

EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	CLASSIFICATION Unemployment Insurance
	CORRESPONDENCE SYMBOL OUI
	DATE December 19, 2018

ADVISORY: UNEMPLOYMENT INSURANCE PROGRAM LETTER NO. 05-19

TO: STATE WORKFORCE AGENCIES
APPLICABLE GRANT RECIPIENTS

FROM: MOLLY E. CONWAY /s/
Acting Assistant Secretary

SUBJECT: Form ETA 9178 for Employment and Training Supplemental Grant Reporting

1. **Purpose.** The Employment and Training Administration (ETA) is providing a renewed form ETA 9178 for State Workforce Agencies and other applicable grant recipients to document the quarterly progress toward completing their supplemental grant activities. This form is renewed for grantee quarterly reporting through August 31, 2021.
2. **Action Requested.** ETA requests that Administrators of State Workforce Agencies provide this guidance to appropriate staff to utilize for reporting on the activities funded by supplemental grants subject to this requirement starting with the quarter ending September 30, 2018.
3. **Summary and Background.**
 - a. Summary – The form ETA 9178 is a monitoring instrument for ETA to track a grantee's progress toward completing supplemental grant activities. As part of the monitoring process, grantees that receive supplemental grant awards must submit a Quarterly Progress Report (QPR) using the form ETA 9178. The form ETA 9178 provides for narrative updates on supplemental grant activities to ETA and helps ensure that the grantee achieves the goals described in the supplemental grant application.
 - b. Background – ETA is responsible for monitoring grantee activities and oversight of the supplemental funding awarded to its grantees. ETA provides supplemental grants for State Workforce Agencies to improve program integrity and performance; to support states' information technology (IT) system modernization efforts; and to enhance reemployment activities such as conducting reemployment and eligibility assessments. ETA supports these projects through Unemployment Insurance (UI) supplemental budget request (SBR) grants, Reemployment Services and Eligibility Assessments (RESEA) grants, and Dislocated Worker Grants (DWGs) to states for demonstration and special projects such as Reemployment and Systems Integration (RSI).

RESCISSIONS UIPL No. 19-15 and Change 1	EXPIRATION DATE August 31, 2021
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4. **ETA Quarterly Progress Report.** The form ETA 9178 is a monitoring instrument for ETA to track a grantee's progress toward completing supplemental grant activities. As part of the monitoring process, grantees that receive supplemental grant awards must submit a QPR using the form ETA 9178 to provide narrative updates on supplemental grant activities and to help ETA monitor the grant funded activities and utilization of grant funds and ensure that the grantee achieves the goals set forth in the supplemental grant application. Grantees will use the form ETA 9178 to document quarterly supplemental grant activities using the following format:

- a. Summary of Project;
- b. Timeline for Grant Activities and Milestones or Deliverables;
- c. Project Implementation and Funding Status;
- d. Project Challenges, Risk Mitigation Efforts/Modification Requests, and Technical Assistance Needs;
- e. Best Practices, Promising New Strategies, and Success Stories; and
- f. Additional Outcome Information.

ETA regional offices will monitor the grantee's quarterly progress using the supplemental grant quarterly reporting form ETA 9178 and compare the information provided in the report against the timeline and outcomes submitted in the approved supplemental grant application. Grantees must submit form ETA 9178 to their respective Federal Project Officer (FPO) within 45 days of each quarter's end. If the due date of the report falls on a Saturday, Sunday, or holiday, the report is due the previous business day. The table below provides the due dates for each reporting quarter:

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

If the due date of the report falls on a Saturday, Sunday, or holiday, the report is due the *previous* business day.

Extension with Revisions: The Information Collection Request (ICR) for the supplemental grant form ETA 9178 was initially approved by the Office of Management and Budget (OMB) pursuant to the Paperwork Reduction Act of 1995 under OMB Control No. 1205-0517, through May 31, 2018. Form ETA 9178 was originally announced by ETA in Unemployment Insurance Program Letter (UIPL) No. 19-15 (August 7, 2015) and published as an attachment to that UIPL, as well as to UIPL No. 19-15, Change 1 (April 21, 2017).

This guidance revises and extends the information collection under OMB Control No. 1205-0517 to include the collection of information for other ETA supplemental grants. In addition

to UI supplemental grants for State Workforce Agencies to improve program integrity and performance, ETA provides supplemental grants to support states' information technology (IT) system modernization efforts and enhance reemployment activities, such as conducting reemployment and eligibility assessments. The form ETA 9178 itself remains essentially the same, with the only changes being to the title and the collection of information.

