# Employment Security Department — WASHINGTON STATE

# 2023 RESEA PARTICIPANT RECORD CHECKLIST

| WorkSource Office: | Date of records review: ☐ ETO  ☐ RAS  ☐UTAB | Monitor: Diana Cook  ☐ Desktop Review  ☐ Observation of Appointment |
|---|---|---|
| Claimant Name:<br>ETO ID:<br>UTAB ID: | INITIAL Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: | SUBSEQUENT Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: |

| ELEMENT | EVIDENCE & INDICATORS | COMMENTS | ACTION REQUIRED |
|---|---|---|---|
| **1. Appointment Documentation** | | | |
| **1-A SCHEDULING APPOINTMENT**<br>☐Initial ☐Subsequent ☐N/A<br><br>*RESEA09 SOP Self- Scheduler*<br>4. Procedures: Selection and call-in letters and Scheduling **appointments.** *Staff must verify* the identity of each claimant prior to assisting with appointment scheduling and record a detailed case note that support was provided, and that claimant identity was verified.<br>*UIPL 02-23 Section 4 (d)(ii)*<br>Once the state notifies a claimant that s/he has been selected to participate in the RESEA program, participation in RESEA is mandatory as a condition of UC eligibility.<br>*UIPL 02-23 Section 4 (d)(iii)*<br>UC Feedback Loop, Adjudication, and Due Process – Once *claimants are selected to participate in the RESEA program, they are required to participate in all RESEA activities required by the state, including the initial RESEA, any subsequent RESEAs, and any reemployment services to which they are referred. Failure to report or participate in any aspect of the RESEA program must result in referral to the UI agency for adjudication under the applicable state law.*<br>*SA 306. [42 U.S.C. 506] (a)(ii)* reasonable scheduling accommodations to maximize participation for eligible individuals.<br>*Policy 4050 Revision 1 Section 3. (C)*<br>Claimants will receive an invitation letter to self-schedule their RESEA appointment using the Reemployment Appointment Scheduler (RAS). Claimants have 21 calendar days from the date on the letter to schedule and attend an initial RESEA appointment. Once claimants are notified to schedule, participation is mandatory. Failure to participate in reemployment services, without justifiable cause, will jeopardize their eligibility for UI benefits. Claimants who need help scheduling or rescheduling (see rescheduling section below) their appointment can contact the local WorkSource office listed on their letter for staff assistance. | **A1 Appointment scheduled in RAS**<br>Initial: ☐Yes ☐No ☐N/A<br>Subsequent: ☐Yes ☐No ☐N/A<br>*Source: Appointment scheduled in RAS was by either documented when staff assisted or self-scheduled by claimant.*<br><br>**A2 Scheduled by staff documented ID verified ETO Case Note entered**<br>Initial: ☐Yes ☐No ☐N/A<br>Subsequent: ☐Yes ☐No ☐N/A<br>*Source: ID Verified and documented in ETO case notes, service notes, or RESEA TP dashboards AND in RAS event history.*<br><br>**A3 Notification of Mandatory Subsequent Appointment provided**<br>Initial: ☐Yes ☐No ☐N/A<br>Subsequent: ☐Yes ☐No ☐N/A<br>*Source: Action plan, ETO case or service notes, RAS notification, confirmation email and/or reminders to schedule, complete and attend.*<br><br>**Note Detail**<br>☐Very detailed<br>☐Somewhat detailed<br>☐No notes available<br>☐N/A | ☐ Element Met<br>Type: ☐Initial ☐Subsequent<br>☐ Element <u>Not</u> Met<br>Type: ☐Initial ☐Subsequent<br>☐ N/A<br>Condition:<br>Criteria: | ☐ No Action Required<br>☐ Action Required:<br>☐ N/A<br><br>*Condition:* What is the specific problem?<br>*Cause:* What is causing the condition? (Learning the 5 Why's-helps determine any corrective action.)<br>*Criteria:* What are the standards or requirements being used to evaluate the condition?<br>*Corrective Action:* What action is required to eliminate the cause and correct the condition? |

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| Claimant Name:<br>ETO ID:<br>UTAB ID: | INITIAL Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: | SUBSEQUENT Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: |

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| **1-B ATTENDANCE**<br>☐Initial ☐Subsequent ☐N/A<br>*RESEA09 SOP Self- Scheduler*<br>Attendance must be marked on the same day as the appointment. Attendance errors must be properly corrected with details noted in UTAB and ETO case notes. *RESEA09 4 (1,2,3,4)* Recording Attendance RAS is the system of record for tracking all RESEA appointment attendance. Dates of attendance in RAS are expected to match the service dates in ETO. 1. Staff are required to record claimants' attendance in RAS the same day the appointment occurs to prevent a failure to report (DNR) from being sent to UTAB, which will set an issue on their claim. Correcting attendance errors: Only those in a Supervisory, WorkSource Administrator or RESEA Business Team Role Request that supervisors update DNR attendance in the scheduler if the error occurred within 5 days from the appointment date. See RAS Supervisor Checklist. 2. Enter a case note in ETO providing the reason attendance was not marked and the DNR was set in error. 3. Enter a note in UTAB explaining the reason the DNR was set in error and request the issue be cleared because the claimant attended as required. 4. Send an email to: ESD GP UI Adj Issues (ESDGPUIAdjIssues@ESD.WA.GOV). Subject Line: "DNR-Error Claimant UTAB ID, Name". Provide: Information copied from UTAB note example above.<br>*Policy 4050 Revision 1 Section 3 (I)*<br>Entering the RESEA service in the state MIS indicates that *all components have been completed for that appointment.* **System documentation:** *Documenting attendance in RAS is not the same as entering the service in the state MIS. Both steps are required for all claimants who attend initial and follow-up appointments.* | B1 Attendance recorded in RAS same day as appointment<br>Initial: ☐Yes ☐No ☐N/A<br>Subsequent: ☐Yes ☐No ☐N/A<br>*Source: RAS event history*<br>B2 DNR Attendance error occurred, error corrected and recorded ETO/UTAB<br>Initial: ☐Yes ☐No ☐N/A<br>Subsequent: ☐Yes ☐No ☐N/A<br>Source: *RAS event history, ETO case notes, and UTAB notes.*<br>Note Detail<br>☐Very detailed<br>☐Somewhat detailed<br>☐No notes available<br>☐N/A | ☐ Element Met<br>Type: ☐Initial ☐Subsequent<br>☐ Element <u>Not Met</u><br>Type: ☐Initial ☐Subsequent<br>☐ N/A<br>Condition:<br>Criteria: | ☐ No Action Required<br>☐ Action Required:<br>☐ N/A |

