

**Unemployment Insurance (UI) Reemployment Services and Eligibility  
Assessment (RESEA) Grants**

**FY 2017 TERMS AND CONDITIONS**

**TABLE OF CONTENTS**

<b>1. Parties .....</b>	<b>3</b>
<b>2. Grant Funds .....</b>	<b>3</b>
<b>3. Applicable Authority.....</b>	<b>3</b>
<b>4. Approved Statement of Work .....</b>	<b>3</b>
<b>5. Grant Expenditure Period .....</b>	<b>3</b>
<b>6. Electronic Funds Transfer.....</b>	<b>4</b>
<b>7. Resources and Information.....</b>	<b>4</b>
<b>8. Federal Project Officer.....</b>	<b>4</b>
<b>9. OTCnet Program Check Capture Legal Notices .....</b>	<b>4</b>
<b>10. Formula awards .....</b>	<b>4</b>
a. Notice of Award.....	4
<b>11. Funding Restrictions .....</b>	<b>5</b>
a. Mileage Reimbursement Rates .....	5
<b>12. Administrative Requirements .....</b>	<b>5</b>
a. Assurances and Certifications .....	5
b. Audits.....	6
c. Closeout/Final Year Requirements.....	6
d. Equipment .....	6
e. Federal Funding Accountability and Transparency Act.....	7
f. Intellectual Property Rights.....	9
g. Managing Subawards .....	10
h. Personally Identifiable Information.....	10
i. Pre-Award.....	10
j. Procurement.....	10
k. Program Income .....	11
l. Publicity .....	11
m. Recipient Integrity and Performance Matters .....	11
n. Reports .....	13
o. Requirements for Conference and Conference Space .....	13

p.	System for Award Management and Universal Identifier Requirements .....	13
q.	Travel .....	14
r.	Vendor/Contractor .....	14
<b>13.</b>	<b>Program Requirements.....</b>	<b>14</b>
<b>14.</b>	<b>2016 Appropriations Requirements .....</b>	<b>15</b>
a.	Funding for Travel to and from Meetings with an Executive Branch Agency .....	15
b.	Prohibition on Contracting with Corporations with Felony Criminal Convictions .....	15
c.	Prohibition on Contracting with Corporations with Unpaid Tax Liabilities .....	15
d.	Prohibition on Procuring Goods Obtained Through Child Labor.....	15
e.	Prohibition on Providing Federal Funds to ACORN .....	16
f.	Reporting of Waste, Fraud and Abuse .....	16
g.	Requirement for Blocking Pornography.....	16
h.	Requirement to Provide Certain Information in Public Communications.....	16
i.	Restriction on Health Benefits Coverage for Abortions .....	17
j.	Restriction on the Promotion of Drug Legalization .....	17
k.	Restriction on Purchase of Sterile Needles or Syringes.....	17
l.	Salary and Bonus Limitations .....	17
<b>15.</b>	<b>Public Policy .....</b>	<b>18</b>
a.	Architectural Barriers .....	18
b.	Buy American Notice Requirement .....	18
c.	Drug-Free Workplace .....	18
d.	Executive Orders.....	18
e.	Flood Insurance .....	19
f.	Hotel-Motel Fire Safety .....	19
g.	Prohibition on Trafficking in Persons .....	19
h.	Veterans' Priority Provisions .....	21
i.	Violation of the Privacy Act .....	21
j.	Age Discrimination Act of 1975 .....	21
<b>16.</b>	<b>Attachments .....</b>	<b>21</b>
	<i>Attachment A: SF-424</i>	
	<i>Attachment B: SF-424A</i>	
	<i>Attachment C: Statement of Work</i>	

## 1. Parties

Consistent with 20 CFR 601.6, this Annual Funding Agreement (grant agreement) is entered into between the Employment and Training Administration (ETA), U.S. Department of Labor (Grantor) and the Recipient for the purposes of administering state Unemployment Insurance (UI) program activities authorized under Title III of the Social Security Act (as amended), including the Unemployment Insurance Program Letter (UIPL) 3-17 and portions of other related Federal program laws and regulations applicable to the UI program funds. Funds are authorized for addressing individual reemployment needs of UI claimants, and the prevention and detection of improper payments through the voluntary Reemployment Services and Eligibility Assessment (RESEA) program.

## 2. Grant Funds

This grant agreement applies to Fiscal Year (FY) 2017 appropriated funds.

## 3. Applicable Authority

Funds provided under this grant agreement must be expended in accordance with all applicable federal statutes, regulations, and program directives; the applicable and approved RESEA Grant Proposal Abstract and the incorporated assurances; and the applicable provisions in the appropriations acts for these funds.

Approved Statement of Work as a condition for receipt of funds under the Annual Funding Agreement, the Grantee agrees to comply with the approved RESEA Grant Proposal Abstract and with any other plans required for the receipt of funds.

## 4. Grant Expenditure Period

The deadlines under this section are based on the FY 2017 Congressional Budget Justification, and are subject to change upon enactment of an appropriation act containing different deadlines. **The expenditure period for these funds is the period beginning January 1, 2017 and expiring December 31, 2017.** To allow for potential changes that might occur in states' ability to effectively use the RESEA grant funds during the expenditure period, the deadline specified by the Grant Officer for state obligation of these funds will be September 30, 2018. However, all estimated cost figures for proposals for the FY 2017 RESEA grants should be based on the time period ending December 31, 2017. Commencement of expenditures is subject to the effective date on the issuance of Federal obligation authority (Notice of Obligation (NOO)) for each grant funding source account funded under this agreement.

## 5. Electronic Funds Transfer

Cash payments shall be made to the Grantee under the Department of Health and Human Services (HHS) Payment Management System (PMS).

## 6. Resources and Information

Additional resources and information to assist you is located on the ETA website at <https://www.doleta.gov/grants/resources.cfm>. This site contains information about the Uniform Guidance, general terms and conditions, indirect cost assistance, recipient training resources and other relevant information.

## 7. Federal Project Officer

The grant award is assigned to the Atlanta Regional Office – Region 3, which will assign a Federal Project Officer to your award. Please contact the Regional office for more information at [RO3-RA-ATL@dol.gov](mailto:RO3-RA-ATL@dol.gov) or (404) 302-5300.

The FPO is not authorized to change any of the terms or conditions of the award or approve prior approval requests. Any changes to the terms or conditions or prior approvals must be approved by the Grant Officer through the use of a formally executed award modification.

## 8. OTCnet Program Check Capture Legal Notices

The Department of Labor, Employment Training and Administration will be using U.S. Treasury Paper Check Conversion. Henceforth, processing of Check Payments received in Person or by Mail will be converted into an electronic funds transfer (EFT).

## 9. Formula awards

### a. Notice of Award

Funds shall be obligated and allocated via a Notice of Award (NOA) grant modification. Obligations and costs may not exceed the amount awarded by the NOA modification unless otherwise modified by ETA. Funds are obligated for the amount indicated in the “Modification 0” NOA in accordance with the recipient’s award amount. The Federal obligation level will be amended by the Grant Officer subject to the availability of Federal funds and may be adjusted as a result of the final FY 2017 appropriations through the issuance of additional Notice of Award(s) (or Deobligation) grant modification(s) as required.

## 10. Funding Restrictions

### a. Mileage Reimbursement Rates

Pursuant to 2 CFR 200.474(a), recipients must have policies and procedures in place related to travel costs; however, for reimbursement on a mileage basis, this federal award cannot be charged more than the maximum allowable Mileage Reimbursement Rates for Federal employees. The 2017 Mileage Reimbursement Rates are:

Modes of Transportation	Effective/Applicability Date	Rate per mile
Privately owned automobile	January 1, 2017	\$0.54
Privately owned motorcycle	January 1, 2017	\$0.51

Mileage rates must be checked annually at [www.gsa.gov/mileage](http://www.gsa.gov/mileage) to ensure compliance.