OMB Approval: OMB approved the extension with revisions of form ETA 9178, pursuant to the Paperwork Reduction Act of 1995, under OMB Control No. 1205-0517 through August 31, 2021.

Paperwork Reduction Act: The Paperwork Reduction Act of 1995 (PRA), 44 U.S.C. 3501 et seq., provides that no person is required to respond to a collection of information unless such collection displays a valid OMB control number. The information collection mentioned in this UIPL is approved under OMB Control No. 1205-0517.

5. **Inquiries.** Please direct inquiries to the appropriate Regional Office.

6. **References.**

- Paperwork Reduction Act of 1995, Pub. L. 104-13, 44 U.S.C. 3501 et seq.;
- UIPL No. 19-15 and Change 1, *Unemployment Insurance (UI) Supplemental Budget Request (SBR) Activities: Quarterly Program Reporting Form & Instructions*; and
- UIPL No. 22-17, *Unemployment Insurance (UI) Supplemental Funding Opportunity for State Consortia to Modernize Tax and Benefit Systems*.

7. **Attachments.**

- Attachment I: Form ETA 9178
- Attachment II: Employment and Training Supplemental Budget Request Activities: Quarterly Program Reporting Form and Instructions

Form ETA 9178

U.S. Department of Labor
Employment and Training Administration
Form ETA-9178

OMB No. 1205-0517
Expiration Date: 08/31/2021

Quarterly Narrative Progress Report

Employment and Training Supplemental Budget Request Activities

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

A. Summary of Project

Please limit your response to 1000 characters or less.

This section is an executive summary of the project. Each funded project will have its own separate quarterly progress report (ETA 9178) through the quarter the project ends. 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 to the grant Statement of Work.

B. Timeline for Grant Activities and Milestones or Deliverables

Please limit your response to 1000 characters or less.

Use this section to provide the timelines for and the progress in completing grant activities, key milestones, and deliverables for this quarter. Use the timeline in the grant's statement of work to identify all major program activities for the entire life of the grant. The timeline will paint a picture of project flow that includes start and end dates, schedule of activities, and projected outcomes. In order to reap the most benefit from the timeline, it is important that it 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.

C. Project Implementation and Funding Status*Please limit your response to 1000 characters or less.*

Use this section to provide a description of the implementation of key activities in line with the grant's Statement of Work 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 should be supported by the status narrative noting if the project is on schedule, behind schedule, ahead of schedule, or complete this quarter. 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
Total Project Funding	Total Obligated	Funding Balance	Expenditure Target	

D. Project Challenges, Risk Mitigation Efforts/Modification Requests, and Technical Assistance Needs*Please limit your response to 1500 characters or less.*

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 shall 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 should 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 should also indicate the status of the modification request. If states have nothing to report, that should be specified.

E. Best Practices, Promising New Strategies and Success Stories*Please limit your response to 1000 characters or less.*

Use this section to describe promising approaches, innovative processes, or grant success stories. States may 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 should document the progress and data each quarter. If states have nothing to report, that should be specified.

F. Additional Outcome Information

Please limit your response to 1000 characters or less.

This section allows states to report any grant-specific outcomes not captured in other sections of the quarterly narrative progress report, including, but not limited to, any specific outcomes included in the statement of work.

Certification	
Name of Grantee Certifying Official:	
Phone:	
E-Mail Address:	

This reporting requirement is approved under the Paperwork Reduction Act of 1995, OMB Control No. 1205-0517, expiring 08/31/2021. Persons are not required to respond to this collection of information unless it displays a currently valid OMB number. Public reporting burden for this collection of information is estimated to average 5 hours, including time for reviewing instructions, searching existing data sources, gathering and reviewing the collection of information. The reason for the collection of information is general program oversight, evaluation and performance assessment. Send comments regarding this burden estimate or any other aspect of this collection, including suggestions for reducing this burden, to the U. S. Department of Labor, Employment and Training Administration, Office of Performance and Technology, 200 Constitution Avenue, NW, Room S-5206, Washington, D.C. 20210.

