

I. Project Identification

Project Title:

Agency Name

Agency Business Unit

Your Name (Submitter)

Phone

Email

Agency Head

Phone

Email

Agency CIO / IT Director

Phone

Email

Agency CFO

Phone

Email

Project Manager (if known)

Phone

Email

OPM Budget Analyst

Phone

Email

II. Project Details

A. Project Dates

Proposed Start Date (MM/DD/YYYY)

Expected Completion Date (MM/DD/YYYY)

Project Duration (in months)

B. **Project Description** - This information will be used for listings and report to the Governor and General Assembly on capital funded projects.

CTDOL plans to implement UI REA in three distinct phases. During each phase, the agency's UI mainframe system will perform the automated selection and scheduling of claimants, generate notification letters and provide for manual rescheduling and federal reporting data collection.

Phase One, September-November 2015, begins the weekly selection and scheduling of 135 UI claimants. This phase relies on CTDOL's current case management system, the Connecticut Works Business System (CTWBS), to capture details about the employment services delivered to UI REA participants. Phase One implementation includes the following: 1) September 1, 2015: the first monthly calendars will be created for the five UI REA offices, the American

Job Centers located in Hartford, Hamden, Bridgeport, Waterbury and New London; 2) September 25, 2015: the first claimants will be selected and scheduled for in-person, one-hour appointments; 3) October 13, 2015: the first UI REA sessions will be conducted as claimants begin to report as scheduled; and 4) November 20, 2015: the first ETA-9128/Reemployment and Eligibility Assessment Workload report will become due, with data manually compiled (this first report, accounting for the participation and referral activities of those selected during quarter ending September 30, 2015, will reflect no activity since actual participation begins the subsequent quarter).

Phase Two, November 2015-December 2015, corresponds with CTDOL's rollout of a new, web-based case management system, CTHires, which will replace CTWBS and thenceforth be used to record the employment services delivered to UI REA claimants. Phase Two also includes the completion of mainframe development work needed to accommodate the automated compilation of the ETA-9128 report (next due February 20, 2016).

During the first two phases, each claimant will receive four forms to complete in advance of the scheduled REA interview, including a Wagner-Peyser registration and forms requesting information about the claimant's availability for work, job search activities and readiness to seek work. The information obtained will help staff evaluate the claimant's compliance with UI eligibility requirements and assess the claimant's needs for purposes of developing an individual employment plan.

Phase Three, planned for May-June 2016, calls for incorporating a UI REA module into CTHires. CTHires will interface with CTDOL's mainframe to facilitate the recording of claimant activities and enable the claimants' completion of online versions of the paper forms previously provided by mail. At a development cost of \$50,000, the online forms will permit CTDOL to realize a number of efficiencies; claimant information will be maintained in CTHires and may be viewed by staff in advance of the scheduled interview, allowing more time for the direct provision of services and eliminating the effort needed to prepare the forms for mailing.

In addition to preparing for the three-part UI REA implementation, CTDOL will be transitioning to the similar Reemployment Services and Eligibility Assessment (RESEA) program, which has identical goals and provisions but targets claimants most likely to exhaust their benefits and transitioning veterans receiving Unemployment Compensation for Ex-Service members (UCX). The Mandated date of transition is September 30, 2016.

C. Summary.

Summary - Describe the high level summary of this project in plain English without technical jargon
States that receive REA grants must require a portion of their UI claimants to attend in-person, one-on-one interviews as a condition of continuing eligibility. The interviews include a review of the claimant's work search and ongoing UI eligibility, the provision of current labor market information, the development of a reemployment plan, and a referral to reemployment services and/or training, as needed. This program is designed to ensure that claimants meet all UI eligibility provisions and are referred to reemployment services so they may return to the labor market as quickly as possible. The project includes mainframe enhancements to support the automated selection and scheduling of claimants and the filing of accurate federal reports.
Purpose – Describe the purpose of the project
UI REA addresses the individual reemployment needs of UI claimants and helps to prevent and detect UI improper payments. The program provides claimants with entry to a full array of reemployment services available at American Job Centers while also helping to ensure that claimants comply with all UI eligibility requirements. UI REA participants are active job seekers who are made aware of the wide variety of reemployment services that are available to them and referred to reemployment services appropriate for their individual needs.
Importance – Describe why this project is important
REA is a cost-effective intervention which occurs early in claimants' filing for unemployment compensation. The program has been proven to reduce the duration and amounts of UI benefits received, prevent improper benefit payments, and expedite the return to work of participants. The project will benefit job seekers and employers by producing a savings for the UI Trust Fund, preserving the integrity of Connecticut's UI benefit program, and facilitating the reemployment of UI claimants.
Outcomes – What are the expected outcomes of this project
Claimants selected for UI REA are significantly less likely to exhaust benefits as they may be expected to exit the UI program and return to work sooner. A report by Impaq International LLC, which analyzed Nevada's REA program, found the Nevada REA program very effective in assisting claimants obtain employment in the first two quarters following program entry, impacts which were sustained through six quarters following program entry. REA treatment group members returned to employment faster than their peers, which led to earning higher total wages following program entry and producing savings for the UI Trust Fund.
Approach and Success Evaluation – Provide details of how the success of the project will be evaluated
The UI REA program requires submission of the federal ETA 9128 and 9129 reports, which capture, respectively, activity and outcome information relating to the reemployment and eligibility assessments conducted and the claimants selected for participation. CTDOL will be able to analyze the quarterly data provided by these reports to evaluate the REA program's impact on factors such as the number of claimants participating in reemployment services, the dollar amounts of overpayment identified, the number of disqualifications resulting from referrals to adjudication, and the number of weeks to reemployment. These and other factors will provide evidence of the program's success and effectiveness.

