

<b>EMPLOYMENT AND TRAINING ADMINISTRATION</b> <b>ADVISORY SYSTEM</b> <b>U.S. DEPARTMENT OF LABOR</b> <b>Washington, D.C. 20210</b>	<b>CLASSIFICATION</b> Unemployment Insurance
	<b>CORRESPONDENCE SYMBOL</b> OUI/DPM
	<b>DATE</b> November 2, 2021

**ADVISORY: UNEMPLOYMENT INSURANCE PROGRAM LETTER NO. 2-22**

**TO:** STATE WORKFORCE AGENCIES

**FROM:** ANGELA HANKS **AH**  
Acting Assistant Secretary

**SUBJECT:** Grant Opportunity to Support States Following a Consultative Assessment for Fraud Detection and Prevention, Promoting Equitable Access, and Ensuring the Timely Payment of Benefits, including Backlog Reduction, for all Unemployment Compensation (UC) Programs.

1. **Purpose.** To notify State Workforce Agencies of the availability of up to \$200 million in funding to support states in improving UC systems and processes following a consultative assessment with a team of experts provided by the U.S. Department of Labor’s (Department) Employment and Training Administration (ETA).

2. **Action Requested.** The Department requests that State Workforce Agency Administrators:

- Review the funding opportunity and coordinate with appropriate state staff to determine if the state will apply for funds under this solicitation;
- Submit the SF-424 by e-mail to [covid-19@dol.gov](mailto:covid-19@dol.gov) by the close of business within 30 days after the state and ETA agree on the assessment recommendations to implement, with an electronic copy to the appropriate ETA Regional Office. The subject line of the e-mail should include the name of the state and the title “UI Tiger Team Grant 2021;”
- Express interest in a Tiger Team consultative process by March 31, 2022 or they may forfeit their opportunity for the grant funding allocation provided under this guidance.

3. **Summary and Background.**

- a. Summary – The Department is making up to \$200 million available in grants to support states with improving UC systems and processes that achieve the following goals: 1) preventing, detecting, and recovering funds from fraud; 2) promoting equitable access; and 3) ensuring the timely payment of benefits as well as activities to reduce workload backlogs, for all UC programs. States must first engage with the Department to complete a consultative assessment of their UC program. During this assessment the Department will leverage a multi-disciplinary team of experts (*i.e.*, Tiger Teams) designed specifically to analyze state UC systems and process challenges. The Tiger Teams will work with states to identify areas to enhance their existing efforts towards achieving these three goals and make actionable recommendations for the states to implement. If

<b>RESCISSIONS</b> None	<b>EXPIRATION DATE</b> Continuing
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needed, the Department and state will negotiate which of these recommendations to implement (*i.e.*, negotiated recommendations). States, after having completed this consultative assessment, must then use these funds to implement negotiated recommendations. States may also use other funds to implement the negotiated recommendations. In addition to implementing the recommendations of the Tiger Team, states may request permission from the Department to use any excess funds from these grants to further support the three goals of improving UC systems and processes.

- b. Background – On March 11, 2021, the President signed the American Rescue Plan Act of 2021 (ARPA) into law (Public Law (Pub. L.) 117-2). Section 9032, ARPA, creates a new Section 2118 of the Coronavirus Aid, Relief, and Economic Security (CARES) Act (Pub. L. 116-136) and provides for a \$2,000,000,000 appropriation to the Secretary of Labor (Secretary) to detect and prevent fraud, to promote equitable access, and to ensure timely payment of benefits to eligible workers with respect to UC programs. Such funds may be used for federal administrative costs; system-wide infrastructure investment and development; and to make grants to states or territories administering UC programs for such purposes, including the establishment of procedures or the building of infrastructure to verify or validate identity, implement federal guidance regarding fraud detection and prevention, and accelerate claims processing or process claims backlogs due to the pandemic.

As a reminder, states must refer allegations which they reasonably believe constitute UC fraud, waste, abuse, mismanagement, or misconduct to the Department’s Office of Inspector General (DOL-OIG). Additionally, states are required to disclose confidential UC information related to the CARES Act, as amended, to DOL-OIG for the purpose of UC fraud investigations and audits for the entire pandemic relief period. *See* Unemployment Insurance Program Letter (UIPL) No. 04-17, Change 1. States should actively and regularly share information about suspected fraud with other state UI agencies and with local, state, and federal law enforcement, in accordance with 20 CFR Part 603.

