8-4

13. NUMBER COMPLETED REAS RESULTING IN AN OVERPAYMENTIV-8-4

14. DOLLAR AMOUNT OF OVERPAYMENTS ESTABLISHED.....IV-8-4

15. NUMBER OF REAS FOR WHICH CLAIMANT FAILED TO REPORT.....IV-8-5

16. NUMBER OF REAS RESCHEDULED.....IV-8-5

17. NUMBER OF DISQUALIFICATIONS FOR FAILURE TO REPORTIV-8-5

18. NUMBER OF FAILURES TO REPORT DISQUALIFIED FOR OTHER ISSUESIV-8-5

19. NUMBER OF OVERPAYMENTS FOR FAILURE TO REPORT.....IV-8-5

20. DOLLAR AMOUNT OF OVERPAYMENTS FOR FAILURE TO REPORT.....IV-8-5

21. NUMBER FAILED TO REPORT WITH NO DISQUALIFICATIONIV-8-5

22. NUMBER FAILED TO REPORT WHO RETURNED TO WORKIV-8-5

UI REPORTS HANDBOOK NO. 401

ETA 9128 Reemployment and Eligibility Assessments Activities

A. Facsimile of Form

ETA 9128
Reemployment and Eligibility Assessments (REAs) Workloads

1. Number of first REAs	_____
2. Number of REAs scheduled	_____
3. Number of REAs completed	_____
4. Number reporting for reemployment services or training	_____
5. Number reporting for reemployment services	_____
6. Number reporting for training	_____
7. Number REAs resulting in a disqualification or overpayment	_____
8. Number of disqualifications for a separation issue	_____
9. Number of disqualifications for able and available issue	_____
10. Number of disqualifications for disqualifying income	_____
11. Number of disqualifications for refusal of suitable work	_____
12. Number of disqualifications for other issues	_____
13. Number of completed REAs resulting in an overpayment	_____
14. Dollar amount of overpayments established	_____
15. Number of REAs for which claimant failed to report	_____
16. Number of REAs rescheduled	_____
17. Number of disqualifications for failure to report	_____
18. Number of failures to report disqualified for other issues	_____
19. Number of overpayments for failure to report	_____
20. Dollar amount of overpayments for failure to report	_____
21. Number failed to report with no disqualification	_____
22. Number failed to report who returned to work	_____

Persons are not required to respond to this collection of information unless it displays a currently valid OMB control number. Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reading instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the information. 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, Employment and Training Administration, Office of Workforce Security, Room S-4231, 200 Constitution Avenue NW, Washington, D.C. 20210 (Paperwork Reduction Project 1205-0456, expiration date March 31, 2009)

UI REPORTS HANDBOOK NO. 401

ETA 9128 Reemployment and Eligibility Assessments Activities

B. Purpose

The ETA 9128 report provides quarterly information on the Reemployment and Eligibility Assessment (REA) activities of claimants who are selected for REAs. REAs provide in-person service in One Stop Career Centers for claimants including the development of an individualized work search plan, appropriate labor market information (LMI) and referral to reemployment services as appropriate. The data on this report allows for evaluation and monitoring of the REA initiative on a national level.

C. Due Date and Transmittal

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

D. General Reporting Instructions

Data on this report deals with individuals in the regular Unemployment Insurance program. This includes regular Unemployment Insurance, Unemployment Compensation for Federal Employees (UCFE), and Unemployment Compensation for Ex-Servicemembers (UCX) who are selected for an REA. State Workforce Agencies should assure that systems are in place to collect information on service referrals.

Data are reported for the quarter in which the activity occurred. The activity being reported could occur in one or more quarters after the quarter in which the individual received an REA.

Individuals are generally counted only once in any single service category for either referred and reporting to services.

E. Item by Item Instructions.

1. Number of first REAs:

Enter the number of claimants who were scheduled for their first REA of their current benefit year during the report quarter.

2. Number of REAs scheduled:

Enter the number of REAs for which an official notice was sent to the claimant instructing them to report to the One-Stop Career Center. This number includes both those scheduled REAs for which the claimant reported as directed and those scheduled REAs for which the claimant failed to report. It does not include those REAs that the claimant cancelled in advance and which were rescheduled with no disqualification.