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| Claimant Name:<br>ETO ID:<br>UTAB ID: | INITIAL Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: | SUBSEQUENT Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: |

| ELEMENT | EVIDENCE & INDICATORS | COMMENTS | ACTION REQUIRED |
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| **1-C RESCHEDULE**<br>☐Initial ☐Subsequent ☐N/A<br>*RESEA09 SOP Self- Scheduler*<br>*RESEA11 SOP Rescheduling*<br>Staff assisted in rescheduling and documented in ETO case note that ID was verified along with rescheduling details. If appropriate RPI was issued.<br>*UIPL 02-23 Section 4 (d)(ii)*<br>Once the state notifies a claimant that s/he has been selected to participate in the RESEA program, participation in RESEA is mandatory as a condition of UC eligibility. *A claimant who contacts the appropriate agency before the RESEA appointment and requests to change the scheduled RESEA date or time for good reason, such as scheduled job interviews, should be accommodated within reason.*<br>*Policy 4050 Revision 1 Section 3 C, and D (i, ii, iii)*<br>*C. Scheduling the initial RESEA appointment*<br>Claimants will receive an invitation letter to self-schedule their RESEA appointment using the Reemployment Appointment Scheduler (RAS). Claimants have 21 calendar days from the date on the letter to schedule and attend an initial RESEA appointment. Once claimants are notified to schedule, participation is mandatory. Failure to participate in reemployment services, without justifiable cause, will jeopardize their eligibility for UI benefits.<br>*D. Rescheduling claimants*<br>If claimants need to reschedule more than twice, they are required to contact WorkSource for scheduling assistance. If claimants contact the office prior to their appointment, staff must verify their identity, record the reason they cannot attend their appointment, and determine if they can be *rescheduled* or *exempted*. RESEA appointments, once scheduled, cannot be cancelled. If claimants do not meet the criteria for rescheduling or exemption, staff must advise them of their requirement to attend the scheduled appointment and that non-attendance or non-participation will create a question about their eligibility for benefits. Staff must document the reason claimants cannot attend their scheduled appointments in case notes in the state Management Information System (MIS) (Efforts to Outcomes/ETO or its successor) used by RESEA staff and select the appropriate reason in the RAS, | C1 Staff reschedule ID verified ETO Case Note entered<br>Initial: ☐Yes ☐No ☐N/A<br>Subsequent: ☐Yes ☐No ☐N/A<br>Source: *RAS event history, ETO case notes entered with ID verification details.*<br><br>**C2 Appointment reschedules exceeded two (2).**<br>Initial: ☐Yes ☐No ☐N/A<br>Subsequent: ☐Yes ☐No ☐N/A<br>*Source:* *RAS and ETO notes and reason for exceeding 2x's due to good cause reasons or approved for and given an exemption.*<br><br>**C-3 Total reschedules**<br>3<br>4<br>5<br>6<br><br>Note Detail<br>☐Very detailed<br>☐Somewhat detailed<br>☐No notes available<br>☐N/A | ☐ Element Met<br>Type: ☐Initial ☐Subsequent<br>☐ Element <u>Not Met</u><br>Type: ☐Initial ☐Subsequent<br>☐ N/A<br><br>Condition:<br>Criteria: | ☐ No Action Required<br>☐ Action Required:<br>☐ N/A |

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| Claimant Name:<br>ETO ID:<br>UTAB ID: | INITIAL Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: | SUBSEQUENT Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: |

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| following their local office procedures to reschedule RESEA appointments.<br>*i. Rescheduling timeline*<br>Rescheduled appointments must occur within the claimants' original scheduling window, as it cannot be extended. Staff can locate this date in the RAS.<br>*ii. How many times can claimants be rescheduled? a. Reports of Potential Issue*<br>Claimants can reschedule up to two times in the RAS. Rescheduling beyond that point must be done by WorkSource staff. There is no defined limit on how many times staff can reschedule appointments for justifiable cause. WorkSource staff should screen for and report any potential eligibility issues to UI.<br>Staff must determine if the reason is appropriate for rescheduling, if claimants are trying to avoid reporting to mandatory appointments or have underlying issues that need to be addressed. In some cases, the individual's inability to work or lack of availability for work causes a potential issue. If the reason causes a question about eligibility for benefits, staff must follow procedures to report it to the claims center immediately using the Report of Potential Issue (RPI) form.<br>*iii. Rescheduling after issue is set*<br>An issue automatically sets when a claimant misses their appointment. Once an issue is set RESEA claimants cannot be rescheduled for another appointment. Although these individuals are still entitled to and should be encouraged to use reemployment services available through WorkSource, those services and staff time cannot be charged to the RESEA program. | | | |
| **1-D EXEMPTION**<br>☐Initial ☐Subsequent ☐N/A<br>RESEA09 SOP Self- Scheduler<br>RESEA10 SOP RAS Exemptions V2 Sections 4.1 and 4.2<br>**1. Returned to work:**  Return to full-time work. Claimants who contact WorkSource on or before the date of their scheduled RESEA appointment or required scheduling deadline and report they have returned to full-time work may be exempted from participation in RESEA. The claimant's return to work date must be on or before the date of the appointment or scheduling deadline (for | D1 Staff Exemption entered in RAS with accompanying ETO case notes<br>Initial:          ☐Yes ☐No  ☐N/A<br>Subsequent: ☐Yes ☐No  ☐N/A<br>*Source:* ETO case notes documenting RAS exemption of Last initial service 12 months. ETO case note entered, Return to FT work prior to appointment scheduled appointment. | ☐ Element Met<br>Type: ☐Initial  ☐Subsequent<br>☐ Element <u>Not Met</u><br>Type: ☐Initial  ☐Subsequent<br>☐ N/A<br>Condition:<br>Criteria: | ☐ No Action Required<br>☐ Action Required:<br>☐ N/A |

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| Claimant Name:<br>ETO ID:<br>UTAB ID: | INITIAL Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: | SUBSEQUENT Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: |

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| claimants who have not yet scheduled their appointment).  To exempt claimants who have returned to work the following information is required:<br>a. Employer name<br>b. Work start date<br>c. Phone number<br>d. Address<br>2. Enter a detailed case note in ETO.<br>**2. Received Similar Service**<br>Verify in Efforts to Outcomes (ETO) or the Reemployment Appointment Scheduler (RAS) that the claimants' last RESEA initial appointment service was received within the previous 12 months. Follow-up appointments do not count.<br>2. Enter the date of the previous initial appointment service in RAS.<br>3. Record exemption information in ETO case note.<br><br>*Policy 4050 Revision 1 Section 3 E (a, b)*<br>WorkSource RESEA staff can exempt a claimant for two reasons: (1) the claimant has returned to full-time work, or (2) the claimant has attended a RESEA initial appointment within the previous 12 months (see below).<br>*a. Return to work*<br>Claimants who've returned to work may be exempted from participation in the RAS if they contact us in time. They must contact WorkSource on or before the date of their scheduled RESEA appointment or the last day of their scheduling window. They must also have returned to full-time work and no longer be claiming benefits. WorkSource staff can exempt claimants after the return-to-work information has been obtained and documented in RAS and in the state's MIS used by RESEA staff. At a minimum, staff must document the employer's name, return to work date, position, and wages.<br>*b. Similar service within 12 months*<br>Staff verify in the state MIS or RAS that a RESEA initial appointment service was provided within the previous 12 months. Staff then enter a case note in the state MIS and exempt the claimant from the RAS.<br>Claimants who contact WorkSource prior to their scheduling deadline to request an exemption for any reason other than the two listed above must be directed to the claims center or eService. | Note Detail<br>☐Very detailed<br>☐Somewhat detailed<br>☐No notes available<br>☐N/A | | |

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| Claimant Name:<br>ETO ID:<br>UTAB ID: | INITIAL Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: | SUBSEQUENT Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: |