**Promoting Program Equity.** As states consider additional tools to incorporate into their operations, equitable access to unemployment benefits must be at the forefront of the decision-making process, in line with Executive Order (EO) 13985 of January 2021, and UIPL Nos. 02-16 and 02-16, Change 1. At the most fundamental level, equity within the UC program means the provision of UC payments to eligible workers, regardless of one’s background, in a timely and fair manner, with an application process that is readily accessible to all workers. In the context of fraud management, equitable access means that there are alternatives to digital mechanisms of identity proofing; that the mechanisms used to prove identity or flag for fraud do not contain racial, gender, or other bias; and that data and evaluations are available to understand the impact, if any, of fraud mitigation on the equitable access to benefits for all eligible individuals.

Funds made available under this UIPL are provided in addition to the ARPA Fraud Prevention Grant 2021 made available with UIPL No. 22-21 and the UI Equity Grant 2021 made available with UIPL No. 23-21, as well as the funds made available with

respect to preventing and detecting fraud and recovering overpayments for the Pandemic Unemployment Assistance (PUA) and Pandemic Emergency Unemployment Compensation (PEUC) programs (*see* UIPL Nos. 28-20; 28-20, Change 1; and 28-20, Change 2).

4. **ETA “Tiger Team” Initiative.** Upon receiving a state’s commitment to participate in the consultative assessment the Department will assign a Tiger Team to review the state’s unemployment insurance (UI) infrastructure, claims and payment processes, information technology (IT) capabilities, communications, and any changes in laws and policies to achieve the three goals of: 1) preventing, detecting, and recovering funds from fraud; 2) promoting equitable access; and 3) ensuring the timely payment of benefits as well as activities to reduce workload backlogs, for all UC programs. Based on this review, the Tiger Team will recommend solutions to the state that may include activities such as work flow adjustments, process improvements, technology updates, and/or communication revisions. After having completed this consultative assessment, the state may then use allowable funds and request these grant funds to implement the agreed upon recommendations.
- a. **Composition of Tiger Teams and the Consultative Assessment Approach.** Each Tiger Team is comprised of experts including a Fraud Specialist, Equity/Customer Experience Specialist, Unemployment Insurance (UI) Program Specialist, Business Intelligence Analysts, Computer Systems Engineer/Architect, and Project Manager. The Department will deploy a dedicated Tiger Team to work in collaboration with the state to conduct an intensive discovery process to quickly pinpoint challenges and propose recommended solutions. The expectation is that the consultative assessment will aid the state in addressing immediate needs and issues that will lead to achieving quick “wins” such as near-term improvements in customer experiences, improved operational processes, and improved fraud prevention and detection. As much as possible, these recommendations will be achievable using the state’s existing technological infrastructure.

The engagement will last approximately eight weeks and will include three phases: 1) a four-week discovery phase, 2) a two-week analysis phase and 3) a two-week phase to generate and prioritize recommendations. States should expect to provide the highest level of direct staff involvement in the first phase with lesser time commitments in the second and third phases.

In addition to the time commitment for state staff, documentation and resources expected from states to facilitate the consultative assessment may include:

- Information and data related to current challenges;
- Benefits system documentation and maps;
- Risk control matrices and risk registers;
- List of third-party data sources;
- Training materials and manuals;
- Business process documentation and process maps;
- Results of any previous Business Process Reengineering efforts;

- Call center Service Level Agreement (SLA) documents and performance metrics;
  - State-specific UI program operational metrics;
  - Call center and website customer satisfaction survey results; and/or
  - Overpayment and recoveries data.
- b. **Identifying States for Participation.** The Department anticipates the capacity to provide Tiger Team consultative assessments to six states at a time, with the duration of the services to last approximately eight weeks.

Initially, states will be selected on a first-come, first-served basis upon expressing interest in a Tiger Team consultative assessment. States may volunteer to participate at any time by contacting [covid-19@dol.gov](mailto:covid-19@dol.gov) and copying the appropriate ETA Regional Office. **States must express interest in a Tiger Team consultative process by March 31, 2022 or they may forfeit their opportunity for the grant funding allocation.**

ETA may also identify states to receive a Tiger Team consultative assessment based upon feedback from ETA Regional Offices and/or an evaluation of a state's performance. ETA will reach out to those states to determine if they are interested in participating in the consultative assessment. **ETA may select states for participation after March 31, 2022 and such selected states will still have access to the grant funding allocation.**

- c. **Next Steps after the Consultative Assessment.** Once the Tiger Team makes recommendations, the Department will work with the states to determine the recommendations that the state will begin implementing. The negotiated recommendations will become the subject of grant funding under this UIPL.