3. Number of REAs completed:

Enter the number of completed REAs to which the claimant reported as directed. Include REAs that were conducted for claimants who were rescheduled for an REA

UI REPORTS HANDBOOK NO. 401

ETA 9128 Reemployment and Eligibility Assessments Activities

after missing an appointment

4. Number reporting for reemployment services or training:
Enter the number of claimants reporting for reemployment services or training as a result of an REA. Claimants should be reported only once in items 5 or 6 below, not in both categories.
5. Number reporting for reemployment services:
Enter the number of claimants reporting for reemployment services as a result of referral from an REA.
6. Number reporting for training:
Enter the number of claimants reporting for training as a result of referral from an REA.
7. Number of REAs resulting in a disqualification or overpayment:
Enter the number of REAs from which a disqualification or overpayment occurs. Claimants who are both disqualified and for whom an overpayment occurs should only be counted once for each REA.
8. Number of disqualifications for a separation issue:
Enter the number of REAs from which a disqualification was issued based on a separation issue.
9. Number of disqualifications for able and available issues:
Enter the number of REAs from which a disqualification was issued based upon an able and available issue.
10. Number of disqualifications for disqualifying income:
Enter the number of REAs from which a disqualification was issued based upon disqualifying income.
11. Number of disqualifications for refusal of suitable work:
Enter the number of REAs from which a disqualification was issued based upon the refusal of suitable work or refusal of a referral to suitable work.
12. Number of disqualifications for other issues:
Enter the number of REAs from which a disqualification was issued based upon an issue not covered in items 8 through 11.
13. Number completed REAs resulting in an overpayment:
Enter the number of REAs in which an overpayment was identified and officially established.
14. Dollar amount of overpayments established:

UI REPORTS HANDBOOK NO. 401

ETA 9128 Reemployment and Eligibility Assessments Activities

Enter the total dollar amount of overpayments included in item 13.

15. Number of REAs for which claimant failed to report:

Enter the number of REAs in which a claimant was scheduled to report and failed to do so. This number includes those claimants who were sent an official notice to report for an REA and who did not report as directed. It includes claimants who failed to report and who were subsequently rescheduled for an REA at a different time. It does not include REAs that were cancelled in advance by the claimant and for which no disqualification was issued.

16. Number of REAs rescheduled:

Enter the number of REAs for which a claimant failed to report which were rescheduled without disqualification.

17. Number of disqualifications for failure to report:

Enter the number of REAs for which the claimant failed to report and for which the claimant was disqualified for failing to meet the reporting requirements of state law.

18. Number of failures to report disqualified for other issues:

Enter the number of REAs for which the claimant failed to report and for which the claimant was disqualified for an issue other than the failure to report.

19. Number of overpayments for failure to report:

Enter the number of REAs for which an overpayment was established due the failure to report for the REA.

20. Dollar amount of overpayments for failure to report:

Enter the total dollar amount of overpayment dollars established in 19 above.

21. Number failed to report with no disqualification:

Enter the number of REAs for which the claimant failed to report and for which no disqualification was issued.

22. Number failed to report who returned to work:

Enter the number of claimants who failed to report, identified in item 21 above, as a result of having returned to work.

CONTENTS

A. FACSIMILE OF FORM IV-9-2

B. PURPOSE IV-9-2

C. DUE DATE AND TRANSMITTAL IV-9-3

D. GENERAL REPORTING INSTRUCTIONS IV-9-3

E. ITEM BY ITEM INSTRUCTIONS IV-9-3

1. Claimants in a state-defined comparison group IV-9-3

 a. Number Who Established a UI Benefit Year IV-9-3

 b. Total Weeks Compensated IV-9-3

 c. Total Benefits Paid IV-9-4

 d. Number of Disqualifications IV-9-4

 e. Number Exhausting Benefits IV-9-4

 f. Number Reemployed IV-9-4

 g. Average Weeks to Date of Reemployment IV-9-4

 h. Amount of Overpayments Established IV-9-4

2. Claimants scheduled for at least one REA during the benefit year IV-9-4

 a. Number Who Established a UI Benefit Year IV-9-4

 b. Total Weeks Compensated IV-9-4

 c. Total Benefits Paid IV-9-4

 d. Number of Disqualifications IV-9-4

 e. Number Exhausting Benefits IV-9-5

 f. Number Reemployed IV-9-5

 g. Average Weeks to Date of Reemployment IV-9-5

 h. Amount of Overpayments Established IV-9-5

ETA 9129 Reemployment and Eligibility Assessments Outcomes

A. Facsimile of Form

ETA 9129 Reemployment and Eligibility Assessments Outcomes	
1. Claimants in a state-defined comparison group	
a. Number who established a UI benefit year	_____
b. Total weeks compensated	_____
c. Total benefits paid	_____
d. Number of disqualifications	_____
e. Number exhausting benefits	_____
f. Number reemployed	_____
g. Average weeks to date of reemployment	_____
h. Amount of overpayments established	_____
2. Claimants who were scheduled for at least one REA during the benefit year	
a. Number who established a UI benefit year	_____
b. Total weeks compensated	_____
c. Total benefits paid	_____
d. Number of disqualifications	_____
e. Number exhausting benefits	_____
f. Number reemployed	_____
g. Average weeks to date of reemployment	_____
h. Amount of overpayments established	_____