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| **2.  RESEA Required Components Meeting Documentation (MIS)** | | | |
| **2-A IDENTITY VERIFIED AT APPOINTMENT**<br>☐Initial  ☐Subsequent ☐N/A<br>*RESEA09 SOP Self- Scheduler*<br>*RESEA04-SOP Required Elements TouchPoint Documentation in ETO V3* **(How ID was verified)** Other information confirmed by claimant can come from UTAB record using address, SSN, last employer, DOB, Phone number on file or email address on file. | A1 ID Verification documented<br>Initial:          ☐Yes ☐No  ☐N/A<br>Subsequent: ☐Yes ☐No  ☐N/A<br>*Source:*  ETO service notes, recorded in the drop down in RESEA TP, or documented in the RESEA Basic Service TP service note.<br>Note Detail<br>☐Very detailed<br>☐Somewhat detailed<br>☐No notes available<br>☐N/A | ☐ Element Met<br>Type: ☐Initial  ☐Subsequent<br>☐ Element <u>Not Met</u><br>Type: ☐Initial  ☐Subsequent<br>☐ N/A<br>Condition:<br>Criteria: | ☐ No Action Required<br>☐ Action Required:<br>☐ N/A |
| **2-B UI ELIGIBILITY REVIEW**<br>☐Initial  ☐Subsequent ☐N/A<br>*RESEA09 SOP Self- Scheduler*<br>*RESEA04-SOP Required Elements TouchPoint Documentation in ETO V3 Section 4-B.1*<br> UI Eligibility Tab<br>a. Able to accept suitable work<br>b. Available for work<br>c. Actively seeking work<br>d. If required, select if RPI or RPI with WSD request will be completed.<br>e. Enter detailed notes summary examples include relevant details.<br>   i. Provide a summary of the UI eligibility assessment if issues were detected provided details of the issue if presented. If there are no issues detected provide elements of the assessment used to determine no reportable UI issues were detected.<br>*UIPL 02-23 4. (a)(i)(A)(1)* A UC eligibility review that is conducted on a one-on-one basis, including review of work search activities if such activities have not been | B1 UI basic eligibility assessment conducted to detect, report eligibility questions and determine if able, available and actively seeking work<br>Initial:          ☐Yes ☐No  ☐N/A<br>Subsequent: ☐Yes ☐No  ☐N/A<br>*Source:* ETO Detailed Summary notes in TouchPoint, documentation in record that **includes evidence the assessment was conducted to determine if no issues reported.** (Examples: claimant responses, work search, ENA review, or UI Work Test)<br>Note Detail<br>☐Very detailed<br>☐Somewhat detailed<br>☐No notes available | ☐ Element Met<br>Type: ☐Initial  ☐Subsequent<br>☐ Element <u>Not Met</u><br>Type: ☐Initial  ☐Subsequent<br>☐ N/A<br>Condition:<br>Criteria: | ☐ No Action Required<br>☐ Action Required:<br>☐ N/A |

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| waived and referral to adjudication if an issue or potential issue(s) is identified.<br>Policy 4050 Revision 1 Section 3(ii)<br>**(ii) Potential Issues** An issue is an act, circumstance, or condition that is potentially disqualifying under state law. Issues arise when staff discover information that causes the department to question claimants' eligibility for benefits.<br>Claimants must be immediately able and available for suitable work in their labor market during their customary days and hours each week they claim benefits. If potentially disqualifying information is discovered, staff must confirm the details with the claimant and document the specific information in a Report of Potential Issue (RPI) form. Staff should take this opportunity to explain the eligibility requirements for benefits. Then submit a completed RPI to the claims center. Claims center staff will investigate further and resolve the issue accordingly. Depending on the nature of the information discovered, staff should consider referrals to other resources when available to help claimants resolve underlying reasons for the issues or barriers to employment. RPI's must be submitted the same day the issue was discovered and a detailed case note explaining the issue(s) and staff's action taken entered in both UTAB and the state MIS system.<br>Policy 4050 Revision 1 Section 4.c<br>The (UI) work test consists of:<br>i. Referring or attempting to refer claimants to jobs for which they are qualified or other career services that will lead to reemployment.<br>ii. Detecting possible issues that affect claimants' eligibility to receive benefits and promptly reporting them according to established procedures.<br>iii. Monitoring the accepted referral using regular verification procedures and determining whether claimants reported to and participated in the referred career service activity.<br>If it was a referral to a job, determine if claimants contacted the employers and reported for the interviews; their conduct during the interview; whether they accepted job offers; and whether they, if hired, actually went to work. | ☐N/A | | |

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| • Staff must complete the work test by routing any information that could affect the claim to appropriate staff and record information in job seekers' records.<br>*RCW 50.20.010 Benefits eligibility*<br>*RCW 50.20.080 Refusing to apply for or accept suitable work as directed*<br>*RCW 50.20.100 Suitable work factors*<br>*WAC 192-170-010 Availability for work*<br>WAC 192-180-010(6) Job Search Requirements<br>*Benefits Resource Manual - 5460* | | | |
| **2-C REVIEW OF WORK SEARCH**<br>☐Initial ☐Subsequent ☐N/A<br><br>*RESEA09 SOP Self- Scheduler*<br>RESEA01-SOP Review of Work Search Activities and UI Eligibility Assessment V3<br>UI claimants are required to keep a record or log of work search activities and contacts, including approved in-person or virtual work search activities.<br>Section 3. (1)(2) 4. Procedure<br>1. Conduct a UI eligibility assessment during the appointment and review work search records. The assessment must include whether the claimant is actively seeking suitable work, keeping adequate records and is able and available.<br>2. Report any potential issues or work search directives if needed to adjudication.<br>4. Procedure In the initial appointment letter claimants are instructed to bring their two most recent weeks of job search logs or records to their appointment. For the follow-up appointment(s), claimants are instructed in their Reemployment Action Plan to provide their job search log or record for the most recent one week claimed. Job search logs or records can be submitted on or before the appointments. Submissions can be made in person, by fax or email. **As a last resort staff can review work search entries entered eServices within UTAB or information can be obtained verbally from the claimant. Claimants must be advised to keep records separate from eServices.**<br>RESEA04-SOP Required Elements TouchPoint Documentation in ETO V3 Section 4-B.1 | C1 Claimant submitted the requested job search records prior to *or* during the RESEA meeting. Records  reviewed with claimant.<br>Initial:          ☐Yes ☐No  ☐N/A<br>Subsequent: ☐Yes ☐No  ☐N/A<br>*Source:* *ETO service/detailed summary notes provide evidence listing correct weeks provided/reviewed for requested weeks. How records were provided (verbal, UTAB, email, in person).  Reason of failure to provide records, RPI or WSD discussed, and complete notes in ETO.*<br><br>C2 UTAB and Verbal review of records were used as a last resort and noted in ETO service or detailed note summary.<br>Initial:          ☐Yes ☐No  ☐N/A<br>Subsequent: ☐Yes ☐No  ☐N/A<br>Source: *ETO service note/detailed summary notes provide documentation explaining why UTAB or Verbal records were used when claimant records are not submitted on or before RESEA meeting.* | ☐ Element Met<br>Type: ☐Initial ☐Subsequent<br>☐ Element <u>Not</u> Met<br>Type: ☐Initial ☐Subsequent<br><br>☐ N/A<br><br>Condition:<br>Criteria: | ☐ No Action Required<br>☐ Action Required:<br>☐ N/A |

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| WorkSource Office: | Date of records review:  ☐ ETO   ☐ RAS   ☐UTAB | Monitor:  Diana Cook    ☐ Desktop Review     ☐ Observation of Appointment |
|---|---|---|
| Claimant Name:<br>ETO ID:<br>UTAB ID: | INITIAL Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: | SUBSEQUENT Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: |