D. **Business Goals.** List up to 10 key business goals you have for this project, when (FY) the goal is expected to be achieved, and how you will measure achievement, Must have at least one. Please use action phrases beginning with a verb to state each goal. Example: "Reduce the Permitting process by 50%". In the Expected Result column, please explain what data you will use to demonstrate the goal is being achieved and any current metrics.

Business Goal (Action Phase)	Target FY for Goal	Current Condition	Expected Result
Increase the number of UI claimants required to participate in reemployment services by 50%	FY16	During PY2014, 7,434 UI claimants participated in CTDOL's worker profiling program, Enhanced Reemployment Services (ERS).	7500 claimants will be served during the first year of UI REA, during which time ERS will also be administered. Even with a 50% decrease in the number of ERS participants served, the number of total UI claimants required to participate in reemployment services overall will ultimately increase by at least 50% with UI REA added, from 7,434 to 11,217 or more. As ERS is discontinued following the state's transition to RESEA, which targets similar claimants, CTDOL anticipates increasing the number served through UI REA/RESEA.
Decrease the duration and/or occurrence of overpayments among those selected for UI REA.	FY16	The average duration of an unemployment compensation overpayment is eight weeks	Bringing in claimants for UI REA soon after they initiate a claim for benefits to review their eligibility will reduce or eliminate overpayments for this population as claimants will be thoroughly informed of proper filing procedures.
Reduce the average duration of UI benefits by at least one week for those selected for UI REA and save CTDOL's UI Trust fund at least \$2,685,000.	FY16	The 12-month moving average duration rate during 2014 was 17.9 weeks, and the moving average continued to remain at 17.9 weeks through June 2015. CTDOL's average weekly benefit rate (WBR) from January through June 2015 was \$358.	The 12-month moving average duration rate will drop at least one week for UI REA claimants. CTDOL is planning to conduct 7500 UI REA appointments in the program's first year, meaning 7500 fewer weeks of UI payments. As CTDOL's average WBR of \$358, this represents a

			\$2,685,000 savings to Connecticut's UI Trust fund.
Increase the number of UI claimants receiving individualized employment plans to help claimants return to work sooner.	FY16	UI claimants do not typically receive an employment plan unless they are participating in ERS or Trade Adjustment Assistance.	UI REA requires an individual employment plan for each claimant. 7500 claimants added as first-year UI REA participants will add to the number of UI claimants receiving intensive, customized services and expedite their return to work.

E. **Technology Goals.** From a technical perspective, following the above example, list up to 10 key technology goals you have for this project and in which Fiscal Year (FY) the goal is expected to be achieved. Please use action phrases beginning with a verb to state each goal. Example: "Improve transaction response time by 10%".

Technology Goal	Target FY for Goal	Current Condition	Expected Result
Transition legacy UI data to new client/server environment.	FY16	CTDOL's legacy data resides on a mainframe system.	CTDOL will move to a third party client/server system.
Automate appointment scheduling.	FY16	N/A - CTDOL has automated scheduling for ERS group orientation sessions; REA scheduling requires individual appointments.	CTDOL staff will have more time to spend providing direct service

F. **Priority Alignment.** The criteria in this table, in concert with other factors, will be used to determine project priorities in the capital funding approval process. Briefly describe how the proposed projects will align with each criterion.

