

EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	<b>CLASSIFICATION</b> Unemployment Insurance
	<b>CORRESPONDENCE SYMBOL</b> OUI
	<b>DATE</b> August 7, 2015

**ADVISORY:** UNEMPLOYMENT INSURANCE PROGRAM LETTER NO. 19-15

**TO:** STATE WORKFORCE AGENCIES

**FROM:** PORTIA WU /s/  
Assistant Secretary

**SUBJECT:** Unemployment Insurance (UI) Supplemental Budget Request (SBR)  
Activities: Quarterly Program Reporting Form & Instructions

1. **Purpose.** To notify State Workforce Agencies of the new Employment and Training Administration (ETA) Form 9165 for required reporting of quarterly progress and implementation updates for UI SBR grants.

2. **References.**

- Unemployment Insurance Program Letter (UIPL) No. 10-11, *Fiscal Year (FY) 2011 Unemployment Insurance (UI) Reemployment and Eligibility Assessment (REA) Grants*;
- UIPL No. 26-11, *Unemployment Insurance (UI) Supplemental Funding Opportunity for Program Integrity and Performance and System Improvements*;
- UIPL No. 10-12, *Fiscal Year (FY) 2012 Unemployment Insurance (UI) Reemployment and Eligibility Assessment (REA) Grants*;
- UIPL No. 18-12, *Unemployment Insurance (UI) Supplemental Funding Opportunity for Program Integrity, Performance, and System Improvements*;
- UIPL No. 28-12, *Supplemental Funding Opportunity for the Establishment of an Unemployment Insurance (UI) Integrity Center of Excellence*;
- UIPL No. 24-13, *Unemployment Insurance (UI) Supplemental Funding Opportunity for Program Integrity and Performance and System Improvements*;
- UIPL No. 10-14, *Fiscal Year (FY) 2014 Unemployment Insurance (UI) Reemployment and Eligibility Assessment (REA) Grants*;
- UIPL No. 13-14, *Unemployment Insurance (UI) Supplemental Funding Opportunity for Program Integrity and Performance and System Improvements*;
- UIPL No. 13-14, Change 1, *Unemployment (UI) Supplemental Funding for Reemployment and Eligibility Assessment (REA) Programs*;
- UIPL No. 18-14, *Fiscal Year 2014 Unemployment Insurance Worker Misclassification Prevention and Detection Supplemental Funding Opportunity*;
- UIPL No. 13-15, *Fiscal Year (FY) 2015 Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grants*; and
- UIPL No. 16-15, *Unemployment Insurance (UI) Supplemental Funding Opportunity for Program Integrity and Performance and System Improvements*.

<b>RESCISSIONS</b> None	<b>EXPIRATION DATE</b> Continuing
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3. **Background.** In recent years, ETA provided states with SBRs to accelerate actions to prevent and reduce improper payments, improve program performance, support states' information technology system modernization efforts, and fund other priority initiatives such as enhanced reemployment activities and the prevention of worker misclassification. ETA announced these supplemental funding opportunities in FY 2011 (UIPLs No. 10-11 and No. 26-11), FY 2012 (UIPLs No. 10-12, No. 18-12, and No. 28-12), FY 2013 (UIPL No. 24-13), FY 2014 (UIPLs No. 10-14, No. 13-14, No. 13-14 Change 1, and No. 18-14), and FY 2015 (UIPL No. 13-15 and No. 16-15). ETA may continue to offer SBR opportunities in the future, based on the availability of funding.

Currently, each ETA regional office manages project status reporting on SBR grants following its own guidelines and procedures. The new ETA Form 9165 was developed for use by the National and regional offices to obtain formal project status reports from states to ensure consistent monitoring of progress made on projects funded through SBR grants and provide any technical assistance that may be required for successful implementation.

The information to be collected in this report is frequently requested by the public and ETA makes the status of projects, such as those related to program integrity projects, available on a quarterly basis via a Web site, <http://www.dol.gov/dol/maps/map-ipia.htm>. The ETA 9165 report is expected to provide consistency in how states report implementation status of SBR projects. ETA will use this information to track progress made by the states and assess the impact on program operations and performance.

4. **Reporting Requirements.** State workforce agencies are required to submit ETA 9165 reports on active SBR grants by e-mail to their ETA regional office no later than 45 days after the end of each reporting quarter. Should the due date of the report fall on a Saturday, Sunday, or holiday, the report is due the previous business day. Additionally, states must electronically submit the 9130 report (OMB Control Number 1205-0461) to their ETA regional office quarterly.