| ELEMENT | EVIDENCE & INDICATORS | COMMENTS | ACTION REQUIRED |
|---|---|---|---|
| **Work Search Tab**<br>a. Record outcome of work search records reviewed.<br>b. If required, select if a Report of Potential Issue (RPI) or RPI with request for Work Search Directive (WSD) will be completed.<br>c. Enter the required detailed notes summary including relevant details.<br>　i. Detail information related to the review, number of weeks requested and reviewed, dates of contacts, summary of work search efforts, employer contacts, work search activities and include any additional information relevant to the RPI or WSD.<br><br>UIPL 02-23 4. (a)(i)(A)(1)  A UC eligibility review that is conducted on a one-on-one basis, including review of work search activities if such activities have not been waived and referral to adjudication if an issue or potential issue(s) is identified.<br>Policy 4050 Revision 1 Section 3(ii)<br>Policy 4050 Revision 1 Section 3, (l) Minimum components of an appointment<br>Eligibility review, to include a review of the claimant's work search activities and referrals to adjudication, as appropriate, if an issue or potential issue(s) is identified. *[Required at both initial and follow-up appointments and must be provided in a one-on-one setting.]* This element isn't necessarily a specific step or action but, rather, something that occurs throughout the process. The focus of the eligibility review is to identify eligibility issues that would prevent claimants from returning to work as quickly as possible. When reviewing work search activities, staff must ensure claimants understand the job search expectations of the UI program and are meeting the continued UI eligibility requirements of being fully ready, able and immediately available for all suitable work customary for their occupation and job market. **During the work search activity review, staff may learn information that requires clarifying what claimants said.** This clarification will help to know when to report claimants who did not or are not meeting eligibility requirements. Staff may need to provide a **work search directive**, submit a **report of potential issue,** or both.<br><br>*WAC 192-180-010 Job search requirements*<br>*WAC 192-180-015 Tracking job search activities* | **C3 Claimant is seeking suitable work.**<br>Initial:　　　☐Yes ☐No ☐N/A<br>Subsequent: ☐Yes ☐No ☐N/A<br>Source: *ETO service note/detailed summary provides documentation of type of work being sought*<br><br>**C4 Keeping adequate records**<br>Initial:　　　☐Yes ☐No ☐N/A<br>Subsequent: ☐Yes ☐No ☐N/A<br>*Source:* *ETO service note, TouchPoint detailed note summary Number of required contacts were made, record held complete required details, notes reflect if UTAB record was used, if records were recreated, claimant is maintaining required records, details provided verbally or in written record.*<br><br>**C5  Clarification of work search requirements were provided for inadequate or missing records**<br>Initial:　　　☐Yes ☐No ☐N/A<br>Subsequent: ☐Yes ☐No ☐N/A<br>*Source:* *ETO service note, TouchPoint detailed note summary, and/or RPI summary/record.*<br><br>**Note Detail**<br>☐Very detailed<br>☐Somewhat detailed<br>☐No notes available<br>☐N/A | | |

| WorkSource Office: | Date of records review: ☐ ETO ☐ RAS ☐UTAB | Monitor: Diana Cook ☐ Desktop Review ☐ Observation of Appointment |
|---|---|---|
| Claimant Name:<br>ETO ID:<br>UTAB ID: | INITIAL Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: | SUBSEQUENT Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: |

| ELEMENT | EVIDENCE & INDICATORS | COMMENTS | ACTION REQUIRED |
|---|---|---|---|
| *RCW 50.20.100* Suitable work factors<br>*0121-WIN*– Reinstatement of UI Work Search Requirements<br>*0123–WIN* New ETO services to support expanded approved in-person WorkSource job search **activities** *RCW 50.20.080* Refusing to apply for or accept suitable work as directed | | | |
| **2-D CUSTOMIZED LABOR MARKET INFORMATION**<br>☐Initial ☐Subsequent ☐N/A<br>*RESEA09 SOP Self- Scheduler*<br>*RESESA06-SOP Providing Customized LMI V3 Section 4 Procedures*<br>*Staff must provide labor market information that is customized to align with the results of validated assessment instruments completed by claimants as well as claimants' customary occupations, occupational goals, skills, abilities, education, and credentials*.<br><br>RESEA04-SOP Required Elements TouchPoint Documentation in ETO V3 Section 4-B.1<br>Labor Market Tab<br>a. Customary occupation in demand, declined or balanced.<br>b. Detailed notes summary, customized information provided.<br>　i. Name of occupation, information that represents the claimant's interest, goals, skills, and abilities. Labor market and career information details that are reviewed and shared including steps the claimant will take to find work and additional research necessary if current occupation is not in demand or declining.<br>　ii. Complete secondary occupation (Optional) to record interest and customized LMI provided outside of their customary occupation.<br><br>UIPL 02-23 4. (a)(i)(A)(2) Customized labor market and career information based on an assessment of the claimant's needs.<br>Policy 4050 Revision 1 Section 3, l Minimum components of an appointment | **D1** Staff presented customized labor market information and discussed with the claimant.<br>Initial: ☐Yes ☐No ☐N/A<br>Subsequent: ☐Yes ☐No ☐N/A<br>*Source*: ETO service note, TouchPoint detailed note summary Name of customary/secondary occupation Demand/decline details. Career information related to occupation provided, details of how the claimant will use the information or complete additional LMI research. Information uploaded into ETO record including any assessment results.<br><br>**D2** Reviewed during follow-up and new information provided, if appropriate.<br>Subsequent: ☐Yes ☐No ☐N/A<br>*Source:* ETO service note, or TP notes indicate the need for updated information to be shared (example: interested in career change, researching new industry or occupation or consider training)<br><br>Note Detail<br>☐Very detailed | ☐ Element Met<br>Type: ☐Initial ☐Subsequent<br>☐ Element <u>Not</u> Met<br>Type: ☐Initial ☐Subsequent<br>☐ N/A<br>Condition:<br>Criteria: | ☐ No Action Required<br>☐ Action Required:<br>☐ N/A |

# 2023 RESEA PARTICIPANT RECORD CHECKLIST

**Employment Security Department**
WASHINGTON STATE

| WorkSource Office: | Date of records review: ☐ ETO ☐ RAS ☐UTAB | Monitor: Diana Cook ☐ Desktop Review ☐ Observation of Appointment |
|---|---|---|
| Claimant Name:<br>ETO ID:<br>UTAB ID: | INITIAL Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: | SUBSEQUENT Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: |

| ELEMENT | EVIDENCE & INDICATORS | COMMENTS | ACTION REQUIRED |
|---|---|---|---|
| **I**ndividualized labor market and career information. This is information geared toward an individual's specific needs. Occupational information should be accurate and up to date for better employment opportunities. Staff must ensure claimants understand their labor market and where they fit into it. This includes how to use labor market information in job search activities and how to research suitable work and potential employers. | ☐Somewhat detailed<br>☐No notes available<br>☐N/A | | |
| **2-E EMPLOYABILITY NEEDS ASSESSMENT**<br>☐Initial ☐Subsequent ☐N/A<br>*RESEA09 SOP Self- Scheduler*<br>*RESEA05-SOP Employability Needs assessment and Service Referrals V3 Section 4 Responsibilities*<br>WorkSource staff will 1) complete the standardized required elements TouchPoint during the initial and follow up (subsequent) appointments 2) review completed assessment and identify customer needs based on results 3) Refer or connect o appropriate WIOA service or community resources 4) enter appropriate details about identified needs and service referrals in ETO. Complete detailed notes summary for each topic covered in the standardized assessment.<br><br>*RESEA04-SOP Required Elements TouchPoint Documentation in ETO V3 Section 4-B.1*<br>Employability Needs Assessment Tab<br>Record claimant responses for each of the topics below. Rephrasing of the questions is allowed if each topic is covered to fully assess a claimant's current needs. Detailed notes summary responses are required at the end of each topic.<br>a. Current Employment Goals<br>b. Finances<br>c. Next Employment Opportunity<br>d. Education and Training e. Job Search<br> f. Use of WorkSource Services and Resources<br><br>*UIPL 02-23 4. (a)(i)(A)(5)* Information and referral to additional reemployment services and other AJC services, resources, and training as appropriate.<br><br>**(March 10, 2022-updates to ENA TP removed some detailed notes summary elements when questions were removed)** | E1 Staff completed the standardized employability assessment and documented claimant responses<br>Initial: ☐Yes ☐No ☐N/A<br>Subsequent: ☐Yes ☐No ☐N/A<br>*Source:* ETO service notes, TouchPoint ENA Tab with detailed note summary includes relevant customer responses.<br><u>ENA ELEMENTS MISSING</u> ☐Yes ☐No<br>☐Financial Concerns<br>    ☐Initial ☐Subsequent<br>☐Employment Goals<br>    ☐Initial ☐Subsequent<br>☐Education training needs<br>    ☐Initial ☐Subsequent<br>☐Job search needs<br>    ☐Initial ☐Subsequent<br>☐Use of WorkSource Services or Resources<br>    ☐Initial ☐Subsequent<br><br>E2 <u>Information and referrals provided</u><br>☐Yes ☐No ☐N/A<br>Note Detail<br>☐Very detailed<br>☐Somewhat detailed | ☐ Element Met<br>Type: ☐Initial ☐Subsequent<br>☐ Element <u>Not Met</u><br>Type: ☐Initial ☐Subsequent<br><br>☐ N/A<br><br>Condition:<br>Criteria: | ☐ No Action Required<br>☐ Action Required:<br>☐ N/A |