## 11. Administrative Requirements

### a. Assurances and Certifications

The signed SF-424, Application for Federal Assistance, has been included as an attachment to this grant. The individual that signed the SF-424 on behalf of the applicant is considered the Authorized Representative of the applicant. As stated in block 21 of the SF-424 form, the signature of the Authorized Representative on the SF-424 certifies that the organization is in compliance with the Assurances and Certifications form SF-424B (available at <http://apply07.grants.gov/apply/forms/sample/SF424B-V1.1.pdf> ). You do not need to submit the SF-424B form separately.

In performing its responsibilities under this grant agreement, the Grantee will fully comply with the following State Quality Service Plan (SQSP) assurances, which are incorporated into this grant agreement by reference with the two “exceptions/revisions” and one “expansion” annotated below. The SQSP assurances are listed below and are detailed in Chapter 1, Part VII of the “Unemployment Insurance SQSP Planning and Reporting Guidelines,” ET Handbook No. 336 (18<sup>th</sup> Edition).

#### **Assurance of Equal Opportunity**

#### **Assurance of Administrative Requirements and Allowable Cost Standards**

##### **Exception/Revision (Real Property Acquired with Reed Act Funds)**

The assurance in Chapter 1 (VII.B.1.c) is no longer applicable. Section 192(b) of the Workforce Innovation and Opportunity Act (WIOA), prohibits the use of UI administrative grant funds to amortize the cost of real property acquired on or after February 15, 2007. Please contact the grant officer about depreciation of real property acquired with Reed Act funds.

**Exception/Revision (Prior Approval of Equipment Purchases Waiver, Chapter 1 (VII. B.2.d)).**

**Assurance of Management Systems, Reporting, and Recordkeeping**

**Assurance of Program Quality**

**Assurance on Use of Unobligated Funds**

**Assurance of Prohibition of Lobbying Costs**

**Drug-Free Workplace**

**Assurance of Contingency Planning**

**Assurance of Conformity and Compliance**

**Assurance of Automated Information Systems Security**

**Assurance of Confidentiality**

**b. Audits**

Organization-wide or program-specific audits shall be performed in accordance with the Single Audit Act Amendments of 1996. Recipients that expend \$750,000 or more in a year in Federal awards shall have an audit conducted for that year in accordance with the requirements contained in 2 CFR 200.501. The provisions of 2 CFR Subpart F, Audit Requirements, will apply to audits of non-Federal entity fiscal years beginning on or after December 26, 2014. The revised audit requirements are not applicable to fiscal years beginning prior to that date.

**c. Closeout/Final Year Requirements**

At the end of the grant period, the recipient will be required to close the grant with ETA. The recipient will be notified approximately 15 days prior to the end of the period of performance that the initiation of closeout will begin at the end of the grant. Information concerning the recipient's responsibilities at closeout may be found in 2 CFR 200.343.

**d. Equipment**

The requirement that grant recipients obtain prior approval from the Federal Grantor agency for all purchases of equipment (as described in 2 CFR 200.439) is waived in accordance with 2 CFR 200.308(c)(4), and approval authority is delegated to the state administrator. Notwithstanding this waiver, the Grantor reserves the right to re-impose the requirement of prior approval, after providing advance notice to the State (Recipient).

## e. Federal Funding Accountability and Transparency Act

1. *Reporting of first-tier subawards.*
  - i. *Applicability.* Unless you are exempt as provided in paragraph [4.] of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph [5.] of this award term).
  - ii. *Where and when to report.*
    - a. You must report each obligating action described in paragraph [1.i.] of this award term to <http://www.fsrc.gov>.
    - b. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)
  - iii. *What to report.* You must report the information about each obligating action that the submission instructions posted at <http://www.fsrc.gov> specify.
2. *Reporting Total Compensation of Recipient Executives.*
  - i. *Applicability and what to report.* You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if—
    - a. the total Federal funding authorized to date under this award is \$25,000 or more;
    - b. in the preceding fiscal year, you received—
      - (A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
      - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
    - c. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)
  - ii. *Where and when to report.* You must report executive total compensation described in paragraph [2.i.] of this award term:
    - a. As part of your registration profile at <http://www.sam.gov>.
    - b. By the end of the month following the month in which this award is made, and annually thereafter.
3. *Reporting of Total Compensation of Subrecipient Executives.*
  - i. *Applicability and what to report.* Unless you are exempt as provided in paragraph [4.] of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most

highly compensated executives for the subrecipient's preceding completed fiscal year, if—

- a. in the subrecipient's preceding fiscal year, the subrecipient received—
    - (A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
    - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and
  - b. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)
- ii. *Where and when to report.* You must report subrecipient executive total compensation described in paragraph [3.i] of this award term:
    - a. To the recipient.
    - b. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

4. *Exemptions*

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

- i. Subawards, and
- ii. The total compensation of the five most highly compensated executives of any subrecipient.

5. *Definitions.* For purposes of this award term:

- i. *Entity* means all of the following, as defined in 2 CFR part 25:
  - a. A Governmental organization, which is a State, local government, or Indian tribe;
  - b. A foreign public entity;
  - c. A domestic or foreign nonprofit organization;
  - d. A domestic or foreign for-profit organization;
  - e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
- ii. *Executive* means officers, managing partners, or any other employees in management positions.
- iii. *Subaward:*
  - a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.



- b. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see [2 CFR 200.330]).
- c. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.
- iv. *Subrecipient* means an entity that:
  - a. Receives a subaward from you (the recipient) under this award; and
  - b. Is accountable to you for the use of the Federal funds provided by the subaward.
- v. *Total compensation* means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):
  - a. *Salary and bonus.*
  - b. *Awards of stock, stock options, and stock appreciation rights.* Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - c. *Earnings for services under non-equity incentive plans.* This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - d. *Change in pension value.* This is the change in present value of defined benefit and actuarial pension plans.
  - e. *Above-market earnings on deferred compensation which is not tax-qualified.*
  - f. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## **f. Intellectual Property Rights**

The Federal Government reserves a paid-up, nonexclusive and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use for federal purposes: i) the copyright in all products developed under the grant, including a subgrant or contract under the grant or subgrant; and ii) any rights of copyright to which the recipient, subrecipient or a contractor purchases ownership under an award (including but not limited to curricula, training models, technical assistance products, and any related materials). Such uses include, but are not limited to, the right to modify and distribute such products worldwide by any means, electronically or otherwise. Federal funds may not be used to pay any royalty or license fee for use of a copyrighted work, or the cost of acquiring by purchase a copyright in a work, where the Department has a license or rights of free use in such work, although they may be used to pay costs for obtaining a copy which is limited to the developer/seller costs of copying and shipping. If revenues are generated through selling products developed with grant funds, including intellectual property, these revenues are program income. Program income must be used in accordance with the provisions of this grant award and 2 CFR 200.307.

If applicable, the following needs to be on all products developed in whole or in part with grant funds:

*“This workforce product was funded by a grant awarded by the U.S. Department of Labor’s Employment and Training Administration. The product was created by the recipient and does not necessarily reflect the official position of the U.S. Department of Labor. The Department of Labor makes no guarantees, warranties, or assurances of any kind, express or implied, with respect to such information, including any information on linked sites and including, but not limited to, accuracy of the information or its completeness, timeliness, usefulness, adequacy, continued availability, or ownership. This product is copyrighted by the institution that created it.”*

## **g. Managing Subawards**

*Subaward* means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

The provisions of the Terms and Conditions of this award will be applied to any subrecipient under this award. The recipient is responsible for the monitoring of the subrecipient, ensuring that the Terms and Conditions are in all subaward packages and that the subrecipient is in compliance with all applicable regulations and the terms and conditions of this award (2 CFR 200.101(b)(1)).