**5. Funding for States to Implement Tiger Team Recommendations.** This section discusses the amount available to states, allowable uses of funds, application instructions, and reporting requirements.

- a. **Amount Available to States.**<sup>1</sup> The Department is providing up to \$200 million to states that participate in a Tiger Team consultative assessment and then agree to implement agreed upon recommendations. The methodology for state funding levels is based on the size of UI covered employment in the state. For purposes of this methodology, states are assigned to four groups (Small, Medium, Large, and Extra Large) based on the 12-month average of UC covered employment for the four quarters in calendar year 2020 reported on the ES 202 (Employment, Wages and Contributions). States are assigned to groups as follows:

- Small: covered employment under 1 million employees
- Medium: covered employment between 1 million and 2 million employees

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<sup>1</sup> Since Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau do not operate regular UC programs, this grant opportunity is not being made available to these jurisdictions.

- Large: covered employment between 2 million and 7 million employees
- Extra Large: covered employment greater than 7 million employees

Attachment I lists the amount of funding available for each state.

- b. **Allowable Uses of Funds.** States, after having completed this consultative assessment, will use these funds to implement the recommendations upon which the state and the Department have agreed. States may also use other funds to implement negotiated recommendations. States should expect that the negotiated recommendations will be prioritized and tied to outcome metrics, as agreed upon by the Department and the states.
- i. Recommendations from the consultative assessment will focus on the areas of: 1) preventing, detecting, and recovering funds from fraud; 2) promoting equitable access; and 3) ensuring the timely payment of benefits, as well as activities to reduce workload backlogs, for all UC programs. Possible recommendations may include, but are not limited to:
- Redesign of critical process work flows;
  - Implementation and enhancement of identity proofing tools;
  - Enhancements to reduce manual work processes where appropriate;
  - Retooling of claimant and/or employer communications (*e.g.*, state workforce agency website or outgoing correspondence) to improve clarity, incorporate behavioral insights, and promote plain language;
  - Implementation of automation tools;
  - Developing and hosting training for staff as new processes, tools and/or strategies are developed;
  - Strengthening recovery efforts through forfeiture and financial institution coordination; and
  - Developing and executing communication plans to educate the public as new processes, tools, and/or strategies are implemented.
- ii. As stated above, states should expect that the negotiated recommendations will be tied to outcome metrics which may include, but are not limited to:
- **Increased Reciprocity Rate for Individuals with Barriers to Access.** The state may be asked to commit to increasing the reciprocity rates for UC programs and/or improving parity of reciprocity rates when comparing across demographic groups (*see* UIPL No. 02-16 and 02-16, Change 1).
  - **Improved Timeliness of Issuing First Payments and/or Resolving Nonmonetary Determinations.** The state may be asked to commit to improving the timeliness of issuing first payments and/or resolving nonmonetary determination issues for UC programs and/or improving parity of timeliness rates when comparing across demographic groups.

- **Improved Fraud-Related Activity Accuracy.** The state may be asked to commit to improved accuracy of fraud “hits” (*i.e.*, fewer false positives for fraud) to be adjudicated across UC programs and/or improved parity of fraud rates when comparing across demographic groups. This could include a metric measuring access for individuals with barriers to access, such as the provision of efficient and timely alternative access methods for those individuals that are timely and free of charge for the individual.
- **Improved Recovery Efforts for Benefit Overpayments.** A state may be asked to commit to improving amounts of benefit overpayments recovered, including through the use of forfeiture and coordination with financial institutions. Additionally, a state may be asked to commit to enhancing reporting of outcomes on the amount of fraud prevented through improved efforts.
- **Improved Nonmonetary Adjudication Quality.** A state may be asked to commit to improving the quality of nonmonetary adjudication for UC programs and/or improving parity of nonmonetary adjudication quality when comparing across all demographic groups.

In addition to implementing the negotiated recommendations, states may request permission from the Department to use any excess funds to further support improving UC systems and processes so as to further achieve the three ARPA goals described above.

