ADVISORY: UNEMPLOYMENT INSURANCE PROGRAM LETTER NO. 28-20, Change 2

TO: STATE WORKFORCE AGENCIES

FROM: SUZAN G. LEVINE Acting Assistant Secretary

SUBJECT: 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

1. **Purpose.** To inform states regarding the availability of a third round of fraud prevention and recovery funding and to provide application instructions. The funding may be used to combat fraud in the PUA and PEUC programs, including to support innovative strategies and solutions to assist with identity verification and combatting identity fraud; strengthen fraud detection and prevention efforts; recover overpayments; and cover administrative expenses related to integrity efforts. Additionally, this Unemployment Insurance Program Letter (UIPL) provides definitions for different types of fraud and guidance on processes for combatting identity fraud.

2. **Action Requested.** The U.S. Department of Labor’s (Department) Employment and Training Administration (ETA) requests that State Workforce Agency Administrators provide information contained in this UIPL to appropriate staff.

3. **Summary and Background.**
   
a. **Summary** – On May 11, 2020, ETA issued UIPL No. 23-20 to remind states of their roles and responsibilities in addressing fraud in the Unemployment Insurance (UI) system and the techniques and strategies available to assist states with their fraud management operations. These activities must also be applied to unemployment programs authorized by the Coronavirus Aid, Relief, and Economic Security (CARES) Act, as amended, including the PUA and PEUC programs. On August 31, 2020, ETA issued UIPL No. 28-20, which provided states with $100 million in funding to assist with efforts to prevent and detect fraud and identity theft and recover fraud overpayments in the PUA and PEUC programs.
programs. On January 15, 2021, ETA issued UIPL No. 28-20, Change 1, to provide states with an additional $100 million in funding to support identity verification or validation of PUA claimants and to assist with efforts to prevent and detect fraud and recover overpayments in the PUA and PEUC programs.

This Change 2 to UIPL No. 28-20 informs states of the availability of a third round of fraud prevention and recovery funding to combat fraud in the PUA and PEUC programs, how to apply for the funding, and how the funding may be used. States are strongly encouraged to combat identity fraud (including account takeovers when a fraudster hijacks an existing claim) by implementing National Institute of Standards and Technology (NIST)-compliant Identity Assurance Level 2 (IAL2) and Authenticator Assurance Level 2 (AAL2) identity proofing at the time of filing an initial application for benefits, in addition to other points during the claim. NIST-compliant identity proofing is discussed in greater detail in Section 4.b. of this UIPL.

To obtain this funding, states are required to submit an SF-424 for each funding allotment (i.e., one SF-424 for the PUA funding and a second SF-424 for the PEUC funding). ETA encourages states to submit these forms as soon as possible, but no later than September 13, 2021, by electronic submission to the ETA National Office at covid-19@dol.gov, with a copy to the appropriate ETA Regional Office. Attachment I lists the amounts of PUA and PEUC funding available for each state. Attachment II provides additional information on completing the SF-424.

b. Background – Since the onset of the Coronavirus Disease 2019 (COVID-19) pandemic, the UI program has been an attractive target for international and domestic criminal organizations perpetrating identity fraud. States have worked tirelessly to combat relentless and sophisticated fraud attacks, while simultaneously responding to the highest claims workload in the history of the UI program.

The CARES Act was enacted on March 27, 2020, (Public Law (Pub. L.) 116-136) and created new temporary unemployment benefit programs (including PUA and PEUC). These programs provided unemployment benefits to individuals who were not typically eligible to obtain benefits (e.g., individuals who were self-employed). See UIPL No. 14-20. The Continued Assistance for Unemployed Workers Act of 2020 (Continued Assistance Act) was enacted on December 27, 2020, (Pub. L. 116-260), and the American Rescue Plan Act of 2021 (ARPA) was enacted on March 11, 2021, (Pub. L. 117-2), both of which further amended and extended the CARES Act programs. See UIPL Nos. 09-21 and 14-21, respectively. With each new enactment, states were required to modify their computer systems and service delivery processes, as well as to notify individuals of changes to eligibility requirements for the PUA and PEUC programs.