## **h. Personally Identifiable Information**

Recipients must recognize and safeguard personally identifiable information (PII) except where disclosure is allowed by prior written approval of the Grant Officer or by court order. Recipients must meet the requirements in Training and Employment Guidance letter (TEGL 39-11, Guidance on the Handling and Protection of Personally Identifiable Information (PII)), (located at [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=7872](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=7872)).

## **i. Pre-Award**

All costs incurred by the recipient prior to the start date specified in the award issued by the Department are ***incurred at the recipient’s own expense.***

## **j. Procurement**

The Uniform Administrative Requirements (2 CFR 200.317) require states to follow the same policies and procedures it uses for non-federal funds. The state will comply with §200.322 Procurement of recovered *materials* and ensure that every purchase order or other contract includes any clauses required by section §200.326 Contract provisions. Recipients must also follow the requirements regarding the competitive award of One-Stop Operators and youth service providers in the Workforce Investment and Opportunity Act at WIOA Sec. 121(d) and sec. 123.

## k. Program Income

The Grant Officer chooses the Addition method as described in 2 CFR 200.307 must be used in allocating any program income generated for this grant award. The recipient is allowed to deduct costs incidental to generating Program Income to arrive at a Program Income. Reporting on program income expenditures must be reported on the ETA-9130.

## l. Publicity

No funds provided under this grant shall be used for publicity or propaganda purposes, for the preparation, distribution or use of any kit, pamphlet, booklet, publication, radio, television or film presentation designed to support or defeat legislation pending before the Congress or any state or local legislature or legislative body, except in presentation to the Congress or any state or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any state or local government, except in presentation to the executive branch of any state or local government itself. Nor shall grant funds be used to pay the salary or expenses of any recipient or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive Order proposed or pending before the Congress, or any state government, state legislature, or local legislature body other than for normal and recognized executive-legislative relationships or participation by an agency or officer of a state, local, or tribal government in policymaking and administrative processes within the executive branch of that government.

## m. Recipient Integrity and Performance Matters

- A. General reporting requirement. If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal agencies exceeds \$10,000,000 for any period of time during the project period of this award, then you as the recipient during that period of time must maintain the currency of information in the Federal Awardee Performance and Integrity Information System (FAPIIS)(then you as the recipient during that period of time must maintain the currency of information in the Federal Awardee Performance and Integrity Information System (FAPIIS) about civil, criminal, or administrative proceedings described in paragraph B. of this award term by updating the information in SAM) about civil, criminal, or administrative proceedings described in paragraph B. of this award term. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 417b). As required by section 3010 of Public Law 111-212, all information posted in FAPIIS on or after April 15, 2011, except past performance reviews, will be publicly available.
- B. Proceedings about which you must report. Submit the information required about each proceeding that:
  1. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from either the Federal Government or a State;
  2. Reached its final disposition during the most recent 5-year period; and
  3. Is one of the following:

1. A criminal proceeding that resulted in a conviction, as defined in paragraph E. of this award term;
  2. A civil proceeding that resulted in a finding of fault and liability and your paying a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;
  3. An administrative proceeding, as defined in paragraph e. of this award term, that resulted in a finding of fault and liability and your payment of either monetary fine or penalty of \$5,000 or more or a reimbursement, restitution, or damages in excess of \$100,000; or
  4. Any other criminal, civil, or administrative proceeding if:
    - i. It could have led to an outcome described in paragraph B.3.a, b, or c of this award term;
    - ii. It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and
    - iii. The requirement in this award term to disclose information about the proceeding does not conflict with applicable laws and regulations.
- C. Reporting procedures. Enter in SAM Entity Management area (formerly CCR), or any successor system, the FAPIIS information that SAM requires about each proceeding described in paragraph B. of this award term. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM (formerly CCR) because you were required to do so under Federal procurement contracts that you were awarded.
- D. Reporting frequency. During any period of time when you are subject to the requirement in paragraph A. of this award term, you must report FAPIIS information through SAM no less frequently than semiannually following your initial report of any proceedings for the most recent 5-year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report.
- E. Definitions. For purposes of this award term:
1. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level. It does not include audits, site visits, corrective plans, or inspection of deliverables.
    - a. Conviction, for purposes of this award term, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.
    - b. Total value of currently active grants, cooperative agreements, and procurement contracts includes —
      - i. Only the Federal share of the funding under any award with a recipient cost share or match; and
      - ii. The value of all options, even if not yet exercised.

## n. Reports

All ETA recipients are required to submit quarterly financial and narrative progress reports for each grant award.

- A. **Quarterly Financial Reports.** All ETA recipients are required to report quarterly financial data on the ETA 9130. ETA 9130 reports are due no later than 45 calendar days after the end of each specified reporting quarter. Reporting quarter end dates are June 30, September 30, December 31, and March 31. For guidance on ETA's financial reporting, reference Training and Employment Guidance Letter (TEGL) 02-16 and on our webpage at [https://www.doleta.gov/grants/financial\\_reporting.cfm](https://www.doleta.gov/grants/financial_reporting.cfm).

## o. Requirements for Conference and Conference Space

Conferences sponsored in whole or in part by the recipient of Federal awards are allowable if the conference is necessary and reasonable for the successful performance of the Federal Award. Recipients are urged to use discretion and judgment to ensure that all conference costs charged to the grant are appropriate and allowable. For more information on the requirements and allowability of costs associated with conferences, refer to 2 CFR 200.432. Recipients will be held to the requirements in 2 CFR 200.432. Costs that do not comply with 2 CFR 200.432 will be questioned and may be disallowed.

## p. System for Award Management and Universal Identifier Requirements

### 1. Requirement for System of Award Management

Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the SAM until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

### 2. Requirement for unique entity identifier

If you are authorized to make subawards under this award, you:

- i. Must notify potential subrecipients that no entity (see definition in paragraph [3] of this award term) may receive a subaward from you unless the entity has provided its unique entity identifier to you.
- ii. May not make a subaward to an entity unless the entity has provided its unique entity identifier to you.

### 3. Definitions

For purposes of this award term:

- i. *System of Award Management (SAM)* means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the SAM Internet site (currently at <http://www.sam.gov>).
- ii. *Unique entity identifier* means the identifier required for SAM registration to uniquely identify business entities.

- iii. *Entity*, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
- a. A Governmental organization, which is a State, local government, or Indian Tribe;
  - b. A foreign public entity;
  - c. A domestic or foreign nonprofit organization;
  - d. A domestic or foreign for-profit organization; and
  - e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
- iv. *Subaward*:
- a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
  - b. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see 2 CFR 200.330).
  - c. A subaward may be provided through any legal agreement, including an agreement that you consider a contract.
- v. *Subrecipient* means an entity that:
- a. Receives a subaward from you under this award; and
  - b. Is accountable to you for the use of the Federal funds provided by the subaward.

## q. Travel

This award waives the prior approval requirement for domestic travel as contained in 2 CFR 200.407. For domestic travel to be an allowable cost, it must be necessary, reasonable, allocable and conform to the non-Federal entities written policies and procedures. All travel must also comply with Fly America Act ( 49 USC 40118), which states in part that any air transportation, regardless of price, must be performed by, or under a code-sharing arrangement with, a US Flag air carrier if service provided by such carrier is available.

## r. Vendor/Contractor

The term “contractor”, sometimes referred to as a vendor, is a dealer, distributor, merchant or other seller providing goods or services that are required for the conduct of a Federal program. (2 CFR 200.23) These goods or services may be for an organization's own use or for the use of beneficiaries of the Federal program. Additional guidance on distinguishing between a subrecipient and a contractor (vendor) is provided in 2 CFR 200.330. When procuring contractor provided goods and services, DOL ETA recipients and subrecipients must follow the procurement requirements 2 CFR 200.319, which call for free and open competition.