Priority Criterion	Y/N	Explanation
Is this project aligned with the Governor's Key Priorities?	YES	The UI REA program will help Connecticut's unemployed return to work sooner.
Is this project aligned with business and IT goals of your agency?	YES	UI REA will assist the unemployed with job search activities, providing each participant with an

		individualized employment plan. UI REA reemployment services will be included in CTHires, CTDOL's web-based case management system.
Does this project reduce or prevent future increases to the agency's operating budget?	NO	CTDOL will coordinate with its partners in the American Job Centers' one-stop delivery system to provide the necessary reemployment and/or training services required under the UI REA program and facilitate claimants' return to gainful employment.
Will this project result in shared capabilities?	YES	CTDOL will coordinate with its partners in the American Job Centers' one-stop delivery system to provide the necessary reemployment and/or training services required under the UI REA program and facilitate claimants' return to gainful employment.
Is this project being Co-developed through participation of multiple agencies?	NO	CTDOL is the only agency involved in developing and implementing this project; however, reemployment services may be provided by CTDOL's partners in the workforce development system.
Has the agency demonstrated readiness to manage project of this size and scope?	YES	As required by the US Dept. of Labor, CTDOL implemented an REA program for recipients of Emergency Unemployment Compensation (EUC RES/REA), which involved the participation of 58,984 claimants during the period May 2012 through December 2013.
Is the agency ready to deliver the business value proposed?	YES	Program development is proceeding on schedule, allowing for the first claimants to be selected on September 25, 2015, with their UI REA appointments beginning on October 13, 2015.

G. Organizational Preparedness. Is your agency prepared to undertake this project? Is senior management committed, willing to participate, and willing to allocate the necessary time, energy and staffing resources? How will the project be managed and/or governed and who will make the key project decisions?

TDOL has already undertaken this project and remains committed to ensuring that UI REA is successful. State personnel from UI Benefits, Employment Services, Project Management, Information Technology and Executive Management have been working to provide the leadership, management, knowledge and skills needed for successful development and implementation. An IT consultant is providing additional technical expertise to help design, develop and maintain the UI REA system on the Agency's mainframe. The project is managed by CTDOL's Project Management Office, with key project decisions made by the UI and ES Directors.

H. **Project Ramp Up.** If capital funds are awarded for this project, how long will it take to ramp up? What are the key ramp-up requirements and have any of these already been started? For example, has a project manager been identified? Has an RFI been issued? Is a major procurement required such as an RFP?

The project ramp-up requirements have been started or completed. The project has a project manager and dedicated project team. Neither an RFI nor RFP is needed. Key requirements: CTDOL applied for and was awarded federal funds during PY 2013 and PY 2015; convened subject matter experts to develop business requirements; performed the design work needed for IT enhancements, including an automated scheduling component and online screens to record scheduling changes, program participation, and referrals; and began testing efforts to ensure phase one implementation on September 25, 2015. Phase two work includes preparing for required federal reporting and developing interfaces needed for program linkages to CTHires, CTDOL's new web-based case management system.

I. **Organizational Skills.** Do you have the experienced staff with the proper training to sustain this initiative once it's a production system? Do you anticipate having to hire additional staff to sustain this? What training efforts are expected to be needed to maintain this system?

CTDOL designated staff from both Employment Services and UI Benefits to successfully conduct the EUC RES/REA program and prepare for UI REA implementation. Employment Services staff in the American Job Centers will conduct the UI REA appointments, with no need to hire additional staff. Claimants will be in the hands of experienced staff well-trained in the array of reemployment services available, and able to perform the UI eligibility assessment needed to ensure compliance with all UI eligibility requirements. Potential eligibility issues will be referred to UI adjudications staff for determinations. CTDOL has experienced staff available to provide all necessary staff training and has also designated sufficient staff to sustain the UI REA program as a permanent agency program.

J. **Financial Estimates.** From IT Capital Investment Fund Financial Spreadsheet

Estimated Total Development Cost	Estimated total Capital Funding Request	Estimated Annual Operating Cost	One Time Financial Benefit	Recurring Annual Financial Benefit
\$866,882	\$293,184			\$2,753,000
Explanation of Estimates				
Total development costs include \$573,699 acquired through funding from two US DOL grants and one consultant dedicated to working on project. Development costs are exclusive federal funds received for fringe benefits costs, non personnel service costs and costs to perform REA activity.				
Capital funding request reflects consulting costs for one consultant from July 1, 2015 through October 30, 2016.				
Expected Annual benefit a result of reducing average duration of UI benefits by one week for those claimants (7,500) participating in REA. This will also be expected to decrease improper payments among those selected to participate in REA.				
Assumptions: Please list key assumptions you are using to estimate project development and implementation costs				

III. Expanded Business Case

- A. **Project Impact.** Beyond the top business goals identified in Section II, 1) What impacts will this project have, if any, in the targeted areas below, 2) What would be the impact of not doing this project, 3) How will the project demonstrate benefits are achieved.