- c. **Application Instructions.** States are required to submit an SF-424 (OMB No. 4040-0004) [https://apply07.grants.gov/apply/forms/sample/SF424\\_4\\_0-V4.0.pdf](https://apply07.grants.gov/apply/forms/sample/SF424_4_0-V4.0.pdf). ETA encourages states to submit this form within 30 days after the state and ETA agree on the assessment recommendations to implement, by electronic submission to the ETA National Office at [covid-19@dol.gov](mailto:covid-19@dol.gov) with a copy to the appropriate ETA Regional Office. For additional information on completing the SF-424, please refer to Attachment II.

In addition to the SF-424, states must include a Project Synopsis for each of the negotiated recommendations. For additional information on preparing the Project Synopsis, please refer to Attachment III. States will be funded for each negotiated recommendation, in the listed order of priority, up to the amount provided in Attachment I.

- d. **Reporting Requirements.** States must provide a narrative Quarterly Progress Report (ETA 9178-ARPA) and Quarterly Financial Report (ETA 9130) containing updates on the progress and implementation of each grant project. The form ETA 9178-ARPA is provided in Attachment IV. ETA will use the ETA 9178-ARPA report to track each state’s progress in implementing negotiated recommendations with the funds provided under this UIPL, ensuring that a state’s use of funds is consistent with the allowable use of funds outlined in Section 5.b. of this UIPL.

States must provide ETA with an ETA 9178-ARPA narrative update that identifies the specific negotiated recommendations being implemented and to report specific outcome metrics as they relate to those activities (*see* Section 5.b. of this UIPL). Please refer to Attachment IV for instructions for completion and the timeline for submission for the ETA 9178-ARPA.

6. **Inquiries.** Please direct inquiries to [covid-19@dol.gov](mailto:covid-19@dol.gov) with a copy to the appropriate ETA Regional Office.

7. **References.**

- American Rescue Plan Act of 2021 (ARPA), including Title IX, Subtitle A, Crisis Support for Unemployed Workers (Pub. L. 117-2);
- Consolidated Appropriations Act, 2021, including Division N, Title II, Subtitle A, the Continued Assistance for Unemployed Workers Act of 2020 (Pub. L. 116-260);
- Coronavirus Aid, Relief, and Economic Security (CARES) Act (Pub. L. 116-136), Title II, Subtitle A – Relief for Workers Affected by Coronavirus Act;
- Executive Order 13985 of January 20, 2021; 86 FR 7009, page 7009-7013, <https://www.federalregister.gov/documents/2021/01/25/2021-01753/advancing-racial-equity-and-support-for-underserved-communities-through-the-federal-government>;
- UIPL No. 23-21, *Grant Opportunity for Promoting Equitable Access to Unemployment Compensation (UC) Programs*, issued August 17, 2021, [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=7400](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=7400);
- UIPL No. 22-21, *Grant Opportunity to Support States with Fraud Detection and Prevention, Including Identity Verification and Overpayment Recovery Activities, in All Unemployment Compensation (UC) Programs*, issued August 11, 2021, [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=4240](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=4240);
- UIPL No. 14-21, Change 1, *State Responsibilities After the Temporary Unemployment Benefit Programs under the Coronavirus Aid, Relief, and Economic Security (CARES) Act, as amended, End Due to State Termination of Administration or When the Programs Expire*, issued July 12, 2021, [https://wdr.doleta.gov/directives/corr\\_doc.cfm?docn=9502](https://wdr.doleta.gov/directives/corr_doc.cfm?docn=9502);
- UIPL No. 14-21, *American Rescue Plan Act of 2021 (ARPA) - Key Unemployment Insurance (UI) Provisions*, issued March 15, 2021, [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=5669](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5669);
- UIPL No. 09-21, *Continued Assistance for Unemployed Workers Act of 2020 (Continued Assistance Act) - Summary of Key Unemployment Insurance (UI) Provisions*, issued December 30, 2020, [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3831](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3831);
- UIPL No. 28-20, Change 2, *Additional Funding to Assist with Strengthening Fraud Detection and Prevention Efforts and the Recovery of Overpayments in the Pandemic Unemployment Assistance (PUA) and Pandemic Emergency Unemployment Compensation (PEUC) Programs, as well as Guidance on Processes for Combatting Identity Fraud*, issued August 11, 2021, [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=7207](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=7207);