## 12. Program Requirements

The Unemployment Insurance Program Letter (UIPL) 3-17 contains the program requirements for this award, including the FY 2017 changes which are intended to:

- Align RESEA with Workforce Innovation and Opportunity Act's (WIOA) broader vision of increased program integration and service delivery for job-seekers, including UI claimants;

- Promote greater consistency across states to support the future establishment of a mandatory RESEA program; and
- Grow the role of RESEA as an entry-point for UI beneficiaries into other workforce system partner programs, as has been proposed in the President’s budget.

Program requirements that are not identified in this section remain unchanged from FY 2016.

## **13. 2016 Appropriations Requirements**

### **a. Funding for Travel to and from Meetings with an Executive Branch Agency**

Pursuant to P.L. 114-113, Division E, Title VII, Section 739, grant funds may not be used for the purposes of defraying the costs of a conference held by any Executive branch department, agency, board, commission, or office unless it is directly and programmatically related to the purpose for which the grant or contract was awarded.

No funds made available through DOL appropriations may be used for travel and conference activities that are not in compliance with Office of Management and Budget Memorandum M-12-12 dated May 11, 2012 or any subsequent revisions to that memorandum.

### **b. Prohibition on Contracting with Corporations with Felony Criminal Convictions**

Pursuant to P.L. 114-113, Division E, Title VII, Section 746, the recipient may not knowingly enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to, any corporation that was convicted of a felony criminal violation under any Federal law within the preceding 24 months, unless a Federal agency has considered suspension or debarment of the corporation and has made a determination that this further action is not necessary to protect the interests of the Government.

### **c. Prohibition on Contracting with Corporations with Unpaid Tax Liabilities**

Pursuant to P.L. 114-113, Division E, Title VII, Section 745, the recipient may not knowingly enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to, any corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, unless a Federal agency has considered suspension or debarment of the corporation and has made a determination that this further action is not necessary to protect the interests of the Government.

Prohibition on Procuring Goods Obtained Through Child Labor

Pursuant to P.L. 114-113, Division H, Title I, Section 103, no funds may be obligated or expended for the procurement of goods mined, produced, manufactured, or harvested or services rendered, in whole or in part, by forced or indentured child labor in industries and host countries identified by DOL prior to December 18, 2015. DOL has identified these goods and services here: <http://www.dol.gov/ilab/reports/child-labor/list-of-products/index-country.htm> .

#### **d. Prohibition on Providing Federal Funds to ACORN**

Pursuant to P.L. 114-113, Division H, Title V, Section 522, these funds may not be provided to the Association of Community Organizations for Reform Now (ACORN), or any of its affiliates, subsidiaries, allied organizations or successors.

#### **e. Reporting of Waste, Fraud and Abuse**

Pursuant to P.L. 114-113, Division E, Title VII, Section 743, no entity receiving federal funds may require employees or contractors of such entity seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting such employees or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

#### **f. Requirement for Blocking Pornography**

Pursuant to P.L. 114-113, Division H, Title V, Section 521, no Federal funds may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography.

#### **g. Requirement to Provide Certain Information in Public Communications**

Pursuant to P.L. 114-113, Division H, Title V, Section 505, when issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all non-Federal entities receiving Federal funds shall clearly state:

1. The percentage of the total costs of the program or project which will be financed with Federal money;
2. The dollar amount of Federal funds for the project or program; and
3. The percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

The requirements of this part are separate from those in the 2 CFR 200 and, when appropriate, both must be complied with.



## **h. Restriction on Health Benefits Coverage for Abortions**

Pursuant to P.L. 114-113, Division H, Title V, Sections 506 and 507, Federal funds may not be expended for health benefits coverage that includes coverage of abortions, except when the abortion due to a pregnancy that is the result of rape or incest, or in the case where a woman suffers from a physical disorder, physical injury, including life-endangering physical conditions caused by or arising from the pregnancy itself that would, as certified by a physician, place the women in danger of death unless and abortion is performed. This restriction does not prohibit any non-Federal entity from providing health benefits coverage for abortions when all funds for that specific benefit do not come from a Federal source. Additionally, no funds made available through this award may be provided to a State or local government if such government subjects any institutional or individual health care entity to discrimination on the basis that the health care entity does not provide, pay for, provide coverage of, or refer for abortions.

## **i. Restriction on the Promotion of Drug Legalization**

Pursuant to P.L. 114-113, Division H, Title V, Section 509, no Federal funds shall be used for any activity that promotes the legalization of any drug or other substance included in schedule I of the schedules of controlled substances established under section 202 of the Controlled Substances Act except for normal recognized executive-congressional communications or where the grant agreement provides for such use because there is significant medical evidence of a therapeutic advantage to the use of such drug or other substance.

## **j. Restriction on Purchase of Sterile Needles or Syringes**

Pursuant to P.L. 114-113, Division H, Title V, Section 520, no Federal funds shall be used to purchase sterile needles or syringes for the hypodermic injection of any illegal drug.

## **k. Salary and Bonus Limitations**

Pursuant to P.L. 114-113, Division H, Title I, Section 105 none of the funds appropriated under the heading "Employment and Training" shall be used by a recipient or sub-recipient of such funds to pay the salary and bonuses of an individual, either as direct costs or indirect costs, at a rate in excess of Executive Level II. The Executive Level II salary may change yearly and is located on the OPM.gov website (<http://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/2016/executive-senior-level>). The salary and bonus limitation does not apply to contractors (vendors) providing goods and services as defined in 2 CFR 200.330. Where States are recipients of such funds, States may establish a lower limit for salaries and bonuses of those receiving salaries and bonuses from subrecipients of such funds, taking into account factors including the relative cost-of-living in the State, the compensation levels for comparable State or local government employees, and the size of the organizations that administer Federal programs involved including Employment and Training Administration programs. See Training and Employment Guidance Letter No. 5-06 for further clarification, available at [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2262](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2262)

## 14. Public Policy

### a. Architectural Barriers

The Architectural Barriers Act of 1968, 42 U.S.C. 4151 et seq., as amended, the Federal Property Management Regulations (see 41 CFR 102-76), and the Uniform Federal Accessibility Standards issued by GSA (see 36 CFR 1191, Appendixes C and D) set forth requirements to make facilities accessible to, and usable by, the physically handicapped and include minimum design standards. All new facilities designed or constructed with grant support must comply with these requirements.

### b. Buy American Notice Requirement

None of the funds made available under this act may be expended by an entity unless the entity agrees that in expending the funds it will comply with sections 8301 through 8303 of title 41, United States Code (commonly known as the “Buy American Act”).

### c. Drug-Free Workplace

The Drug-Free Workplace Act of 1988, 41 U.S.C. 702 et seq., and 2 CFR 182 require that all organizations receiving grants from any Federal agency maintain a drug-free workplace. The recipient must notify the awarding office if an employee of the recipient is convicted of violating a criminal drug statute. Failure to comply with these requirements may be cause for suspension or debarment.

### d. Executive Orders

**12928:** Pursuant to Executive Order 12928, the recipient is strongly encouraged to provide subcontracting/subgranting opportunities to Historically Black Colleges and Universities and other Minority Institutions such as Hispanic-Serving Institutions and Tribal Colleges and Universities; and to Small Businesses Owned and Controlled by Socially and Economically Disadvantaged Individuals.

**13043:** Pursuant to Executive Order 13043, Increasing Seat Belt Use in the United States, dated April 16, 1997, recipients are encouraged to adopt and enforce on-the-job seat belt policies and programs for their employees when operating company-owned, rented, or personally owned vehicles.