# 2023 RESEA PARTICIPANT RECORD CHECKLIST

| WorkSource Office: | Date of records review: ☐ ETO ☐ RAS ☐UTAB | Monitor: Diana Cook  ☐ Desktop Review  ☐ Observation of Appointment |
|---|---|---|
| Claimant Name:<br>ETO ID:<br>UTAB ID: | INITIAL Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: | SUBSEQUENT Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: |

| ELEMENT | EVIDENCE & INDICATORS | COMMENTS | ACTION REQUIRED |
|---|---|---|---|
| | ☐No notes available<br>☐N/A | | |
| **2-F REEMPLOYMENT ACTION PLAN**<br>☐Initial ☐Subsequent ☐N/A<br><br>*RESEA09 SOP Self- Scheduler*<br>*RESEA03-SOP Reemployment Action PlansV3 3. (4) Procedures*<br>*Staff must use the approved Reemployment Action Plan. Activities must be relevant to the job seekers employment goal and include.* **WHO** *the claimant will meet with for services, or who the claimant is referred to as an employer contact.* **Wha**t *or how the contact or activity will be completed.* **Where** *will the claimant complete these tasks? Details must include location, address, website, or other details necessary to clearly state where the activity will occur.* **When** *the tasks will be completed. Must be a clear deadline to include exact dates and times as appropriate.* **Why** *is the activity being done? How will it assist in the job search?* **Review of action plan during follow up Update action plan created (Optional).**<br>**Document ETO the RESEA Action Plan and the outcome of activities with completion dates**<br>*RESEA03-SOP Reemployment Action PlansV3 3. (4) Procedures*<br>**Instructions on review and completion of Reemployment Action Plan during Follow-Up RESEA Appointment**<br>1. WorkSource staff reviews Reemployment Action Plan PRIOR to the RESEA follow-up appointment.<br>2. WorkSource staff review status of activities with the claimant during the follow-up appointment. Staff should inquire if activities were completed by specified timelines and if not, seek to understand why. Some circumstances (but not all) will warrant submitting an RPI. Refer to RESEA 02 - SOP RPI and WSD.<br>3. An additional reemployment action plan is required when the WorkSource staff and claimant agree that a formal follow-up is beneficial and is scheduled. If a formal follow up is not needed, an additional Action Plan can be beneficial for the claimant to track the activities discussed in the meeting but is not required.<br>4. Staff will document in ETO the RESEA Initial Action Plan and the outcomes of the activities with completion dates. | **F1 Approved action plan used**<br>Initial:      ☐Yes ☐No ☐N/A<br>Subsequent: ☐Yes ☐No ☐N/A<br>*Source: Action Plan uploaded into ETO or RESEA Action Plan TP completed.*<br><br>**F2 Employment goal defined**<br>Initial:      ☐Yes ☐No ☐N/A<br>Subsequent: ☐Yes ☐No ☐N/A<br>*Source: Action Plan uploaded into ETO or RESEA Action Plan TP completed.*<br><br>**F3 Detailed activities are clearly listed and includes how it will assist in the job search.**<br>Initial:      ☐Yes ☐No ☐N/A<br>Subsequent: ☐Yes ☐No ☐N/A<br>Missing elements<br>☐Employment/Occupation listed<br>☐**Who**: name of contact, WS partner or employer job referral details<br>☐**What**: activity will be completed<br>☐**When**: (date)<br>☐**Where**: (How) will claimant complete tasks (location)<br>☐**Why**: how will the activity being done assist in the job search<br><br>**F4 Follow up (subsequent) details entered**<br>☐Yes ☐No ☐N/A | ☐ Element Met<br>Type: ☐Initial ☐Subsequent<br>☐ Element **Not** Met<br>Type: ☐Initial ☐Subsequent<br>☐ N/A<br>Condition:<br>Criteria: | ☐ No Action Required<br>☐ Action Required:<br>☐ N/A |

| WorkSource Office: | Date of records review: ☐ ETO ☐ RAS ☐UTAB | Monitor: Diana Cook    ☐ Desktop Review    ☐ Observation of Appointment |
|---|---|---|
| Claimant Name:<br>ETO ID:<br>UTAB ID: | INITIAL Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: | SUBSEQUENT Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: |

| ELEMENT | EVIDENCE & INDICATORS | COMMENTS | ACTION REQUIRED |
|---|---|---|---|
| Staff will enter notes that can include recommended next steps.<br><br>RESEA04-SOP Required Elements TouchPoint Documentation in ETO (UI Eligibility) V3<br>2. RESEA Action Plan Initial TouchPoints Dashboard 1.2 RESEA Action Plan Follow up TouchPoint Dashboard ▪ See RESEA03 SOP - Action Plan for detailed instructions ▪ See ETO RESEA Desk Aid.<br><br>UIPL 02-23 4. (a)(i)(A)(4)   Support, to the extent needed, for the claimant in the development of an individual reemployment plan tailored to the claimant's needs; and (5) information and referral to additional reemployment services and other AJC (WorkSource) services, resources, and training as appropriate.<br>Policy 4050 Revision 1 Section 3, I Minimum components of an appointment<br>**Providing support to the claimant to develop and implement an individual reemployment plan (Reemployment Action Plan).** *[Required at both the initial and follow-up appointments and must be provided in a one-on-one setting.]* This is a written plan for documenting the steps necessary to achieve reemployment. Staff must develop a plan in collaboration with claimants tailored to fit claimants' individual needs. All parties must keep a copy and have it available during future appointments. Claimants agree to follow the specific activities in the plan. Select necessary activities that will result in an outcome of reemployment or a referral to career-related training. ▪ Claimants can participate in or be referred to other ESD or one-stop partner staff for job referrals or other reemployment services such as workshops, skills assessments, or retraining activities. Individual reemployment plans serve multiple purposes. They are reference guides for staff and claimants to follow up on information, such as referrals. The action plans are used as foundations to build upon for follow-up RESEA appointments. They are also used to ensure the state meets federal compliance standards. Action plans should be reviewed and updated at follow-up appointments to include new activities that would further assist claimants' timely return to work. Reemployment Action Plans must be attached to the service taken in the state MIS. | *Source: RAS history indicates appointment scheduled or required to be scheduled within 30 days from last follow up. ETO Action Plan Initial/Follow up TP service notes entered.*<br><br>F5 Signature obtained, consequences acknowledged, claimant received copy of plan<br>Initial:          ☐Yes ☐No  ☐N/A<br>Subsequent: ☐Yes ☐No  ☐N/A<br>*Source: ETO Action Plan TP, Uploaded Action plan, service, or case note, copy of email sent or documentation of how claimant received copy of plan when provided remotely.*<br><br>F6 Plan reviewed during follow up<br>☐Yes ☐No  ☐N/A<br>*Source: ETO Action Plan Touchpoint Outcomes TAB includes actual completion date if complete or not complete and includes a note summary of the review..*<br><br>Note Detail<br>☐Very detailed<br>☐Somewhat detailed<br>☐No notes available<br>☐N/A | | |