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1 NIST Special Publication (SP) 800-63 provides technical requirements for implementing digital identity services. The publication includes: an overview of identity frameworks; using authenticators, credentials, and assertions in a digital system; and a risk-based process to select assurance levels at https://pages.nist.gov/800-63-3/sp800-63-3.html.
All states signed an “Agreement Implementing the Relief for Workers Affected by Coronavirus Act” (Agreement) with the Secretary in March 2020 to administer the PUA and PEUC programs. The Agreement incorporates amendments to the CARES Act made by the Continued Assistance Act and ARPA. Under the Agreement, each state is required to operate the programs as required by any statutory amendments and the Department’s guidance. This is discussed further in Section 4.c. of this UIPL.

Addressing both eligibility fraud and identity fraud remain a top priority for the Department and the entire unemployment compensation (UC) system. As discussed in UIPL Nos. 23-20; 28-20; and 28-20, Change 1, ETA strongly encourages states to adopt an array of solutions and techniques to detect and fight fraud, have robust strategies in place to verify the identity of individuals applying for unemployment benefits, and strengthen efforts to recover overpayments, including fraudulently paid UC benefits. This includes implementing NIST-compliant IAL2 and AAL2 identity proofing (see Section 4.b. of this UIPL for more information). States are also encouraged to make use of the tools, resources, and services of the UI Integrity Center, funded by the Department and operated in partnership with the National Association of State Workforce Agencies (NASWA). See Training and Employment Notice (TEN) No. 04-20 for further information on the Integrity Data Hub (IDH).

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 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.

ETA is committed to supporting states by providing funding and investing in the most innovative and successful tools and resources to stay ahead of fraud schemes, which includes providing states with options to access NIST-compliant identity proofing and authentication solutions. This includes Blanket Purchase Agreements (BPAs) awarded by the Department that provide the Department with a procurement vehicle to enhance identity proofing in the state’s UI programs. In the near future, the Department plans to issue guidance to states on the BPAs and the procedures for the Department to issue orders under those BPAs, in accordance with federal procurement regulations. As part of that ordering process, the Department anticipates working with states to identify particular requirements applicable to a state UI program and to provide for the payment for services ordered using grants made available under this UIPL or another funding source identified by the state subject to the requirements of federal appropriations law.

**Promoting Program Equity.** As states consider additional tools to incorporate into their fraud management 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 is available to understand the impact of fraud mitigation on eliminating barriers that prevent full and equal access to benefits for all eligible individuals.

The Department expects to issue additional funding opportunities for detecting and preventing fraud for the regular UC program in the near future. The Department expects to also offer states additional funding opportunities to increase equity in the regular UC program. States may want to consider these additional funds when putting together their fraud strategies to incorporate equitable access into their strategies to combat fraud.

4. **Guidance.** This section provides definitions for different types of fraud, namely eligibility fraud and identity fraud. States are encouraged to implement NIST-compliant processes for identity proofing and authentication to combat identity fraud. States are also reminded of the required program activities after termination or expiration of the PUA and PEUC programs, as well as the requirement to share information with the DOL-OIG.

a. **Types of Fraud.** There are primarily two different types of fraud occurring within the UC program.

   - **Eligibility fraud** generally occurs when benefits or services are acquired as a result of false information with the intent to receive benefits for which an individual or individuals would not otherwise be qualified. State law determines how this is evaluated within the UC program. Not all improper payments are considered fraudulent.