- UIPL No. 28-20, Change 1, *Additional Funding for Identity Verification or Verification of Pandemic Unemployment Assistance (PUA) Claimants and Funding to Assist with Efforts to Prevent and Detect Fraud and Identity Theft as well as Recover Fraud Overpayments in the PUA and Pandemic Emergency Unemployment Compensation (PEUC) Programs*, issued January 15, 2021, [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=9897](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=9897);
- UIPL No. 28-20, *Addressing Fraud in the Unemployment Insurance (UI) System and Providing States with Funding to Assist with Efforts to Prevent and Detect Fraud and Identity Theft and Recover Fraud Overpayments in the Pandemic Unemployment Assistance (PUA) and Pandemic Emergency Unemployment Compensation (PEUC) Programs*, issued August 31, 2020, [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=8044](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=8044);
- UIPL No. 23-20, *Program Integrity for the Unemployment Insurance (UI) Program and the UI Programs Authorized by the Coronavirus Aid, Relief, and Economic Security (CARES) Act of 2020 - Federal Pandemic Unemployment Compensation (FPUC), Pandemic Unemployment Assistance (PUA), and Pandemic Emergency Unemployment Compensation (PEUC) Programs*, issued May 11, 2020, [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=4621](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=4621);
- UIPL No. 02-16, Change 1, *State Responsibilities for Ensuring Access to Unemployment Insurance Benefits, Services, and Information*, issued May 11, 2020, [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=5491](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5491);
- UIPL No. 02-16, *State Responsibilities for Ensuring Access to Unemployment Insurance Benefits*, issued October 01, 2015, [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=4233](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=4233);
- UIPL No. 01-16, Change 1, *Federal Requirements to Protect Claimant Rights in State Unemployment Compensation Overpayment Prevention and Recovery Procedures - Questions and Answers*, issued January 13, 2017, [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=7706](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=7706);
- UIPL No. 01-16, *Federal Requirements to Protect Individual Rights in State Unemployment Compensation Overpayment Prevention and Recovery Procedures*, issued October 1, 2015, [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=5763](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5763);
- UIPL No. 19-11, *National Effort to Reduce Improper Payments in the Unemployment Insurance (UI) Program*, issued June 10, 2011, [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3036](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3036); and
- UIPL No. 12-01, Change 2, *States' Ability to Exercise Flexibility in Staffing Models for the Performance of Certain Unemployment Compensation (UC) Administrative Activities*, issued January 8, 2021, [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=8998](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=8998).

## 8. **Attachment(s).**

- Attachment I: State Size Classifications and Funding Allocation for UI Tiger Team Recommendations Grants.
- Attachment II: Instructions for Completing the SF-424.
- Attachment III: Instructions for Completing the UI Tiger Team Project Synopsis.
- Attachment IV: ETA 9178-ARPA Quarterly Narrative Progress Report.

**Attachment I to UIPL No. 2-22**

**State Size Classifications and Funding Allocation for  
UI Tiger Teams Grants**

<b>State</b>	<b>Size Classification</b>	<b>Tiger Teams Grant Funding Allotment</b>
Alabama	Medium	3,508,000
Alaska	Small	1,755,000
Arizona	Large	5,263,000
Arkansas	Medium	3,508,000
California	Extra Large	7,018,000
Colorado	Large	5,263,000
Connecticut	Medium	3,508,000
Delaware	Small	1,755,000
District of Columbia	Small	1,755,000
Florida	Extra Large	7,018,000
Georgia	Large	5,263,000
Hawaii	Small	1,755,000
Idaho	Small	1,755,000
Illinois	Large	5,263,000
Indiana	Large	5,263,000
Iowa	Medium	3,508,000
Kansas	Medium	3,508,000
Kentucky	Medium	3,508,000
Louisiana	Medium	3,508,000
Maine	Small	1,755,000
Maryland	Large	5,263,000
Massachusetts	Large	5,263,000
Michigan	Large	5,263,000
Minnesota	Large	5,263,000
Mississippi	Medium	3,508,000
Missouri	Large	5,263,000
Montana	Small	1,755,000
Nebraska	Small	1,755,000
Nevada	Medium	3,508,000
New Hampshire	Small	1,755,000
New Jersey	Large	5,263,000
New Mexico	Small	1,755,000
New York	Extra Large	7,018,000
North Carolina	Large	5,263,000
North Dakota	Small	1,755,000
Ohio	Large	5,263,000
Oklahoma	Medium	3,508,000
Oregon	Medium	3,508,000
Pennsylvania	Large	5,263,000
Puerto Rico	Small	1,755,000
Rhode Island	Small	1,755,000
South Carolina	Medium	3,508,000
South Dakota	Small	1,755,000