(1) Impact Area (Vision)	Y/N	Description of Project Impact
Will this project provide efficient and easily accessible services for all constituents?	Y	The UI REA program is expected to provide efficient and easily accessible services for all selected claimants. UI REA claimants will also benefit, as will other constituents, from having access to CTDOL's robust, web-based case management system, CTHires, expected to become available in November 2015.
Will this project promote open and transparent government with the citizens of the state?	Y	The UI REA program will promote open and transparent government to the extent that all selected claimants will receive clear and concise communication about program expectations and requirements. UI confidentiality provisions will fully protect the identity of UI REA participants, while the claimants themselves share their experiences regarding CTDOL reemployment services with family, friends and other citizens across the state.
Will this project establish efficient and modern business processes?	Y	This project includes a streamlined scheduling and notification process and will soon also involve a web-based case management system accessible 24/7. Services will be efficiently tracked for reporting ease.
Will this project increase accuracy and timeliness of data for policy making, service delivery and results evaluation?	Y	The project will improve unemployment compensation benefit payment accuracy and lesson the frequency of improper payments. Reporting components will sufficiently track service delivery and the results of participation.

2) What is the expected impact of NOT doing this project?
The consequences of not doing this project include the following: 1) CTDOL would be required to return \$2,193,506 in funds already awarded, some of which have been expended on program and information technology development and the creation of a new profiling model; 2) Connecticut would be less effective in preventing improper UI payments and reducing the duration of UI benefits, outcomes that would adversely affect the UI Trust Fund; 3) UI claimants would remain less likely to receive the reemployment services needed to expedite their return to work; and 4) Connecticut would be ineligible to apply for and receive RESEA funds now available to help cover the cost of providing reemployment services.

(3) How will you demonstrate achievement of benefits?
Federal reporting, a required program component, provides information about the activities provided to UI beneficiaries and the outcomes of these activities, allowing for a complete evaluation of program effectiveness. The reporting supports the program goal of reducing improper payment and facilitating the reemployment of UI beneficiaries.

B. Statutory/Regulatory Mandates. 1) Cite and describe federal and state mandates that this project is intended to address. 2) What would be the impact of non-compliance?

(1) Statutory / Regulatory Mandates:

This project is the result of a federal grant awarded to CTDOL in 2013 to provide re-employment and eligibility assessments to UI claimants (UI REA). CTDOL was also awarded funds in 2015 to assist with the UI REA transition to the new Reemployment Services and Eligibility Assessments (RESEA) program, which requires states to serve claimants who are identified as most likely to exhaust their UI benefits and claimants receiving Unemployment Compensation for Ex-Service members. 42 U.S.C. 503 (j)(1) requires, in part, 1) the profiling of all new claimants for regular unemployment compensation to identify which claimants will be likely to exhaust regular compensation and will need job search assistance services to make a successful transition to new employment and 2) the referral of such claimants to reemployment services. 42 U.S.C. 503 (a)(10) requires state law to include a provision such that any claimant so referred shall participate in reemployment or similar services as a condition of eligibility for regular compensation for any week unless the claimant is found to have completed such services or there is justifiable cause for such claimant's failure to participate. [See C.G.S. 31-235 (a)(4)]

(2) Impact of non-compliance:

CTDOL would be required to return \$2,058,670 awarded in 2013 and \$134,836 awarded in 2015. Some of these funds have been already expended on program and information technology development or otherwise needed for the creation of a new profiling model. For the first time these grants are also available to fund reemployment services for program beneficiaries, making Connecticut ineligible for much-needed federal dollars if program implementation is jeopardized.

C. Primary Beneficiaries. Who will benefit from this project (citizens businesses, municipalities, other state agencies, staff in your agency, other stakeholders) and in what way?

UI claimants selected for the program will be the primary beneficiaries as they are able to return to work sooner by utilizing American Job Center reemployment services. Employers, who pay for UI benefits via UI taxes and reimbursements to the UI Trust fund, will benefit as they pay less into the UI Trust fund due to UI REA participants collecting fewer weeks of UI benefits. The Agency will receive funding from USDOL to run the program, which in turn should allow more claimants to benefit from more staff- assisted services, providing more customers with positive experiences from the American Job Centers and the UI REA program.

Important:

- **If you have any questions or need assistance completing the form please contact Jim Hadfield or John Vittner**
- **Once you have completed the form and the [IT Capital Investment Fund Financial Spreadsheet](#) please e-mail them to Jim Hadfield and John Vittner**

John Vittner, (860) 418-6432; John.Vittner@ct.gov

Jim Hadfield, (860) 418-6438; Jim.Hadfield@ct.gov