   - **Identity fraud** is when one person acquires and uses the identifying information of another person in order to illegally receive benefits. The fraud can happen either at the time of UI application submission, or by changing key user data like bank account information after a claim has been established. As discussed in UIPL No. 16-21, synthetic identity fraud occurs when real and fake information are combined to create false identities.

b. **National Institute of Standards and Technology (NIST)-compliant IAL2/AAL2 Identity Proofing and Authentication.** The Department strongly encourages all states to implement NIST-compliant identity proofing, specifically IAL2 and AAL2, before claimants start filling out the UI claims application and for re-accessing their account. IAL2 and AAL2 are recommended for UC programs due to the personally identifiable information (PII) collected from individuals and employers. NIST Standard Publication (SP) 800-63 outlines components of identity assurance that states should take into consideration when reviewing available tools/solutions:
i. **Identity Assurance Level (IAL)** indicates how robust the identity proofing process is and how the identity in question is bound between an authenticator and a specific person. IAL2 requires evidence that supports the real-world existence of the claimed identity and verifies that the applicant is appropriately associated with this real-world identity. IAL2 introduces the need for either remote or physically-present identity proofing and includes filling out personal information (name, address, DOB, etc.) and submitting photos of approved government-issued identification or supporting documents for remote identity proofing.

ii. **Authenticator Assurance Level (AAL)** refers to the authentication process and indicates the confidence that the person trying to log in is the same person as the person attached to the account. AAL2 indicates the level of security behind the point of access, which requires the proof of possession and control of two distinct authentication methods.

As states are implementing NIST-compliant IAL2/AAL2 identity proofing and authentication services or other identity verification methods, the Department strongly encourages states to include service delivery expectations that mitigate access barriers to individuals. The state must provide at least two options to individuals upfront to verify their identity (i.e., online, by phone, and/or in-person). An example of service delivery expectations that further mitigate access barriers include that incorrect identity proofing by denying the validation of an individual’s identity who has accurately represented themselves and submitted to identity proofing requirements (which is an example of a “false positive”) shall not exceed 0.5 percent of the total IAL2 identities processed. Timely determinations prevent fraudulent benefit payments while ensuring that qualified and eligible claimants receive benefits as soon as administratively feasible. See UIPL Nos. 04-01, 01-16, and 16-21.

c. **Reminders to States.**

i. **Applicability of program requirements after termination or expiration of PUA and PEUC.** Under current federal law, the PUA and PEUC programs will expire on September 6, 2021, and some states have elected to terminate participation before September 6, 2021. As described in Section 4.a. of UIPL No. 14-21, Change 1, the state must process and pay benefits to eligible individuals under the PUA and PEUC programs for all weeks of unemployment ending on or before the date of termination or expiration (whichever comes first). The state must also comply with all responsibilities with respect to claims filed under these programs for those weeks, including, without limitation, the requirements under the Agreement and in guidance. Accordingly, the Agreement remains in effect with respect to the PUA and PEUC programs for weeks of unemployment ending on or before the date of termination or expiration (whichever comes first) until all issues relating to those weeks are resolved. The Department expects that states will continue to detect and recover fraudulent overpayments with respect to these covered weeks after the date of termination or expiration.
ii. **Required Information Disclosure to DOL-OIG.** As discussed in UIPL No. 04-17, Change 1, states must refer allegations which they reasonably believe constitute UC fraud, waste, abuse, mismanagement, or misconduct to the DOL-OIG. Additionally, states are required to disclose confidential UC information related to the CARES Act, as amended, to the DOL-OIG for the purpose of UC fraud investigations and audits for the entire pandemic relief period, which for most states will be weeks of unemployment beginning after January 27, 2020, through weeks of unemployment ending before September 6, 2021.

5. **Funding for States to Combat Fraud in the PUA and PEUC Programs.** This section discusses the amount available to states, allowable uses of funds, application instructions, and reporting requirements.

a. **Amount Available to States.** The Department is providing an additional $100 million to states to combat fraud in the PUA and PEUC programs. The methodology for state funding levels is based on size of UI covered employment in the state. For purposes of this methodology, states are assigned to three groups (Small, Medium, and Large) based on the 12-month average of UI covered employment for the four quarters in calendar year 2020 reported on the ES 202 (Employment, Wages and Contributions). States are assigned to the size groups as follows:

- **Small:** covered employment under 1 million employees
- **Medium:** covered employment between 1 million and 2 million employees
- **Large:** covered employment greater than 2 million employees

