

ET HANDBOOK NO. 336

18th Edition

UNEMPLOYMENT INSURANCE
STATE QUALITY SERVICE PLAN
PLANNING AND REPORTING GUIDELINES

TABLE OF CONTENTS

INTRODUCTION

A. Background.....	i
B. Relationship/Coordination with Other Plans.....	iii
C. Partnership Principles.....	iv
D. Planning Considerations.....	v
E. OMB Approval.....	v

CHAPTER I - PLANNING

I. INTRODUCTION

II. OVERVIEW OF PROCESS

A. Schedule.....	I-1
B. Annual Call Memorandum.....	I-1
C. Financial Guidelines and Planning Targets.....	I-2
D. Performance Measures.....	I-2
E. Performance Assessment.....	I-3
F. State Plan Preparation.....	I-3
G. SQSP Review and Approval.....	I-3

III. CONTENT AND SUBMITTAL OF SQSP

A. Content of the SQSP.....	I-4
B. Submittal of the SQSP	I-5

IV. STATE PLAN NARRATIVE

A. Description	I-5
B. Format and Instructions.....	I-7

V. CORRECTIVE ACTIONS PLANS

A. Description	I-7
B. CAP Format Completion.....	I-8

VI. BUDGET WORKSHEETS AND INSTRUCTIONS

A. Worksheet UI-1, UI Staff	I-9
B. SF 424, Application for Federal Assistance.....	I-9
C. Supplemental Budget Requests (SBRs).....	I-9

VII. ASSURANCES

A. Assurance of Equal Opportunity (EO).....I-13
B. Assurance of Administrative Requirements and Allowable Cost Standards.....I-14
C. Assurance of Management Systems, Reporting, and Record Keeping.....I-17
D. Assurance of Program Quality.....I-18
E. Assurance on Use of Unobligated Funds.....I-18
F. Assurance of Prohibition of Lobbying Costs.....I-18
G. Drug-Free Workplace.....I-19
H. Assurance of Disaster Recovery Capability.....I-19
I. Assurance of Conformity and Compliance.....I-19
J. Assurance of Automated Information Systems Security.....I-19
K. Assurance of Confidentiality.....I-20

VIII. SQSP CONTENT CHECKLIST

A. SQSP SubmittalI-21
B. SBR SubmittalI-22

CHAPTER II - REPORTING

I. INTRODUCTION

II. SUBMITTAL INSTRUCTIONS

A. Use of Computer Printouts in Lieu of Prescribed Forms.....II-1
B. Electronic Submittal.....II-1
C. Number of Copies and Recipient.....II-1
D. Frequency and Due Dates.....II-1
E. Program Management Systems Document NumbersII-1

III. REPORTS

A. UI-3, Quarterly UI Above-base Report.....II-2
B. SF 9130, Financial Status Report.....II-2
C. SF 270, Request for Advance or Reimbursement.....II-3

IV. DEFINITIONS

A. Accrued Expenditures.....II-3
B. Funding Period.....II-4
C. Obligations.....II-4
D. Unliquidated Obligations.....II-5
E. Automation Acquisition.....II-5

F. PMS Document Numbers.....	II-6
G. Time Distribution Definitions.....	II-6

APPENDIX I -- Planning Forms and Formats

A. Sample CAP Format.....	1
B. State Plan Narrative Outline.....	2
C. SQSP Signature Page.....	4
D. Worksheet UI-1 (ETA 8623A).....	5
E. Instructions for the UI-1.....	6
F. SF-424, Application for Federal Assistance.....	7
G. Instructions for the SF-424.....	11
H. SF-424A, Budget Information – Non-Construction Programs.....	13
I. Instructions for the SF 424A.....	15
J. SF-424B, Assurances – Non-Construction Programs.....	17

APPENDIX II -- Reporting Forms and Formats

A. Worksheet UI-3.....	1
B. Instructions for the UI-3.....	3
C. Financial Status Report, ETA 9130.....	7
D. Instructions for the ETA 9130.....	8
E. Request for Advance or Reimbursement, SF-270.....	16
F. Instructions for the SF-270.....	17

APPENDIX III -- Performance Measures and UI Programs

A. UI Performs Core Measures.....	1
B. UI Performs Management Information Measures.....	2
C. Unemployment Insurance Programs.....	5

APPENDIX IV – Information Technology Security Guidelines

A. Contingency Planning.....	1
B. Risk Management.....	5
C. System Security Planning.....	11
D. Sample Plan Formats	18