| WorkSource Office: | Date of records review: ☐ ETO ☐ RAS ☐UTAB | Monitor: Diana Cook ☐ Desktop Review ☐ Observation of Appointment | |
|---|---|---|---|
| Claimant Name:<br>ETO ID:<br>UTAB ID: | INITIAL Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: | SUBSEQUENT Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: | |

| ELEMENT | EVIDENCE & INDICATORS | COMMENTS | ACTION REQUIRED |
|---|---|---|---|
| *Link: COVID 19 Conducting Remote Services Guidance 12-17-2020* Email Verification: For Customers with Email Accounts & **For customers without Email Accounts & Access** *The claimant is instructed to record the agreed upon activities and read the activities back to the WorkSource Specialist to ensure accuracy and obtain verbal agreement to the activities. Rev. 12/14/2020 v2*<br>• *Schedule the follow-up appointment. Inform claimant the appointment is mandatory and will require they provide their most recent one (1) week of job search activity.*<br>• *Clearly explain consequences for failure to complete action plan activities and follow-up appointment requirements (as referenced above)*<br>• *Finalize the plan by indicating "verbally agreed" in the customer signature line on the plan, initial and date.*<br>• *The WorkSource Specialist will mail the paper copy of the Reemployment Action Plan to the claimant at the address provided by the claimant within 2 business days if possible.*<br>• *Upload the Action Plan (and email if applicable) to ETO, attach to the RESEA TouchPoint.* | | | |
| 2-G COMPONENTS OF APPOINTMENTS<br>☐Initial ☐Subsequent ☐N/A<br>*RESEA09 SOP Self- Scheduler*<br>*Policy 4050 Revision 1 Section 3, I Minimum components of an appointment*<br>**(J) RESEA Follow up.**<br>Entering the RESEA service in the state MIS indicates that all components have been completed for that appointment. **System documentation:** Documenting attendance in RAS is not the same as entering the service in the state MIS. Both steps are required for all claimants who attend initial and follow-up appointments.<br>**I. RESEA Appointments.**<br>**Enrollment into Wagner-Peyser Employment Services.** This automatically occurs when an appropriate RESEA service is entered in the state MIS. All claimants must be registered for and receive Wagner-Peyser employment services. The federal mandate furthers the mission to help job seekers find employment and employers find | G1 All required elements of the RESEA meetings are properly recorded/entered in ETO.<br>Initial: ☐Yes ☐No ☐N/A<br>Subsequent: ☐Yes ☐No ☐N/A<br>Source: *ETO Service Notes or required elements TouchPoints and Action Plan Touchpoint both initial and follow up meetings, elements met or not met during review in items listed above.* Any missing required elements will result in Element NOT met in this section.<br><u>G2 MISSING REQUIRED ELEMENTS</u><br>☐**2-B UI Eligibility Review** | ☐ Element Met<br>Type: ☐Initial ☐Subsequent<br>☐ Element <u>Not Met</u><br>Type: ☐Initial ☐Subsequent<br>☐ N/A<br>Condition:<br>Criteria: | ☐ No Action Required<br>☐ Action Required:<br>☐ N/A |

| WorkSource Office: | Date of records review: ☐ ETO ☐ RAS ☐UTAB | Monitor: Diana Cook ☐ Desktop Review ☐ Observation of Appointment |
|---|---|---|
| Claimant Name:<br>ETO ID:<br>UTAB ID: | INITIAL Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: | SUBSEQUENT Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: |

| ELEMENT | EVIDENCE & INDICATORS | COMMENTS | ACTION REQUIRED |
|---|---|---|---|
| qualified workers. Staff must: **Ensure claimants meet the (UI) work test.** The purpose of the work test is to determine if claimants are meeting continued eligibility requirements and are fully ready to work.<br>*Section 4.c definitions C. Work Test*<br>The (UI) work test consists of:<br>i. Referring or attempting to refer claimants to jobs for which they are qualified or other career services that will lead to reemployment.<br>ii. Detecting possible issues that affect claimants' eligibility to receive benefits and promptly reporting them according to established procedures.<br>iii. Monitoring the accepted referral using regular verification procedures and determining whether claimants reported to and participated in the referred career service activity.<br>If it was a referral to a job, determine if claimants contacted the employers and reported for the interviews; their conduct during the interview; whether they accepted job offers, and whether they, if hired, actually went to work.<br>• Staff must complete the work test by routing any information that could affect the claim to appropriate staff and record information in job seekers' records.<br><br>UIPL 02-23 4. (a)(i)(A) *The initial RESEA session is "completed" when all the following components exist:*<br>1. *A UC eligibility review that is conducted on a one-on-one basis, including review of work search activities if such activities have not been waived and referral to adjudication if an issue or potential issue(s) is identified;*<br>2. *Customized labor market and career information based on an assessment of the claimant's needs.*<br>3. *Co-enrollment in the Wagner-Peyser Act-funded Employment Service program.*<br>4. *Support, to the extent needed, for the claimant in the development of an individual reemployment plan tailored to the claimant's needs; and*<br>5. *Information and referral to additional reemployment services and other AJC services, resources, and trainings, (as appropriate).* | ☐Initial ☐Subsequent<br><br>**☐2-C Review of Work Search Records**<br>☐Initial ☐Subsequent<br><br>**☐2-D Customized LMI**<br>☐Initial ☐Subsequent<br><br>**☐2-E Employability Needs Assessment**<br>☐Initial ☐Subsequent<br><br>**☐2-F Reemployment action plan**<br>☐Initial ☐Subsequent | | |

# 2023 RESEA PARTICIPANT RECORD CHECKLIST

**Employment Security Department** WASHINGTON STATE

| WorkSource Office: | Date of records review: ☐ ETO ☐ RAS ☐UTAB | Monitor: Diana Cook ☐ Desktop Review ☐ Observation of Appointment | |
|---|---|---|---|
| Claimant Name:<br>ETO ID:<br>UTAB ID: | INITIAL Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: | SUBSEQUENT Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: | |

| ELEMENT | EVIDENCE & INDICATORS | COMMENTS | ACTION REQUIRED |
|---|---|---|---|
| **RESEA05-SOP Employability Needs assessment and Service Referrals V3 Section 4**<br>**Responsibilities:** Refer or connect o appropriate WIOA service or community resources. Enter appropriate details about identified needs and service referrals in ETO.<br>**RESEA04-SOP Required Elements TouchPoint Documentation in ETO (UI Eligibility)**<br>Enter (RESEA only) Referral to Reemployment Training Basic Service Touchpoint when claimant is referral to any WorkSource employment and training services. | | | |