**Employment and Training Supplemental Budget Request Activities:
Quarterly Program Reporting Form and Instructions**

OMB Control Number 1205-0517

Expiration Date: 08/31/2021

**Employment and Training Supplemental Budget Request
Activities:**

Quarterly Program Reporting Form & Instructions

Prepared By

Employment and Training Administration

United States Department of Labor

Public Burden Statement

This reporting requirement is approved under the Paperwork Reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a currently valid OMB number. Public reporting burden for this collection of information is estimated to average 5 hours, including time for reviewing instructions, searching existing data sources, gathering and reviewing the collection of information. Responses will be used for general program oversight, evaluation, and performance assessment. Send comments regarding this burden estimate or any other aspect of this collection, including suggestions for reducing this burden, to the U. S. Department of Labor, Employment and Training Administration, Office of Performance and Technology, 200 Constitution Avenue, NW, Room S-5206, Washington, D.C. 20210.

I. GENERAL INSTRUCTIONS

Recipients of funding for Employment and Training Supplemental Budget Request (SBR) activities are required to submit quarterly progress reports to the United States Department of Labor's Employment and Training Administration (USDOL/ETA) in order to comply with the reporting and record keeping requirements of these grants. ETA implements these projects through Unemployment Insurance (UI) SBR grants, Reemployment Services and Eligibility Assessments (RESEA) grants, and Dislocated Worker Grants (DWGs) to states for demonstration and special projects such as Reemployment and Systems Integration (RSI). Each state recipient of supplemental funds must submit a narrative Quarterly Progress Report (QPR) containing updates on the progress and implementation of each grant project as listed in the award letter. The instructions and performance reporting form (ETA 9178) for completing this report can be found under Section II and Appendix A of these instructions. Should changes in definitions resulting from new legislation or related regulations occur, appropriate revisions will be issued to reflect these changes.

II. REPORT FORMS AND INSTRUCTIONS

The QPR provides narrative updates on the implementation of projects as described in each state's statements of work and a self-assessment of the status of each project per quarter. The instructions for states to complete the QPR can be found under Appendix A. The format for the QPR can be found in Attachment A.

III. DUE DATES

All quarterly reports under Section II 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.

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

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

IV. SUBMISSION PROCEDURES

Information contained in the UI SBR quarterly reports (ETA 9178) 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, saving the document in ETA's online grants management system as part of the official grant file. A grantee must specifically request approval through the Federal Project Officer prior to submitting any modifications to a submitted report. The modification will then be reviewed by the Federal Project officer and submitted to the ETA national office for comment and approval.

Appendix A

**Instructions for Completing the
Quarterly Narrative Progress Report (ETA 9178)**

Employment and Training Supplemental Budget Request Activities

General Information

State Name:

Grant Number:

Report Quarter Ending:

Date of Submission:

Project Name: This is the name of the funded project identified in the grant statement of work. States shall complete one full report (Parts A-I) per funded project.

UIPL/Solicitation Number: This is the number of the UI Program Letter from which the supplemental funding was obligated.

Project Contact Information

Contact Information:

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

Project Report

A. Summary of Project

This section is an executive summary of the project. Each funded project will have its own separate quarterly progress report (ETA 9178) through the quarter the project ends. 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 to the grant Statement of Work.

B. Timeline for Grant Activities, Milestones, and Deliverables

Use this section to provide the timelines for and the progress in completing grant activities, key milestones, and deliverables for this quarter. Use the timeline in the grant's statement of work to identify all major program activities for the entire life of the grant. The timeline will paint a picture of project flow that includes start and end dates, schedule of activities, and projected outcomes. In order to reap the most benefit from the timeline, it is important that it 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.

C. Project Implementation and Funding Status

Use this section to provide a description of the implementation of key activities in line with the grant's Statement of Work 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 should be supported by the status narrative noting if the project is on schedule, behind schedule, ahead of schedule, or complete this quarter. In addition, please provide the funding status for this project for the end of the quarter, including the total funding, total obligated, funding balance, and time remaining to expend funds. The funding totals should match the quarterly totals reported in the ETA 9130 form.

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

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 shall 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 should 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 should also indicate the status of the modification request. If states have nothing to report, that should be specified.

E. Best Practices, Promising New Strategies and Success Stories

Use this section to describe promising approaches, innovative processes, or grant success stories. States may 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 should document the progress and data each quarter. If states have nothing to report, that should be specified.

F. Additional Outcome Information

This section allows states to report any grant-specific outcomes not captured in other sections of the quarterly narrative progress report, including, but not limited to, any specific outcomes included in the statement of work.

Certification**G. Name of Grantee Certifying Official**

Use this section to provide the name of the state official who is certifying submission of the report to the Department.

H. Telephone Number

Provide the area code (###) and telephone number ((###) ###-####) of the authorized state official.

I. Email Address

Provide the email address of the authorized state official.