Tennessee	Large	5,263,000
Texas	Extra Large	7,018,000
Utah	Medium	3,508,000
Vermont	Small	1,755,000
Virgin Islands	Small	1,755,000
Virginia	Large	5,263,000
Washington	Large	5,263,000
West Virginia	Small	1,755,000
Wisconsin	Large	5,263,000
Wyoming	Small	1,755,000
<b>U.S. TOTAL</b>		<b>\$200,000,000</b>

**Instructions for Completing the SF-424**

I. Application for Federal Assistance (SF-424)

*Refer to Attachment III for Instructions for Completing the UI Tiger Team Project Synopsis.*

Use the current version of the form for submission. Expired forms will not be accepted. SF-424, Expiration Date 12/31/2022, Office of Management and Budget (OMB) Control No. 4040-0004 (Grants.gov). [https://apply07.grants.gov/apply/forms/sample/SF424\\_4\\_0-V4.0.pdf](https://apply07.grants.gov/apply/forms/sample/SF424_4_0-V4.0.pdf)

**Section # 8, APPLICANT INFORMATION:**

- **Legal Name:** The legal name must match the name submitted with the System for Award Management (SAM). Please refer to instructions at <https://sam.gov/content/home>.
- **Employer/Tax Identification Number (EIN/TIN):** Input your correct 9-digit EIN and ensure that it is recorded within SAM.
- **Organizational DUNS:** All applicants for Federal grant and funding opportunities are required to have a 9-digit Data Universal Numbering System (D-U-N-S®) number, and must supply their D-U-N-S® number on the SF-424. Please ensure that your state is registered with the SAM. Instructions for registering with SAM can be found at <https://sam.gov/content/home>. Additionally, the state must maintain an active SAM registration with current information at all times during which it has an active Federal award or an application under consideration. To remain registered in the SAM database after the initial registration, there is a requirement to review and update the registration at least every 12 months from the date of initial registration or subsequently update the information in the SAM database to ensure it is current, accurate, and complete. Failure to register with SAM and maintain an active account will result in a rejection of your submission.
- **Address:** Input your complete address including Zipcode+4; Example: 20110-831. For lookup, use link at <https://tools.usps.com/go/ZipLookupAction!input.action>.
- **Organizational Unit:** Input appropriate Department Name and Division Name, if applicable.
- **Name and contact information of person to be contacted on matters involving this application.** Provide complete and accurate contact information including telephone number and email address for the point of contact.

**Section # 9, Type of Applicant 1:** Select Applicant Type: Input “State Government”.

**Section # 10, Name of the Federal Agency:** Input “Employment and Training Administration”.

**Section # 11, Catalog of Federal Domestic Assistance Number:** Input “17.225”; **CFDA Title:** Input “Unemployment Insurance”

**Section # 12, Funding Opportunity Number and Title:** Input “UI Tiger Team Grant 2021”.

**Section # 13, Competition Identification Number:** Leave Blank.

**Section # 14, Areas Affected by Project:** Input the place of performance for the project implementation; Example “NY” for New York.

**Section # 15, Descriptive Title of Applicant’s Project:** Input “UI Tiger Team Grant 2021”.

**Section # 16, Congressional Districts of:**

- a. Applicant: Input the Congressional District of your home office. For lookup, use link at <https://www.house.gov/> with Zipcode + 4.
- b. Program/Project: Input the Congressional District where the project work is performed. If it is the same place as your home office, input the congressional district for your home office. For lookup, use link at <https://www.house.gov/> with Zipcode+4.

**Section # 17, Proposed Project Dates**

- a. Start Date: Input a valid start date for the project (earliest start date will be October 1, 2021).
- b. End Date: Input a valid end date for the project (September 30, 2023).

**Section # 18, Estimated Funding (\$):**

Input the applicable funding allotment as listed for your state in Attachment I.

**Section #s 19 – 20:** Complete as per instructions for Form SF-424.

**Section # 21, Authorized Representative:** Please select the “I AGREE” check box and provide complete information for your authorized signatory including contact information such as telephone number and email address. If your Authorized Representative has changed from your previous application submission for this program, please include a letter from higher-level leadership authorizing the new signatory for the application submission.