Persons are not required to respond to this collection of information unless it displays a currently valid OMB control number. Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reading instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the information. 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, Employment and Training Administration, Office of Workforce Security, Room S-4231, 200 Constitution Avenue NW, Washington, D.C. 20210 (Paperwork Reduction Project 1205-0456, expiration date March 31, 2009)

B. Purpose.

The REA initiative provides funds to conduct in-person assessments in the One-Stop facilities which include: a UI continued eligibility review, the provision of labor market information, development of an individualized work-search plan, and referral to reemployment services and/or training, as appropriate. Assessments are to be provided to selected claimants who do not have a definite return-to-work date. States develop a specific method of selecting REA claimants and of providing a comparison group of claimants who do not receive an REA.

ETA 9129 Reemployment and Eligibility Assessments Outcomes

The ETA 9129 report provides quarterly information on the outcomes of Reemployment and Eligibility Assessment (REA) activities for claimants who are selected for REA activities and about a comparison group that has been identified by the State Workforce Agency. REAs provide in-person service in the One Stop Career Center for applicants including the development of an individualized work search plan, appropriate labor market information (LMI) and referral to reemployment services as appropriate. The data on this report allows for evaluation and monitoring of the REA initiative.

C. Due Date and Transmittal

The electronically submitted report is due in the ETA National Office on the 20th of the fourteenth month following the quarter of reference (May 20, August 20, November 20, and February 20). For example, if the reference quarter is October-December 2006, the due date is February 20, 2008.

D. General Reporting Instructions

Data on this report deals with individuals in the regular Unemployment Insurance program (this includes State, UCFE, and UCX) who are selected for an REA and similar data is collected for individuals in a control group for purposes of comparison.

E. Item by Item Instructions

The ETA 9129 Report provides data about two distinct groups. The first is a state-defined comparison group of claimants who were not selected for an REA and the second is the group of claimants who were scheduled for an REA. This information will be used to compare the outcomes between those who were scheduled for an REA and those who were not scheduled for an REA.

1. Claimants in a state-defined comparison group

The number of claimants in the universe of claimants who were in the target group from which REA participants could have been selected for an REA but were not selected. The claimants in this group should have characteristics as similar as possible to the selected REA participation group.

a. Number Who Established a UI Benefit Year:

Enter the number of claimants in the state-defined comparison group who filed a claim and established a benefit year during the report quarter.

b. Total Weeks Compensated:

Enter the number weeks of benefits paid for those claimants reported in item 1.a. during their respective benefit years. This number includes weeks of partial payments.

ETA 9129 Reemployment and Eligibility Assessments Outcomes

- c. Total Benefits Paid:
Enter the total dollar amount of benefits paid to those claimants reported in item 1.a. during their respective benefit years. This number includes weeks of partial payments.
 - d. Number of Disqualifications:
Enter total number of disqualifications for those claimants reported in item 1.a. This may include multiple disqualifications.
 - e. Number Exhausting Benefits:
Enter the number of claimants reported in item 1.a. who exhausted benefits.
 - f. Number Reemployed:
Enter the number of claimants reported in item 1.a. who became reemployed within the benefit year, based on information from the National or State Directories of New Hire or other sources.
 - g. Average Weeks to Date of Reemployment:
Enter the average weeks from the date of the initial claim to the date of reemployment.
 - h. Amount of Overpayments Established:
Enter the dollar amount of overpayments established during the benefit year.
2. Claimants scheduled for at least one REA during the benefit year
The number of claimants in the universe of claimants who were scheduled for at least one REA during the benefit years.
- a. Number Who Established a UI Benefit Year:
Enter the number of claimants who filed a claim and established a benefit year during the report quarter.
 - b. Total Weeks Compensated:
Enter the number of weeks of benefits paid for those claimants reported in item 2.a. during their respective benefit years. This number includes weeks of partial payments.
 - c. Total Benefits Paid:
Enter the total dollar amount of benefits paid to those claimants reported in item 2.a. during their respective benefit years. This number includes weeks of partial payments.
 - d. Number of Disqualifications:
Enter total number of disqualifications for those claimants reported in item 2.a. This may include multiple disqualifications.

UI REPORTS HANDBOOK NO. 401

ETA 9129 Reemployment and Eligibility Assessments Outcomes

- e. **Number Exhausting Benefits:**
Enter the number of claimants reported in item 2.a. who exhausted benefits.

- f. **Number Reemployed:**
Enter the number of claimants reported in item 2.a. who became reemployed within the benefit year, based on information from the National or State Directories of New Hire or other sources.

- g. **Average Weeks to Date of Reemployment:**
Enter the average weeks from the date of the initial claim to the date of reemployment.

- h. **Amount of Overpayments Established:**
Enter the dollar amount of overpayments established during the benefit year.