### 3. UI Feedback Loop

| ELEMENT | EVIDENCE & INDICATORS | COMMENTS | ACTION REQUIRED |
|---|---|---|---|
| **3-A REPORT OF POTENTIAL ISSUE REQUEST FOR WORK SEARCH DIRECTIVE**<br>☐Initial ☐Subsequent ☐N/A<br>*RESEA09 SOP Self- Scheduler*<br><br>**RESEA04-SOP Required Elements TouchPoint Documentation in ETO (UI Eligibility) V3 1(a)**<br>Upload required RPI with any supporting records or other relevant documents.<br><br>**RESEA02 Version 3 Report of Potential Issues and Work Search Directives 3.0 Responsibilities**<br>1. Conduct a thorough UI eligibility assessment, including a review of work search activity log or records.<br>2. Report any potential issue(s) to adjudication.<br>3. Inform claimants when a Report of Potential Issue (RPI) is submitted and of the need to respond to the questionnaire within the timeframe specified. Customers will get the questionnaire either through eServices or US postal mail 2 based on the preference they've selected in UTAB.<br>4. Request the issuance of a Work Search Directive (located in the RPI form) if appropriate; and<br>5. Consider referring to other resources when available to help claimants resolve underlying reasons for the issue(s) or barrier(s) to employment. The Report of Potential Issue/Work Search Directive is one of many tools used to help identify and investigate eligibility questions to ensure benefits are being paid | A1 Copy of RPI form uploaded in ETO, along with any supporting documents.<br>Initial: ☐Yes ☐No ☐N/A<br>Subsequent: ☐Yes ☐No ☐N/A<br>*Source:* ETO service note, case note or RESEA TP, and UTAB claimant notes.<br><br>A2 RPI form complete with details relevant to the claimant's circumstance<br>Initial: ☐Yes ☐No ☐N/A<br>Subsequent: ☐Yes ☐No ☐N/A<br>*Source:* ETO service note, case note or RESEA TP. Uploaded RPI form includes Claimant information, issue type, comments, dates, who completed by, and documentation that information was submitted for adjudication to UI same day.<br><br>A3 WSD requested using RPI form<br>Initial: ☐Yes ☐No ☐N/A<br>Subsequent: ☐Yes ☐No ☐N/A | ☐ Element Met<br>Type: ☐Initial ☐Subsequent<br>☐ Element Not Met<br>Type: ☐Initial ☐Subsequent<br>☐ N/A<br><br>Condition:<br>Criteria: | ☐ No Action Required<br>☐ Action Required:<br>☐ N/A |

| WorkSource Office: | Date of records review: ☐ ETO ☐ RAS ☐UTAB | Monitor: Diana Cook ☐ Desktop Review ☐ Observation of Appointment |
|---|---|---|
| Claimant Name:<br>ETO ID:<br>UTAB ID: | INITIAL Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: | SUBSEQUENT Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: |

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|---|---|---|---|
| appropriately. Fact-finding and determinations are made by the UI adjudication staff.<br><br>UIPL 02-23 4. (d)(iii)<br>**RESEA staff must refer** any failure to report or participate in any aspect of the RESEA program to the UI agency for adjudication under the applicable state law.<br><br>*Policy 4050 Revision 1 Section 3, I (i) Work Search Directives (ii.) Potential Issues*<br>A directive is a written notice the department issues to claimants advising them of what specific aspects of their job search activities they need to change in order to comply with the job search requirements.<br>WAC 192-180-010(6) Examples include, but are not limited to:<br>• Increase the number of contacts per week.<br>• Change method of looking for work.<br>• Expand the geographical area in which they are looking for work.<br>• Lower wage demands.<br>• Participate in activities needed to meet job ready standards.<br>Directives must not be arbitrary or issued prematurely. Arbitrary directives are those that direct claimants to take extraordinary measures to maintain eligibility. Premature directives are those issued before claimants have a chance to seek work:<br>• In their usual occupation.<br>• Through customary trade practices.<br>(ii) Potential Issues An issue is an act, circumstance, or condition that is potentially disqualifying under state law. Issues arise when staff discover information that causes the department to question claimants' eligibility for benefits.<br>Claimants must be immediately able and available for suitable work in their labor market during their customary days and hours each week they claim benefits. If potentially disqualifying information is discovered, staff must confirm the details with the claimant and document the specific information in a Report of Potential Issue (RPI) form. Staff should take this opportunity to explain the eligibility requirements for benefits. Then submit a completed RPI to the claims center. Claims center staff | *Source:* *WSD section of RPI form used along with ETO service notes or RESEA TP notes, or ETO case notes.*<br><br>A4 RPI discussed with claimant<br>Initial:        ☐Yes ☐No  ☐N/A<br>Subsequent: ☐Yes ☐No  ☐N/A<br>*Source:* *ETO service note, case note or RESEA TP. Uploaded RPI form includes comments, dates, and details.*<br><br>A5 Claimant referred to services or resources as appropriate.<br>*Source:* *ETO service note, case note or RESEA TP. Uploaded RPI form includes comments, dates, and details.*<br>Initial:        ☐Yes ☐No  ☐N/A<br>Subsequent: ☐Yes ☐No  ☐N/A<br><br>Note Detail<br>☐Very detailed<br>☐Somewhat detailed<br>☐No notes available<br>☐N/A | | |

| WorkSource Office: | Date of records review:  ☐ ETO  ☐ RAS  ☐UTAB | Monitor:  Diana Cook  ☐ Desktop Review  ☐ Observation of Appointment |
|---|---|---|
| Claimant Name:<br>ETO ID:<br>UTAB ID: | INITIAL Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: | SUBSEQUENT Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: |

| ELEMENT | EVIDENCE & INDICATORS | COMMENTS | ACTION REQUIRED |
|---|---|---|---|
| will investigate further and resolve the issue accordingly. Depending on the nature of the information discovered, staff should consider referrals to other resources when available to help claimants resolve underlying reasons for the issues or barriers to employment. RPI's must be submitted the same day the issue was discovered and a detailed case note explaining the issue(s) and staff's action taken entered in both UTAB and the state MIS system. | | | |

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| **4.  ETO Data Integrity RESEA TouchPoints (Implemented 8-23-2021)** | | | |

| ELEMENT | EVIDENCE & INDICATORS | COMMENTS | ACTION REQUIRED |
|---|---|---|---|
| **4-A ETO RESEA BASIC SERVICE TP**<br>☐Initial ☐Subsequent ☐N/A<br>*WIN 0082, Change 1 Real-Time Data Entry in the Efforts To Outcomes (ETO) System*<br>This revision to WIN 0082 communicates a change to the data correction process, wherein both Basic Services and Individualized, Training, and Support Services (ITSS) data corrections are performed locally. The revision also announces and describes revised ETO reports to help staff and supervisors identify services that have been backdated since the system launched in May 2016.<br>*RESEA04 Required Elements TouchPoint documentation in ETO Section 4 (A)* Service TouchPoints and accompanying notes must be entered into ETO on the same day services are provided for both the initial and follow-up appointments. Staff that provide RESEA services at remote locations without internet or system access must enter TouchPoints on the business day following the appointment date.*<br>***Required ETO RESEA TouchPoints (TP)***<br>*A. RESEA Basic Service: One of these basic services must be entered for all completed appointments. (Service notes and uploading of action plan or other documents will be completed under the RESEA Dashboard Required Elements and RESEA Action Plan Touchpoints):*<br>*1. RESEA Initial-Follow up Scheduled*<br>*2. RESEA Initial-No Follow up 3. RESEA Follow up*<br>   *a) Select the method of contact: in-person, telephone, or video conference.*<br>   *b) Enter Activity Date of the RESEA Service.* | A1 Date of ETO Basic RESEA Service matches date of attendance in RAS<br>Initial:      ☐Yes ☐No ☐N/A<br>Subsequent: ☐Yes ☐No ☐N/A<br>*Source: ETO Basic Service, Initial or Follow up TP dashboards, service notes, case notes. RAS event history, ETO service entry date, or RAS appointment history.* | ☐ Element Met<br>Type: ☐Initial ☐Subsequent<br>☐ Element <u>Not</u> Met<br>Type: ☐Initial ☐Subsequent<br>☐ N/A<br>Condition:<br>Criteria: | ☐ No Action Required<br>☐ Action Required:<br>☐ N/A |

| WorkSource Office: | Date of records review: ☐ ETO ☐ RAS ☐UTAB | Monitor: Diana Cook ☐ Desktop Review ☐ Observation of Appointment |
|---|---|---|
| Claimant Name:<br>ETO ID:<br>UTAB ID: | INITIAL Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: | SUBSEQUENT Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: |