**13166:** As clarified by Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, dated August 11, 2000, and resulting agency guidance, national origin discrimination includes discrimination on the basis of limited English proficiency (LEP). To ensure compliance with Title VI, recipients must take reasonable steps to ensure that LEP persons have meaningful access to programs in accordance with DOL’s Policy Guidance on the Prohibition of National Origin Discrimination as it Affects Persons with Limited English Proficiency [05/29/2003] Volume 68, Number 103, Page 32289-32305. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. Recipients are encouraged to consider the need for language services for LEP persons

served or encountered both in developing budgets and in conducting programs and activities. For assistance and information regarding your LEP obligations, go to <https://www.lep.gov/> **13513**: Pursuant to Executive Order 13513, Federal Leadership On Reducing Text Messaging While Driving, dated October 1, 2009, recipients and subrecipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or Government Owned Vehicle (GOV), or while driving Privately Owned Vehicle (POV) when on official Government business or when performing any work for or on behalf of the Government. Recipients and subrecipients are also encouraged to conduct initiatives of the type described in section 3(a) of this order.

#### **e. Flood Insurance**

The Flood Disaster Protection Act of 1973, as amended, 42 U.S.C. 4001 *et seq.*, provides that no Federal financial assistance to acquire, modernize, or construct property may be provided in identified flood-prone communities in the United States, unless the community participates in the National Flood Insurance Program and flood insurance is purchased within 1 year of the identification. The flood insurance purchase requirement applies to both public and private applicants for DOL support. Lists of flood-prone areas that are eligible for flood insurance are published in the Federal Register by FEMA.

#### **f. Hotel-Motel Fire Safety**

Pursuant to 15 U.S.C. 2225a, the recipient must ensure that all space for conferences, meetings, conventions or training seminars funded in whole or in part with federal funds complies with the protection and control guidelines of the Hotel and Motel Fire Safety Act (P.L. 101-391, as amended). Recipients may search the Hotel Motel National Master List at <http://www.usfa.dhs.gov/applications/hotel/> to see if a property is in compliance, or to find other information about the Act.

#### **g. Prohibition on Trafficking in Persons**

##### **I. Trafficking in persons.**

##### **a. Provisions applicable to a recipient that is a private entity.**

1. You as the recipient, your employees, subrecipients under this award, and subrecipients' employees may not—
  - i. Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
  - ii. Procure a commercial sex act during the period of time that the award is in effect; or
  - iii. Use forced labor in the performance of the award or subawards under the award.
2. We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a subrecipient that is a private entity —
  - i. Is determined to have violated a prohibition in paragraph a.1 of this award term; or

ii. Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a.1 of this award term through conduct that is either—

A. Associated with performance under this award; or

B. Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 29 CFR Part 98.

b. *Provision applicable to a recipient other than a private entity.* We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity—

1. Is determined to have violated an applicable prohibition in paragraph a.1 of this award term; or

2. Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a.1 of this award term through conduct that is either—

i. Associated with performance under this award; or

ii. Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 29 CFR Part 98.

c. *Provisions applicable to any recipient.*

1. You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a.1 of this award term.

2. Our right to terminate unilaterally that is described in paragraph a.2 or b of this section:

i. Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and

ii. Is in addition to all other remedies for noncompliance that are available to us under this award.

3. You must include the requirements of paragraph a.1 of this award term in any subaward you make to a private entity.

d. *Definitions.* For purposes of this award term:

1. “Employee” means either:

i. An individual employed by you or a subrecipient who is engaged in the performance of the project or program under this award; or

ii. Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.

2. “Forced labor” means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.

3. "Private entity":
  - i. Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25.
  - ii. Includes:
    - A. A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).
    - B. A for-profit organization.
4. "Severe forms of trafficking in persons," "commercial sex act," and "coercion" have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

## **h. Veterans' Priority Provisions**

The Jobs for Veterans Act (Public Law 107-288) requires recipients to provide priority of service to veterans and spouses of certain veterans for the receipt of employment, training, and placement services in any job training program directly funded, in whole or in part, by DOL. The regulations implementing this priority of service can be found at 20 CFR part 1010. In circumstances where a grant recipient must choose between two qualified candidates for a service, one of whom is a veteran or eligible spouse, the veterans priority of service provisions require that the grant recipient give the veteran or eligible spouse priority of service by first providing him or her that service. To obtain priority of service, a veteran or spouse must meet the program's eligibility requirements. Recipients must comply with DOL guidance on veterans' priority. ETA's Training and Employment Guidance Letter (TEGL) No. 10-09 (issued November 10, 2009) provides guidance on implementing priority of service for veterans and eligible spouses in all qualified job training programs funded in whole or in part by DOL. TEGL No. 10-09 is available at [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2816](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2816).

## **i. Violation of the Privacy Act**

These funds cannot be used in contravention of the 5 USC 552a or regulations implementing that section.

## **j. Age Discrimination Act of 1975**

The Age Discrimination Act of 1975, 42 U.S.C. 6101 et seq., prohibits discrimination on the basis of age in any program or activity receiving Federal Financial assistance.

## **15. Attachments**

**Attachment A: SF-424**

**Attachment B: SF-424-A**

**Attachment C: Statement of Work**

Application for Federal Assistance SF-424	
<b>* 1. Type of Submission:</b> <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	
<b>* 2. Type of Application:</b> <input type="checkbox"/> New <input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Revision	
<b>* If Revision, select appropriate letter(s):</b> _____ <b>* Other (Specify):</b> _____	
<b>* 3. Date Received:</b> 12/09/2016	<b>4. Applicant Identifier:</b> _____
<b>5a. Federal Entity Identifier:</b> _____	<b>5b. Federal Award Identifier:</b> _____
<b>State Use Only:</b>	
<b>6. Date Received by State:</b> _____	<b>7. State Application Identifier:</b> _____
<b>B. APPLICANT INFORMATION:</b>	
<b>* a. Legal Name:</b> Florida Department of Economic Opportunity	
<b>* b. Employer/Taxpayer Identification Number (EIN/TIN):</b> 36-4706134	<b>* c. Organizational DUNS:</b> 9689306640000
<b>d. Address:</b>	
<b>* Street1:</b> 107 East Madison Street, MSC 85, Caldwell Building	_____
<b>Street2:</b>	_____
<b>* City:</b> Tallahassee	_____
<b>County/Parish:</b>	_____
<b>* State:</b> FL: Florida	_____
<b>Province:</b>	_____
<b>* Country:</b> USA: UNITED STATES	_____
<b>* Zip / Postal Code:</b> 32399-4130	_____
<b>e. Organizational Unit:</b>	
<b>Department Name:</b> FL Dep of Economic Opportunity	<b>Division Name:</b> Div. of Finance & Accounting
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>	
<b>Prefix:</b> Ms	<b>* First Name:</b> Marcia
<b>Middle Name:</b>	_____
<b>* Last Name:</b> Mullins	_____
<b>Suffix:</b>	_____
<b>Title:</b> Government Operations Consultant II	
<b>Organizational Affiliation:</b> _____	
<b>* Telephone Number:</b> (850) 245-7422	<b>Fax Number:</b> (850) 245-7399
<b>* Email:</b> marcia.mullins@deo.myflorida.com	

**Application for Federal Assistance SF-424**

**\* 9. Type of Applicant 1: Select Applicant Type:**

A: State Government

**Type of Applicant 2: Select Applicant Type:**

**Type of Applicant 3: Select Applicant Type:**

**\* Other (specify):**

**\* 10. Name of Federal Agency:**

U.S. Department of Labor

**11. Catalog of Federal Domestic Assistance Number:**

17.225

**CFDA Title:**

Unemployment Insurance

**\* 12. Funding Opportunity Number:**

UIPL 3-17

**\* Title:**

FY 2017 Unemployment Insurance (UI) Reemployment Services and Eligibility Assessments (RESEA) Grant

**13. Competition Identification Number:**

**Title:**

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

2017\_LWDBs\_Counties.docx

Add Attachment

Delete Attachment

View Attachment

**\* 15. Descriptive Title of Applicant's Project:**

Florida - RESEA FY2017

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

\* a. Applicant

\* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed

17. Proposed Project:

\* a. Start Date:

\* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="5,355,367.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program income	<input type="text"/>
* g. TOTAL	<input type="text" value="5,355,367.00"/>

\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?