**Remember to have the SF-424 signed and dated by the Authorized Representative.**

**Instructions for Completing the UI Tiger Teams Project Synopsis**

*In addition to the SF-424, the applicant must provide a Project Synopsis to include information about each of the prioritized grant activities to be implemented under UIPL No. 2-22, subject to the sufficiency of the total grant funds identified in Attachment I of the UIPL. The informational requirements of the Project Synopsis include the following for each negotiated recommendation:*

1. *Negotiated Recommendation Summary.* Applicants must identify the negotiated recommendation(s) selected for implementation as a result of the UI Tiger Teams consultative assessment.
2. *Projected Funding Commitment.* Applicants must indicate the projected funding commitment for each specific UI Tiger Teams grant negotiated recommendation identified. *Note:* UI Tiger Team recipients will receive a Special Condition of Award Notice requiring that their grant be modified within 60 days of award to incorporate a budget for each negotiated recommendation to be implemented.
3. *Project Implementation Order.* Applicants must indicate the implementation order for each of the negotiated recommendations to be completed under the UI Tiger Teams grant based on the agreed upon prioritization between that state and the Department.
4. *ARPA Pillar(s) Addressed.* Applicants must indicate the specific goal(s) of ARPA that is being addressed by the negotiated recommendation. The three goals include:
  - Preventing, detecting, and recovering funds from fraud.
  - Promoting equitable access.
  - Ensuring the timely payment of benefits as well as activities to reduce workload backlogs, for all UC programs.
5. *Estimated Duration.* Applicants must indicate the estimated time needed to complete each negotiated recommendation. ETA understands that some projects may be implemented concurrently and others may be staged, and therefore this is not a request for a timeline (start date and end date) but rather an estimation of the project length (number of months).
6. *Outcome Metrics.* Applicants must identify the outcome metrics that the project outcomes associated with the negotiated recommendation is tied to, as defined in Section 5.b. of UIPL No. 2-22, which may include, but are not limited to:
  - Increased Reciprocity Rate for Individuals with Barriers to Access.
  - Improved Timeliness of Issuing First Payments and/or Resolving Nonmonetary Determinations.
  - Improved Fraud-Related Activity Accuracy.
  - Improved Recovery Efforts for Benefit Overpayments.
  - Improved Nonmonetary Adjudication Quality.

**Attachment IV to UIPL No. 2-22**

**Form ETA 9178-ARPA**

U.S. Department of Labor (DOL)  
 Employment and Training Administration  
 Form ETA 9178-ARPA

OMB No. N/A<sup>2</sup>  
 Expiration Date: N/A

**Quarterly Narrative Progress Report  
 American Rescue Plan Act (ARPA) Grants**

General Information					
<b>State Name:</b>	<b>Grant Number:</b>		<b>Report Quarter Ending:</b>	<b>Date of Submission:</b>	
[[ ]]	[[ ]]		[[ ]]	[[ ]]	
<b>Project Name:</b>	[[ ]]		<b>UIPL Number:</b>	[[ ]]	
Project Contact Information					
<b>Name:</b>	[[ ]]		<b>Agency:</b>	[[ ]]	
<b>Title:</b>	[[ ]]		<b>Address:</b>	[[ ]]	
<b>Phone:</b>	[[ ]]	<b>Ext:</b>	[[ ]]	<b>City:</b>	[[ ]]
<b>E-Mail:</b>	[[ ]]		<b>State:</b>	[[ ]]	<b>Zip Code:</b> [[ ]]

**Project Report**

**A. Summary of Project**

*Please limit your response to 1000 characters or less.*

States must use this section to provide a detailed executive summary of the project/activity/solution (project). Each funded project will have its own separate quarterly progress report (ETA 9178-ARPA) through the quarter the project ends. States must use this section to provide a short summary of the project’s purpose. This summary should only change during the life of the grant if the state has received an approved modification. Modifications only apply to grants that require a full application. |

**B. Timeline for Grant Activities and Milestones or Deliverables**

*Please limit your response to 1000 characters or less.*

States must use this section to provide the timelines for and the progress in completing grant activities, key milestones, and deliverables for this quarter. A timeline must still be developed for all project activities. The timeline must provide a project flow that includes start and end dates, schedule of activities, and projected outcomes. In order to reap the most benefit from the timeline, the timeline must be updated each quarter noting the actual date of completion as each activity is accomplished. Items to incorporate in the timeline include: project goals, milestones, special events, important deadlines and deliverables. |

<sup>2</sup> Refer to Section 2116(a) of P.L. 116-136, the Coronavirus Aid, Relief, and Economic Security Act, March 27, 2020.