| ELEMENT | EVIDENCE & INDICATORS | COMMENTS | ACTION REQUIRED |
|---|---|---|---|
| ⇒ *(RESEA only) Referral to Reemployment/Training: Enter a separate Basic Service Touchpoint in addition to the above when Claimant is referred to any WorkSource employment and training services such as workshops, referrals to community college partners and strategies for success classes ***8-23-2021 Revisions moving RESEA documentation from Basic Service TP for all initial and follow up meetings scheduled after 8-23-2021 implementation.* | | | |
| **4-B RESEA REQUIRED ELEMENTS AND ACTION PLAN TOUCHPOINT DASHBOARDS**<br>☐Initial ☐Subsequent ☐N/A<br>*WIN 0082, Change 1 Real-Time Data Entry in the Efforts To Outcomes (ETO) System*<br>This revision to WIN 0082 communicates a change to the data correction process, wherein both Basic Services and Individualized, Training, and Support Services (ITSS) data corrections are performed locally. The revision also announces and describes revised ETO reports to help staff and supervisors identify services that have been backdated since the system launched in May 2016.<br>*RESEA04 Required Elements TouchPoint documentation in ETO Section 4 (B)(1) (1.1) (2) (1.2)*<br>*RESEA Customer Dashboard. The Initial Meeting TouchPoint once entered will create a dashboard. All follow up meeting TouchPoints will be taken within the Initial meeting dashboard: 1. RESEA Required Elements Initial TouchPoint Dashboard o 1.1 RESEA Required Elements Follow up (The follow-up appointment will cover all the same elements of the initial meeting) 2. RESEA Action Plan Initial TouchPoints Dashboard o 1.2 RESEA Action Plan Follow up TouchPoint Dashboard. ***8-23-2021 Revisions moving RESEA documentation from Basic Service TP for all initial and follow up meetings scheduled beginning with the 8-23-2021 implementation.* | **B1 RESEA** <u>Required Elements Initial</u> TouchPoint Dashboard completed<br>☐Yes ☐No ☐N/A<br>*Source:* ETO RESEA dashboard for initial and record saved and not in draft format for all initial appointments completed beginning on 8-23-2021.<br><br>**B2 RESEA** <u>Action Plan Initial</u> TouchPoint Dashboard completed ☐Yes ☐No ☐N/A<br>*Source*: ETO Action Initial dashboard has the completed, not in draft form.<br><br>**B3 RESEA** Required Elements <u>Follow up TouchPoint completed</u> ☐Yes ☐No ☐N/A<br>*Source*: ETO RESEA Follow up required elements completed, and not in draft form.<br><br>**B4 RESEA** *Action Plan Follow up* TouchPoint entered ☐Yes☐No ☐N/A<br>*Source*: ETO RESEA Action Plan Follow up completed, not in draft form when additional follow up meetings scheduled. | ☐ Element Met<br>Type: ☐Initial ☐Subsequent<br>☐ Element <u>Not</u> Met<br>Type: ☐Initial ☐Subsequent<br>☐ N/A<br><br>Condition:<br>Criteria: | ☐ No Action Required<br>☐ Action Required:<br>☐ N/A |

| WorkSource Office: | Date of records review: ☐ ETO ☐ RAS ☐ UTAB | Monitor: Diana Cook ☐ Desktop Review ☐ Observation of Appointment |
|---|---|---|
| Claimant Name:<br>ETO ID:<br>UTAB ID: | INITIAL Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: | SUBSEQUENT Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: |

| ELEMENT | EVIDENCE & INDICATORS | COMMENTS | ACTION REQUIRED |
|---|---|---|---|
| **4-C RECORDING REQUIRED BASIC SERVICES**<br>☐Initial ☐Subsequent ☐N/A<br>*WIN 0082, Change 1 Real-Time Data Entry in the Efforts To Outcomes (ETO) System*<br>This revision to WIN 0082 communicates a change to the data correction process, wherein both Basic Services and Individualized, Training, and Support Services (ITSS) data corrections are performed locally. The revision also announces and describes revised ETO reports to help staff and supervisors identify services that have been backdated since the system launched in May 2016.<br>*RESEA04 Required Elements TouchPoint documentation in ETO Section 4 (A) Service TouchPoints and accompanying notes must be entered into ETO on the same day services are provided for both the initial and follow-up appointments. Staff that provide RESEA services at remote locations without internet or system access must enter TouchPoints on the business day following the appointment date.*<br>***Required ETO RESEA TouchPoints (TP)***<br>*A. RESEA Basic Service: One of these basic services must be entered for all completed appointments. (Service notes and uploading of action plan or other documents will be completed under the RESEA Dashboard Required Elements and RESEA Action Plan Touchpoints):*<br>*1. RESEA Initial-Follow up Scheduled*<br>*2. RESEA Initial-No Follow up 3. RESEA Follow up*<br>   *a) Select the method of contact: in-person, telephone, or video conference.*<br>   *b) Enter Activity Date of the RESEA Service.*<br> *⇒(RESEA only) Referral to Reemployment/Training: Enter a separate Basic Service Touchpoint in addition to the above when Claimant is referred to any WorkSource employment and training **services such as** workshops, referrals to community college partners and strategies for success classes.* | C1 All required Basic RESEA Services are recorded in ETO. ☐Yes ☐No ☐N/A<br>Source: ETO RESEA *Basic Service Touchpoints notes and or action plan indicating referrals to WorkSource workshops, activities, and partners services.*<br>Missing Service(s): ☐Yes ☐No ☐N/A<br>☐RESEA Initial-Follow up Scheduled<br>☐RESEA Initial-No follow up<br>☐RESEA Follow up<br>☐(RESEA Only) Referral to Employment/ Training | ☐ Element Met<br>Type: ☐Initial ☐Subsequent<br>☐ Element Not Met<br>Type: ☐Initial ☐Subsequent<br>☐ N/A<br>Condition:<br>Criteria: | ☐ No Action Required<br>☐ Action Required:<br>☐ N/A |

# 2023 RESEA PARTICIPANT RECORD CHECKLIST

**Employment Security Department**
WASHINGTON STATE

| WorkSource Office: | Date of records review: ☐ ETO ☐ RAS ☐ UTAB | Monitor: Diana Cook ☐ Desktop Review ☐ Observation of Appointment |
|---|---|---|
| Claimant Name:<br>ETO ID:<br>UTAB ID: | INITIAL Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: | SUBSEQUENT Appointment Date: xx/xx/xx Reschedule(s): ☐Yes ☐No ☐ N/A<br>How scheduled: ☐Self-Scheduled ☐Staff-Scheduled Name:<br>Appt Method: ☐In Person ☐Virtual ☐Phone<br>Appt Staff Name: |

| ELEMENT | EVIDENCE & INDICATORS | COMMENTS | ACTION REQUIRED |
|---|---|---|---|
| **MISCELLANEOUS OBSERVATIONS** | **OBSERVATIONS & COMMENTS** | **COMMENTS** | **ACTION REQUIRED/ RECOMMENDATIONS** |
| ☐Initial ☐Subsequent ☐N/A<br>This element covers all other observations not accounted for on this tool, not required in program SOP's or Policy. Notations here will include when citations are identifiable, or items are in areas where there may be a gap in SOP's or Policy.<br>Examples of "miscellaneous observations" may include, but are not limited to:<br>• Medical references in the record. (see WIN 0023 Change 2 - Management of Medical and Disability Related Information)<br>• Although not required, the claimant does not have a WSWA profile. (follow up)<br>• Incomplete or lack of documentation of job seeking tools. (follow up)<br>• Job Match and referrals not provided.<br>• Attempt to contact claimant for required meeting resulted in DNR and documentation could not be located within an ETO Case Note TP.<br>• Use of Cut and Paste service notes that do not contain claimant specific details or tell the story. | <u>OBSERVATIONS</u><br>☐Yes ☐No ☐N/A | ☐ Recommendation<br>Type: ☐Initial ☐Subsequent ☐ N/A | ☐ Recommendation<br>☐ N/A |