- a. This application was made available to the State under the Executive Order 12372 Process for review on
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)

Yes  No

If "Yes", provide explanation and attach

21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

\*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix:  \* First Name:   
Middle Name:   
\* Last Name:   
Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative: 

\* Date Signed:



**BUDGET INFORMATION - Non-Construction Programs**

**SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. FY 2017 01 RESEA	17.225	\$ 0.00	\$	\$ 5,355,367.00	\$	\$ 5,355,367.00
2.						
3.						
4.						
5. Totals		\$	\$	\$ 5,355,367.00	\$	\$ 5,355,367.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
	FY 2017 UT RESEA				
a. Personnel	\$ 220,511.00	\$	\$	\$	220,511.00
b. Fringe Benefits	118,737.00				118,737.00
c. Travel	3,000.00				3,000.00
d. Equipment	0.00				
e. Supplies	12,000.00				12,000.00
f. Contractual	4,891,968.00				4,891,968.00
g. Construction	0.00				
h. Other	64,768.00				64,768.00
i. Total Direct Charges (sum of 6a-6h)	5,310,984.00			\$	5,310,984.00
j. Indirect Charges	44,383.00			\$	44,383.00
k. TOTALS (sum of 6i and 6j)	\$ 5,355,367.00	\$	\$	\$	5,355,367.00
7. Program Income	\$	\$	\$	\$	

Authorized for Local Reproduction

**SECTION C - NON-FEDERAL RESOURCES**

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8. FY 2017 DI RESZA	\$	\$	\$	\$
9.				
10.				
11.				
12. TOTAL (sum of lines 8-11)	\$	\$	\$	\$

**SECTION D - FORECASTED CASH NEEDS**

Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal \$ 5,355,367.00	\$ 1,400,000.00	\$ 1,400,000.00	\$ 1,400,000.00	\$ 1,155,367.00
14. Non-Federal \$				
15. TOTAL (sum of lines 13 and 14) \$ 5,355,367.00	\$ 1,400,000.00	\$ 1,400,000.00	\$ 1,400,000.00	\$ 1,155,367.00

**SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT**

(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTAL (sum of lines 16 - 19)	\$	\$	\$	\$

**SECTION F - OTHER BUDGET INFORMATION**

21. Direct Charges:	
22. Indirect Charges:	Provisional Rate 13.0822%, Estimated Base \$339,248

23. Remarks:

**ELEMENTS OF AN UNEMPLOYMENT INSURANCE (UI)  
REEMPLOYMENT SERVICES AND ELIGIBILITY ASSESSMENT (RESEA) GRANT PROPOSAL ABSTRACT**  
(Use TAB function to complete this form.)

(1) State Name: Florida	
(2) Name and Title of the State Agency Administrator:	Name: Tom Clendenning Title: Director, Workforce Services Address: 107 E. Madison Street, Tallahassee, FL 32399
(3) RESEA Program Lead/Contact  <i>The person who can answer questions about the RESEA proposal.</i>	Name: Marcia Mullins Telephone: 850-245-7422 E-mail: Marcia.Mullins@deo.myflorida.com
(4) UI Program Lead/Contact  <i>The person who can answer questions about the UI aspects of the RESEA proposal. This person may also be the RESEA Program Lead/Contact.</i>	Name: Allicia Franks Telephone: 954-730-2610 E-mail: Allicia.Franks@deo.myflorida.com
(5) Total Funds From <u>prior</u> RESEA Grants Projected to Remain after December 31, 2016	\$ 0
(6) Total Proposed RESEA Project Cost	\$ 5,322,367

<p><i>The total amount of funds requested in this grant, which may be up to the limit specified in Attachment C. Do not include funds carried forward from 2016.</i></p>	
(7) Staff Benefit Cost Percentage Rate	35%
(8) Indirect Cost Percentage Rate	13.0828% Approved Provisional Rate
<p>(9) Total Service Delivery Staff Cost</p> <p><i>The total amount of funds requested for staff solely to conduct the RESEAs excluding management costs and other costs that are not related to service delivery such as programming.</i></p>	\$ 5,001,241
<p>(10) Total Management Costs</p> <p><i>The total amount of funds requested for program management costs excluding cost of staff who will conduct the RESEAs.</i></p>	\$ 488,667
<p>(11a) Total Information Technology (IT) Staff Costs</p> <p><i>The total amount of funds requested for programming and other IT staff costs.</i></p>	\$ 12,595
<p>(11b) Additional IT Costs (Applies to States that have not previously administered an RESEA program before FY 2017)</p> <p><i>If proposal includes a request for up to \$100,000 in IT costs beyond the administrative cost limit described identify the amount requested and provide a brief summary describing the proposed activities and how they would benefit claimants.</i></p>	
\$ 0	

<i>–Insert description of additional IT activities (Limit 500 words) –</i>	
N/A	
(12) Staff and Management Costs for a <u>Single</u> Completed Initial RESEA	
<i>The sum of service delivery staff costs and management costs divided by the number of initial RESEAs projected to be completed. (Initial RESEA costs are capped \$155 per initial RESEA)</i>	
\$ 152.96	
<i>(Narrative can be included to provide additional clarification or information as needed)</i>	
(13) Staff and Management Costs for Subsequent RESEA	\$ No Subsequent
<i>The sum of service delivery staff costs and management costs divided by the number of subsequent RESEAs projected to be complete. Must not exceed one subsequent RESEA and \$80 per claimant. If subsequent RESEAs are not included in program design please indicate “No Subsequent”.</i>	
(14) Staff Training Costs	\$ 3,000.00
<i>The total amount of funds requested for staff training to conduct RESEAs.</i>	
(15) Projected Time for a <u>Single</u> Initial RESEA, Including Paperwork	5 Hours
<i>The total time spent preparing for and conducting a single initial RESEA, recording results, and other</i>	

<i>documentation.</i>	
<p>(16) Projected Time for the Subsequent RESEA, Including Paperwork</p> <p><i>The total time spent preparing for and conducting a single subsequent RESEA, recording results and other documentation. If times for the second and third RESEA are expected to differ please provide both.</i></p>	N/A
<p>(17) Projected Costs for a Single RESEA for which the Claimant Fails to Report</p> <p><i>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.</i></p>	\$ 6.12
<p>(18) Total Number of Initial RESEAs to be Scheduled</p> <p><i>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.</i></p>	46,068
<p>(19) Total Number of Subsequent RESEAs to be Scheduled</p> <p><i>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.)</i></p>	N/A

<p>(20) Total Number of RESEAs Projected to be Completed</p> <p><i>The total number of RESEAs the state will schedule during the grant period for which the claimant will report and participate in an RESEA.</i></p>	<p>34,551</p>
<p>(21) Total Number of RESEAs Projected for which the Claimant Will Fail to Report</p> <p><i>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.</i></p>	<p>11,517</p>
<p>(22) Actions taken to reduce number of claimants failing to report.</p> <p><i>If the state has taken any actions in the past year and/or plans to carry out any actions in FY 2017, to reduce the number of claimants failing to report, please provide a brief description.</i></p>	
<p align="center"><b><i>–Insert description of activities taken to reduce claimants failing to report (Limit 500 words) –</i></b></p> <p>Staff called selected claimants a day prior to remind them of their scheduled appointments. This resulted in an increase in the “show rate” for program participants.</p> <p>LWDBs use either brightly colored envelopes or paper when they mail the notifications of the RESEA appointments. Some LWDBs stamp the envelopes with the words “Reemployment Appointment” to catch the claimant’s attention and encourage them to open the piece of mail.</p>	
<p>(23) Total number of RESEA Sites</p> <p><i>The total number of sites where RESEAs will be conducted. If RESEAs are conducted statewide, please indicate “statewide.” If RESEAs are provided at limited sites, list the towns/cities or local workforce areas where RESEA activities will be conducted.</i></p>	