Attachment I lists the amounts of PUA and PEUC funding available for each state.

b. **Allowable Uses of Funds.** States may use the funds made available under this UIPL to support innovative strategies and solutions to assist with identity verification and combatting identity fraud; strengthen fraud detection and prevention efforts; recover overpayments; and cover administrative expenses related to integrity efforts. Examples of permissible uses of these funds include but are not limited to the following activities.

i. Procuring, implementing, and paying reoccurring subscription costs and/or ongoing maintenance costs of identity verification and fraud detection solutions, such as NIST-compliant IAL2 and AAL2 tool(s)/strategy(ies) that provide identity verification and user authorization of all individuals applying for PUA and PEUC. This includes using such funds to pay for services provided under an order issued by the Department against one of the Department’s identity proofing BPAs;

ii. Implementing or enhancing data analytics capabilities to understand the nature and prevalence of fraud and the impact of fraud mitigation efforts, such as tracking:

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2 The Pacific territories are included in PUA pursuant to CARES Act Section 2101(a)(5), but not in PEUC. Since the Pacific territories have relatively small populations and do not operate regular UI programs (and therefore lack data on employment), their PUA funding is based on estimated claims workloads.
o Current and historical numbers of cases flagged as potential or resolved fraud;
o Type of fraud (eligibility fraud vs. identity fraud);
o Type of perpetrators; and
o Investigation outcomes.

iii. Implementing cross-matching to detect suspicious activity, including synthetic or false identities, and identification of other patterns of fraudulent behavior (e.g., with a state’s own internal data or the IDH\textsuperscript{3} Identity Verification (IDV) solution;

iv. Implementing or enhancing cybersecurity perimeter defense for the websites and web applications responsible for initial application steps and regular certification (e.g., to protect against online bot attacks);

v. Costs incurred from working with banks and financial institutions to detect suspicious activity, ensure that accounts are not unduly suspended and eligible claimants with suspended claims are paid benefits, and facilitate the expeditious return of improperly paid UC funds;

vi. Costs incurred to capture and analyze additional data elements to measure the service delivery expectations. This includes capturing any data elements to measure effectiveness and equity outcomes of identity verification and fraud detection and prevention solutions, tools, and actions associated with the use of these funds to ensure that service delivery does not adversely affect people of color, individuals in poverty, and others who may have been historically underserved or marginalized.

Examples include tracking which claims were flagged as potential fraud at any time, the length of time to resolve these investigations, and the outcome of these investigations (e.g., fraud, overpayment but not fraudulent, non-issue (i.e., “false positive”)) by demographic group.

Other examples include reporting data on claimant experience with fraud fighting technology (e.g., speed of identity proofing broken out by subgroups such as race, ethnicity, gender, disability status, geographic location, age).

vii. Assessing and mitigating disproportionate impact of fraud measures on vulnerable communities such as communities of color, communities with disabilities, limited English proficient and immigrant communities, and certain geographic communities (e.g., rural versus urban).

\textsuperscript{3} The Pacific territories (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 have access to the IDH. ETA will provide targeted technical assistance to the Pacific territories to explore options to assist with identity verification and support enhanced fraud detection and prevention.
viii. Assessing and mitigating security vulnerabilities (e.g., migrating from using PINs to strong passwords, locking accounts after multiple failed login attempts, immediately notifying users when key account information like when a mailing address or bank account is modified);

ix. Hiring staff or obtaining contract services to conduct fraud investigations, other eligibility fraud and identity fraud detection-related activities, and support overpayment recovery efforts;

x. Costs incurred as a result of a state’s participation in forfeiture and seizure efforts of law enforcement agencies (e.g., Department of Justice, United States Secret Service); and

xi. Administrative expenses incurred by the state to gather business requirements, program computer systems, or otherwise implement tools, strategies, or solutions to strengthen fraud detection, prevention, and recovery efforts.

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 for each funding allotment (i.e., one SF-424 for the PUA funding and a second SF-424 for the PEUC funding). Attachment II provides additional information on completing the SF-424.