The information gathered through the new ETA 9165 report will include the funded SBR project title and purpose, project timeline and milestones, and a narrative description of the project's implementation status. It will also include explanations of any delays in implementation; proposals for addressing any problems that caused the delay and new project timelines, if applicable; a self-reported designation of the implementation status (i.e. complete/ahead of schedule/on schedule/or behind schedule); and a discussion of identified technical assistance needs for the successful completion of the project.

Within 30 days of receiving the report, an ETA Federal Project Officer will review and accept the report and contact the state if clarifications are needed. The accepted reports will then be saved in ETA's online grants management system as part of the official grant file.

**5. Implementation Timeline for Reporting.** The following implementation timeline will be used for the ETA 9165 reports:

- Starting with the quarter ending September 30, 2015, state workforce agencies must report on all active SBR projects funded under UIPLs No. 28-12, No. 10-14, No. 13-14, No. 13-14 Change 1, and No. 18-14. States must submit these reports to their regional office no later than Friday, November 13, 2015.
- For the quarter ending December 31, 2015, the states must provide updates to the quarterly reports previously filed, and submit new reports on any ongoing core SBR projects, Reemployment Eligibility Assessments (REAs), or consortium SBR projects funded under UIPLs issued in FYs 2011, 2012 and 2013 that are not yet completed. States must submit these reports to their regional office no later than Friday, February 12, 2016.
- In addition, states receiving new grants under UIPL No. 13-15, No. 16-15, or other FY 2015 SBR funding opportunities must start reporting on all projects in the quarter ending December 31, 2015. States must submit these reports to their regional office no later than Friday, February 12, 2016.
- Subsequently, states must provide quarterly updates to these reports according to the schedule below, which is published in the attached instructions:

<b>Reporting Quarters</b>	<b>Due Dates</b>
October 1 <sup>st</sup> – December 31 <sup>st</sup>	February 14 <sup>th</sup>
January 1 <sup>st</sup> – March 31 <sup>st</sup>	May 15 <sup>th</sup>
April 1 <sup>st</sup> – June 30 <sup>th</sup>	August 14 <sup>th</sup>
July 1 <sup>st</sup> – September 30 <sup>th</sup>	November 14 <sup>th</sup>

- Should the due date of the report fall on a Saturday, Sunday, or holiday, the report is due the previous business day.

States should refer to their grant award letter for each fiscal year award to identify the projects that are core SBR, REA, or consortium SBR projects. For SBRs provided to state consortia for IT modernization projects, the lead state is expected to provide the status report on behalf of the partner states.

ETA may request that a state complete an ETA 9165 report for individual SBR projects categorized as incentive, focus, or optional strategies in FYs 2011, 2012, and 2013. This could occur, for example, if ETA has concerns that there is a financial issue that should be monitored, such as a short liquidation deadline. An ETA Federal Project Officer will notify the state if a report is requested for one of these ongoing projects, and the state will include the report as part of the next quarter's submission. In future years, the reporting

requirements will apply to all SBR projects funded, including any incentive, focus, or optional strategies.

States must ensure that an ETA 9165 report is provided for each project covered by the reporting requirements. For example: a state is implementing four projects under UIPL No. 13-14 and one ongoing core project under UIPL No. 18-12. For the first quarter that the ETA 9165 is due (ending September 30), the state must submit four documents to report on each project activity funded under UIPL No. 13-14. In the second quarter (ending December 31), the state must update the four report documents provided earlier and must submit one new document to report on the core activity funded under UIPL No. 18-12. The state must continue to submit updates for each of these five documents in each ensuing quarter until the project is completed.

6. **OMB Approval.** The Quarterly Narrative Progress Report for UI SBR Activities has been approved by the Office of Management and Budget (OMB) in accordance with the Paperwork Reduction Act of 1995. The OMB Control Number is 1205-0517 with an expiration date of May 31, 2018.
7. **Action Requested.** State administrators should distribute this advisory to appropriate staff.
8. **Inquiries.** Questions should be directed to the appropriate regional office.
9. **Attachment.**
  - Unemployment Insurance Supplemental Budget Request Activities: Quarterly Program Reporting Form and Instructions
  - Form ETA-9165