*-Insert total number of sites and list of site locations if activities are not statewide- (Limit 500 words) -*

19 LWDBs, One-Stop Centers:

LWDB	CAREERSOURCE NAME	COUNTIES
2	Okaloosa Walton	Okaloosa; Walton
3	Chipola	Calhoun; Holmes; Liberty; Jackson; Washington
4	Gulf Coast	Bay; Gulf; Franklin
6	North Florida	Madison; Suwannee; Taylor; Hamilton; Jefferson; Lafayette
7	Florida Crown	Gilchrist; Union; Columbia; Dixie
8	Northeast Florida	St. Johns; Clay; Duval; Nassau; Baker; Putnam
9	North Central Florida	Alachua; Bradford
10	Citrus Levy Marion	Citrus; Levy; Marion
11	Flagler Volusia	Flagler; Volusia
12	Central Florida	Orange; Osceola; Seminole; Lake; Sumter
13	Brevard	Brevard
14	Pinellas	Pinellas
15	Tampa Bay	Hillsborough
16	Pasco Hernando	Pasco; Hernando
17	Polk	Polk
18	Suncoast	Sarasota; Manatee
21	Palm Beach County	Palm Beach
22	Broward	Broward
23	South Florida	Miami-Dade; Monroe

(24) Type of staff conducting RESEAs

Combination: WIOA, Wagner-Peyser, and UI

*Description of the staff that will conduct the RESEAs. List all applicable program staff including: UI, Wagner-Peyser-funded Employment Services, WIOA formula programs, or other.*

(25) Role of UI Staff

*Briefly describe the role played by UI staff in program management. As discussed in UIPL, all eligibility determinations and redeterminations are funded through the regular funding for non-monetary determinations and not through the RESEA grant. (limit 250 words)*

***–Insert description of UI staff roles (Limit 250 words) –***

Claims-examiners, who are state merit staff, conduct the ERPs. They are housed within the State office and are not located in local career centers. The ERPs are performed after the workforce activities have been completed. UI supervisors train the UI claims-examiners and UI adjudicators to ensure that the ERPs are properly conducted, that eligibility issues are noted, and that they are adjudicated to determine whether a disqualification should be recorded. The UI Supervisor randomly reviews cases to identify and correct errors in the process.

(26) Selection of RESEA Participants

*Describe how claimants are selected and at what point in the claim series selections are made. 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 (Limit 250 words) –***

Florida uses its Worker Profiling and Reemployment Services (WPRS) pool for selecting RESEA participants. Working with USDOL's profiling expert, the State has developed a profiling methodology which assigns a coefficient value to predict the likelihood of benefit exhaustion. Those with the highest scores are deemed to be the most likely to exhaust and are selected for either Florida's RESEA program or Priority Reemployment Planning Program (PREP), depending on the local area in which the claimant lives.

UCX claimants are included in the pool and receive the highest level of priority in the selection of participants.

Claimants excluded from entering the WPRS pool include out-of-State residents, those with a return to work date within eight weeks of the layoff date, members of a labor union, claimants who are in approved training, and those who were issued their first payment after 42 days of filing their claim. Participants will be scheduled no later than the fifth week of the claim series.

(27) Description of RESEA

*Provide a brief description of the state's initial and, if applicable, subsequent RESEA, including the elements of the RESEA and how the key components in this UIPL are implemented (limit 500 words).*

***–Insert description of RESEAs (Limit 500 words) –***

Florida law governing the unemployment insurance program requires that UI claimants complete a work registration process on Employ Florida – the state's job bank – prior to receiving their benefits, unless otherwise exempt (non-Florida residents; on a temporary layoff; union members; claiming benefits under an approved short-time compensation plan; or unable to complete the online work registration due to illiteracy, physical or mental impairment, a legal prohibition from using a computer, or a language impediment). Florida's work registration is a Wagner-Peyser application, and once completed, claimants have access to a variety of WP-funded services both online, as well as in the career centers (e.g. resume writing workshops, interview skills workshops, proficiency testing, etc.).

RESEA activities are, primarily, individual one-on-one sessions between the claimant and a case manager. Each claimant receives, at a minimum, an: orientation, initial assessment, labor market information, development of an employability plan, and referral to at least one additional reemployment service. Upon completion of the aforementioned activities, UI staff contact the claimant to conduct the eligibility review process.

- The orientation, conducted in groups or individually, provides an overview of the RESEA program and its requirements, the services accessible at the career center, and information about partner programs and other community resources.
- The one-on-one initial assessment collects information related to the claimant's skills, education, and employment history.
- Each claimant is provided with labor market information that is tailored to their current or future employment goals.
- An employability development plan is created to outline long and short term goals and appropriate steps to achieve those goals.
- Finally, each claimant is referred to at least one additional reemployment service that was identified during the course of the appointment.

With additional time allotted to each appointment, LWDBs tailor additional activities to implement in the appointment which will vary by local area. Upon the conclusion of the initial appointment, the UI staff will complete a fact-finding questionnaire to determine if claimants are in compliance with UI rules to continue receiving UI benefits.

(28) Group or Individual

*Identify components, if any, of the RESEA activities provided in a group setting.*

***–Identify RESEA components conducted in a group (Limit 250 words) –***

Orientation, Reemployment Services

(29) Memorandum of Understanding (MOU)

*Is it signed and operational?*  Yes  No

*If no, provide the estimated date that the MOU will be signed and operational. New states should submit a copy of the MOU when it has been signed and continuing states should submit a copy of the MOU if it has changed.*

*If yes, list all parties to the agreement.*

***–Insert status of MOU and members (Limit 250 words) –***

All parties to the agreement are the Florida Department of Economic Opportunity and the Local Workforce Development Boards.

(30) RESEA Required Reports and Reporting Problems

*States currently operating an RESEA program should review both ETA 9128s and ETA 9129s with particular emphasis on the most recent 4 quarters.*

- (1) Provide a narrative identifying any current reporting issues and the steps that will be taken to address these challenges*
- (2) If the state has made any major corrections in the past year please describe and provide dates.*

***–Insert description of reporting challenges, plans to correct, and any major corrections that have occurred in past year –***

In 2016, Florida successfully corrected a reporting issue with its ETA 9128s - our reports had been showing zero

Disqualifications or Overpayments, as well as zero Disqualifications for Failure to Report, since the new MIS system, CONNECT, began producing the ETA 9128s in July 2014. Reports for periods ending 09/20/2014 through 12/31/15 were revised and resubmitted on May 4, 2016.

Florida's four most recent ETA 9129s continue to show an improvement in both the average duration and exhaustion rate for REA claimants. There do not appear to be any issues with the ETA 9129 reports.

(31) Planned Supplemental Activities if Additional Funding is Available.

*If the State has capacity and need for funding beyond the provided maximum level identified in Attachment C, please provide:*

- (1) The amount of additional funds requested;*
- (2) The number of additional sites, if any there would be served using the increased funds*
- (3) The estimated number of additional scheduled and completed RESEAs that would be conducted.*
- (4) Any additional activities or program enhancements that will be implemented, if applicable.*

***-Insert description of funding needed, additional sites services, and scheduled/completed RESEAs supported  
(Limit 500 words-)***

N/A

**UNEMPLOYMENT INSURANCE (UI) REEMPLOYMENT SERVICES AND ELIGIBILITY ASSESSMENT (RESEA) COST SUMMARY**

**RESEA Grant Project Summary.** All proposals must include Attachment A, *Elements of the Unemployment Insurance Reemployment and Eligibility Assessment (RESEA) Proposal Abstract*. Proposals must also include information requested below. Additional narrative is not helpful and does not enhance the state's proposal. All pages in the state's proposal should be numbered.