ETA encourages states to submit this form as soon as possible, but no later than September 13, 2021, by electronic submission to the ETA National Office at covid-19@dol.gov, with a copy to the appropriate ETA Regional Office.

d. Reporting Requirements.

States must provide a narrative Quarterly Progress Report (ETA 9178-F) and Quarterly Financial Report (ETA 9130) containing updates on the progress and implementation of each project. ETA will use the ETA 9178-F to track each state’s progress on activities/solutions and ensure that a state’s use of funds is consistent with the permissible activities outlined in section 5.b. of this UIPL, and ensuring fraud prevention solutions/activities do not have a negative impact on access to benefits.

Refer to Attachment III in UIPL No. 28-20 for instructions for completion and the timeline of submission for the ETA 9178-F. In the Summary under Section A, states must provide, to the extent available, an assessment of the issue they are addressing, an explanation of how the proposed use of funds would address the issue, and a plan to measure the outcomes and effectiveness of the strategies, tools, and/or actions associated with the use of these funds. States may need to consider updates and changes to their

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4 Refer to UIPL No. 12-01, Change 2, for states’ ability to exercise flexibility in staffing models after the emergency flexibilities under Section 9015, ARPA, expire on September 6, 2021.
existing computer systems to capture new data elements needed to demonstrate the
effectiveness of these action(s). The Department expects to award these funds prior to
September 6, 2021, and so the first ETA 9178-F report under this UIPL will be due
November 14, 2021.

A note for states participating in the Department’s identity proofing BPAs. States that
participate in the Department’s identity proofing BPAs may be subject to additional terms
and conditions. The terms and conditions of any grant issued in accordance with this
UIPL shall be read in harmony with, and as complementary to, the terms and conditions
set forth in the identity proofing order and corresponding BPA.

6. Inquiries. States should direct inquiries to covid-19@dol.gov and 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;
- Section 303 of the Social Security Act (42 U.S.C. 503);
- 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. 19-21, Benefits Held by Banks and Financial Institutions as a Result of
  Suspicious and/or Potentially Fraudulent Activity and the Proportional Distribution
  Methodology Required for Recovering/Returning Federally Funded Unemployment
  Compensation (UC) Program Funds, issued May 04, 2021,
- UIPL No. 16-21, Identity Verification for Unemployment Insurance (UI) Claims,
- 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,
- UIPL No. 14-21, American Rescue Plan Act of 2021(ARPA) - Key Unemployment
  Insurance (UI) Provisions, issued March 15, 2021,
- 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,
• 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;

• 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;


• UIPL No. 04-17, Change 1, Requirement for States to Refer Allegations of Unemployment Compensation (UC) Fraud, Waste, Abuse, Mismanagement, or Misconduct to the Department of Labor's (Department) Office of Inspector General's (DOL-OIG) and to Disclose Information Related to the Coronavirus Aid, Relief, and Economic Security (CARES) Act to DOL-OIG for Purposes of UC Fraud Investigation and Audits, issued August 3, 2021, https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5817;


• TEN No. 4-20, Encouragement for States to Use the Integrity Data Hub (IDH) available through the Unemployment Insurance (UI) Integrity Center, issued August 31, 2020, https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3588;

• TEN No. 03-20, Unemployment Insurance (UI) Integrity Center’s Integrity Data Hub (IDH) Fraud Alert System, issued August 31, 2020, https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=5585; and

8. Attachment(s).

- Attachment I: State Size Classifications and Funding Allocation to Strengthen Fraud Detection and Prevention Efforts and Recover Overpayments in the Pandemic Unemployment Assistance (PUA) and Pandemic Emergency Unemployment Compensation (PEUC) Programs; and
- Attachment II: Instructions for Completing the SF-424.
State Size Classifications and Funding Allocation to Strengthen Fraud Detection and Prevention Efforts and Recover Overpayments in the Pandemic Unemployment Assistance (PUA) and Pandemic Emergency Unemployment Compensation (PEUC) Programs