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**C. Project Implementation and Funding Status**

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*Please limit your response to 1000 characters or less.*

States must use this section to provide a description of the implementation of key activities and/or project status for the current quarter. Place an ‘X’ in one of the four check-boxes provided below to provide an assessment of implementation progress. The assessment must be supported by the status narrative noting if the project is on schedule, behind schedule, ahead of schedule, or complete this quarter. Once the project is marked as complete this quarter, the state is no longer required to submit an ETA 9178-ARPA report for the project.

In addition, please provide the funding status for this project for the end of the quarter, including the total project funding, total obligated, funding balance, and time remaining to expend funds/expenditure target. |

State Self-Assessment:	On Schedule	Behind Schedule	Ahead of Schedule	Complete this Quarter
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Total Project Funding	Total Obligated	Funding Balance	Expenditure Target	
<input type="checkbox"/>				

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**D. Project Challenges, Risk Mitigation Efforts/Modification Requests, and Technical Assistance Needs**

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*Please limit your response to 1500 characters or less.*

States must use this section to summarize any significant challenges to project implementation encountered during the quarter, and describe any risk mitigation efforts or actions taken to address the identified challenges. In addition, a status update must be provided on the resolution of challenges identified in previous quarters. This section should also include any questions you have for DOL and note any identified needs for technical assistance from DOL or others. The narrative must also indicate whether the grantee is requesting a modification to any project strategies and how the modification request changes the original project proposal. If a modification has been requested, the narrative must also indicate the status of the modification request. Modifications only apply to grants that require a full application. If states have nothing to report, that should be specified. |

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**E. Best Practices, Promising New Strategies and Success Stories**

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*Please limit your response to 1000 characters or less.*

States must use this section to describe promising approaches, innovative processes, or grant success stories. States must also describe any lessons learned and how those lessons learned will be implemented. Throughout the implementation of the project, states may discover new strategies that emerge as a result of data-driven continuous improvement. As progress is made with a new and promising strategy, or as data is gathered to support it, states must document the progress and data each quarter. If states have nothing to report, that must be specified. |

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**F. Additional Outcome Information**

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*Please limit your response to 1000 characters or less.*

This section requires states to report grant-specific outcomes not captured in other sections of the quarterly narrative progress report, including, but not limited to, outcomes measuring equitable service delivery, outcomes measuring fraud detection and prevention, outcomes measuring backlog reduction, specific outcomes included in the grant application. |

Certification	
Name of Grantee Certifying Official:	<input type="checkbox"/>
Phone:	<input type="checkbox"/>
E-Mail Address:	<input type="checkbox"/>

## Instructions to Complete ETA 9178-ARPA

### **Contact Information:**

This section is to provide the contact information (*i.e.*, Name, Title, Address, etc.) for the state official who is responsible for the day-to-day operation and implementation of the project. This may be a different person than the certifying official.

### **Certification:**

- **Name of Certifying Official**  
Use this section to provide the name of the state official who is certifying submission of the report to the U.S. Department of Labor (Department).
- **Telephone Number**  
Provide the area code and telephone number ((###) ###-####) of the authorized state official.
- **Email Address**  
Provide the email address of the authorized state official.

### **General Instructions**

States receiving ARPA Grant Funds are required to submit quarterly progress reports to the Department's Employment and Training Administration (ETA) in order to comply with the reporting and record keeping requirements of these funds. Each state recipient of funds must submit a narrative Quarterly Progress Report (QPR) containing updates on the progress and implementation of the project(s) undertaken as a result of the funding.

### **Report Form and Instructions**

The QPR provides narrative updates on the implementation of project(s) undertaken as a result of the funding and the status of each project per quarter.

### **Due Dates**

All quarterly reports are due to ETA no later than 45 days after the end of each reporting quarter. The table below shows the expected due dates for each reporting quarter.

<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.

## **Submission Procedures**

Information contained in the quarterly report (ETA 9178-ARPA) must be submitted by email directly to the ETA regional office. An ETA Federal Project Officer will review and accept the report within 30 days of receipt.

OMB Approval. Section 2116(a) of the CARES Act, 5 U.S.C. 9032(a), states that “Chapter 35 of Title 44, United States Code, (commonly referred to as the ‘Paperwork Reduction Act of 1995’) shall not apply to the provisions of, and the amendments made by, this subtitle.” As the OMB approval process is waived for these reporting instructions, these instructions should be considered final.