- I. Project Costs.** Proposals must include a description of all proposed expenditures and a projected schedule for significant project activities.
- A. Fixed Costs:** Include fixed costs related to conducting the number of RESEAs the state projects to schedule during the grant period through December 31, 2017. **\$5,355,367**
- B. Staff Costs.** The proposal must identify both state staffing needs and any contract staff needs. Staff needs should include the type of position, the expected number of staff hours, and the projected hourly cost. Staff cost estimates must reflect only actual hours to be worked. Staff may work on the RESEA program part-time and on other projects part-time and must charge their time to each task based on hours worked. Staff costs for continuing states must include costs for conducting the RESEA and costs for programming proposed changes to the RESEA program to be implemented in 2017. Management costs must also be identified, as appropriate. States must include information in the following format for all staff requests:

<b>Position Title</b>	<b># Hours</b>	<b>Cost per Hour</b>	<b>Total Cost</b>
RESEA Workforce Program Manager – 1 Staff @ .50 FTE	1,040	35.00	36,400
RA (UI) Program Manager – 1 Staff @ .09 FTE	187	50.00	9,350
RESEA Grant Manager/Federal Reporting Accountant - 2 Staff @ .10 FTE	416	50.00	20,800
RESEA Systems and Data Project Analyst – 1 Staff @ .11 FTE	229	50.00	11,450
RA Claims Examiners – 1 Staff @ .53 FTE & 2 Staff @ 1.00 FTEs	5,262	28.00	147,336
Jointly Managed DEO Staff – 2 Staff @ .16 FTE, 1 Staff @ .14 FTE, 1 Staff @ .24 FTE, 1 Staff @ .25 FTE & 1 Staff @ .27 FTE - located in 3 LWDBs	2,538	29.91	75,912
Local Workforce Development Board RESEA Staff- Approximately 74.10 Contractual Staff-16 LWDBs	154,128	31.00	4,777,968

Cost Allocated Management Costs (Salaries and Benefits) - Based on Approved Cost Allocation Plan	-	-	38,000
Indirect Cost	-	-	44,383
<b>TOTAL STAFF COSTS</b>			<b>\$5,161,599</b>

States must charge all staff time used for the RESEA program to a RESEA project code. Both management and other staff may be working on the RESEA program on a part-time basis while assuming other duties. Only the portion of work that accrues to the RESEA initiative may be funded under this grant. Thus, the proposal should identify only the project time that will be devoted solely to the RESEA program for all staff hours for which funding is requested.

If contract staff is involved, documentation must include the type of position, estimated contract staff hours, anticipated costs per hour, and total cost.

- C. Other Costs.** The proposal should include costs for other activities and/or equipment not identified above. Each cost should be broken down to the specific cost item with a description of each cost and the associated costs for each item requested. All costs must be related to conducting RESEAs for UI claimants.

Annual Contract (Licensing/Maintenance) for Florida's Workforce Management Information System, Employ Florida Marketplace (EFM) RESEA has a tracking module for assessment and work search activities and assessment component module. Cost allocated share of costs for RESEA Program.	\$114,000
Supplies	\$12,000
Shared Resource Center – State Data Processing System	\$25,000
Risk Management Costs	\$3,856
Overhead Costs	\$35,912
Travel Costs	\$3,000
<b>TOTAL OTHER COSTS</b>	<b>\$193,768</b>

- D. Total Costs.** The proposal should include the total funding request. Spreadsheets used to calculate and total these costs should be included.

Staff Costs	\$5,161,599
Other Costs	\$193,768
<b>TOTAL COSTS</b>	<b>\$5,355,367</b>

Position Title	FTE	# Hours	Cost Per Hour	Total Cost	Direct	Management	Total
RESEA Project Manager	1 staff @ .50 FTE	1,040	35.00	36,400		36,400	
RESEA Grant Manager/Federal Reporting	2 staff @ .10 FTE	416	50.00	20,800		20,800	
RESEA Systems and Data Project Staff	1 staff @ .11 FTE	229	50.00	11,450		11,450	
RA Program Manager	1 staff @ .09 FTE	187	50.00	9,350		9,350	
Jointly Managed DEO Staff Located in 3 LWDBs	2 Staff @ .16 FTE, 1 Staff @ .14 FTE, 1 Staff @ .24 FTE, 1 Staff @ .25 FTE, 1 Staff @ .27 FTE	2,538	29.91	75,912	75,912		
RA Claims Examiners	1 staff @ .53, 2 staff @ 1.00	5,262	28.00	147,336	147,336	0	
Cost Allocated Management Costs (Salaries and Benefits). Based on Approved Cost Allocation Plan				38,000		38,000	
<b>TOTAL</b>		<b>9,672</b>		<b>339,248</b>	<b>223,248</b>	<b>116,000</b>	
Indirect Cost-Approved Provisional Rate 13.0828%				44,383		44,383	
Local Workforce Development Board RESEA Contractual Staff- Located in 16 LWDBs	74.10 Staff	154,128	31.00	4,777,968	4,777,968	0	
<b>TOTAL STAFF COSTS</b>		<b>163,800</b>		<b>5,161,599</b>	<b>5,001,216</b>	<b>160,383</b>	<b>5,161,599</b>
Travel Expenses				3,000		3,000	
Supplies				12,000		12,000	
Shared Resource Center - State Data Processing System (cost allocated)				25,000		25,000	
Overhead Costs				35,912		35,912	
Risk Management Annual Contract for (Licensing/Maintenance) for Florida's Workforce Management Information System, Employ Florida Marketplace (EFM) RESEA has a tracking module for assessment and work search activities and assessment component module. Cost allocated share of costs for RESEA Program.				3,856		3,856	
				114,000		114,000	
<b>TOTAL OTHER COSTS</b>				<b>193,768</b>	<b>0</b>	<b>193,768</b>	<b>193,768</b>
<b>RESEA 2017- PROPOSAL AMOUNT</b>				<b>5,355,367</b>	<b>5,001,216</b>	<b>354,151</b>	<b>5,355,367</b>

	# of Single Completed Assessments	@ Hrs	Total Hrs	Budget	Cost per	Limit
ASSESSED	34,551	5.00	172,755	5,284,901.64	152.96	\$155
NO-SHOWS	11,517	0.20	2,303	70,465.36	6.12	NA
	<b>46,068</b>	<b>5.20</b>	<b>175,058</b>	<b>5,355,367.00</b>		

**II. RESEA Staffing and Time.** Identify the following: 1) the type of staff conducting each of the RESEA key components for the initial RESEA; 2) which, if any, RESEA activity is conducted on an



individual basis or in a group setting (the eligibility review and the development of the individual reemployment plan must be done on an individual basis); and 3) the average time required for each RESEA activity. Claimants may be provided forms in a group setting which they will discuss with staff on an individual basis after completion. Staff identification must contain the name of the program office for these staff such as UI, the Employment Service (ES), Workforce Innovation and Opportunity Act (WIOA), or other. Any additional key activities must be included in the table. The sum of the average time for each activity below must be equal to the time required to complete the initial RESEA.

**Initial RESEA**

<u>Activity</u>	<u>Staff</u>	<u>Individual/ Group</u>	<u>Average Time</u>
Eligibility Review	UI Staff Only	Individual	15 minutes
Labor Market Information	LWDB One-Stop Staff (merit or non-merit)	Individual	30 minutes
Individual Reemployment Plan	LWDB One-Stop Staff (merit or non-merit)	Individual	60 minutes
American Job Center (AJC) Orientation	LWDB One-Stop Staff (merit or non-merit)	Group or Individual	30 minutes
Provision of Reemployment/Career Services	Wagner-Peyser Staff (merit staff)	Individual/Group	150 minutes
Enrollment in Employment Services or other AJC services	LWDB One-Stop Staff (merit or non-merit)	Individual	15 minutes
Total Average Time for Initial RESEAs			5 hours

Claimants have differing needs and services will vary. Funding requests should be based on the average number of claimants that are projected to receive each service and the time and cost per service. Group reemployment services must be calculated based upon the example and formula provided in Section 9 of this UIPL.