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<tr>
<th>State</th>
<th>Size Classification</th>
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<th>Pandemic Emergency Unemployment Compensation (PEUC) Funding Allotment</th>
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<td>Pandemic Emergency Unemployment Compensation (PEUC) Funding Allotment</td>
</tr>
<tr>
<td>---------------------</td>
<td>---------------------</td>
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</tr>
<tr>
<td>Ohio</td>
<td>Large</td>
<td>$2,133,900</td>
<td>$405,900</td>
</tr>
<tr>
<td>Oklahoma</td>
<td>Medium</td>
<td>$1,384,200</td>
<td>$264,600</td>
</tr>
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<td>$264,600</td>
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<td>$405,900</td>
</tr>
<tr>
<td>Puerto Rico</td>
<td>Small</td>
<td>$1,020,600</td>
<td>$194,400</td>
</tr>
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<td>Rhode Island</td>
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<td>$194,400</td>
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<tr>
<td>South Carolina</td>
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<td>South Dakota</td>
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<td>$194,400</td>
</tr>
<tr>
<td>Tennessee</td>
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<td>$405,900</td>
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<tr>
<td>Texas</td>
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<tr>
<td>Utah</td>
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</tr>
<tr>
<td>Vermont</td>
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</tr>
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<td>Virgin Islands</td>
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<tr>
<td>Virginia</td>
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<td>$405,900</td>
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<tr>
<td>Washington</td>
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<td>$405,900</td>
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<tr>
<td>West Virginia</td>
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<tr>
<td>Wisconsin</td>
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<td>$405,900</td>
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<tr>
<td>Wyoming</td>
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<td><strong>TOTAL</strong></td>
<td></td>
<td><strong>$83,311,200</strong></td>
<td><strong>$15,868,800</strong></td>
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<table>
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<tr>
<th>Pacific Territories</th>
<th>Pandemic Unemployment Assistance (PUA) Funding Allotment</th>
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</thead>
<tbody>
<tr>
<td>American Samoa</td>
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<tr>
<td>Commonwealth of the Northern Mariana Islands</td>
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<tr>
<td>Federated States of Micronesia</td>
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<tr>
<td>Guam</td>
<td>$210,000</td>
</tr>
<tr>
<td>Palau</td>
<td>$100,000</td>
</tr>
<tr>
<td>Republic of Marshall Islands</td>
<td>$100,000</td>
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<tr>
<td><strong>TOTAL</strong></td>
<td><strong>$820,000</strong></td>
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</tbody>
</table>
Instructions for Completing the SF-424

Please note that States are required to submit an SF-424 for each funding allotment (i.e., one SF-424 for the Pandemic Unemployment Assistance funding; and a second SF-424 for the Pandemic Emergency Unemployment Compensation funding).

I. Application for Federal Assistance (SF-424)

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).

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://www.sam.gov/SAM/.
- **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://www.sam.gov/SAM/. 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.
- **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**:
- For Pandemic Unemployment Assistance Funding Allotment: Input “UIPL No. 28-20, Change 2, Pandemic Unemployment Assistance – Identity Verification, Fraud Prevention, and Overpayment Recovery Grants”.
- For Pandemic Emergency Unemployment Compensation Funding Allotment: Input “UIPL No. 28-20, Change 2, Pandemic Emergency Unemployment Compensation – Identity Verification, Fraud Prevention, and Overpayment Recovery Grants”.

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**:
- For Pandemic Unemployment Assistance Funding Allotment: Input “UIPL No. 28-20, Change 2, Pandemic Unemployment Assistance – Identity Verification, Fraud Prevention, and Overpayment Recovery Grants”.
- For Pandemic Emergency Unemployment Compensation Funding Allotment: Input “UIPL No. 28-20, Change 2, Pandemic Emergency Unemployment Compensation - Identity Verification, Fraud Prevention, and Overpayment Recovery Grants”.

Section # 16, **Congressional Districts of**:
  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 [www.house.gov](http://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 January 1, 2021).
  b. **End Date**: Input a valid end date for the project (June 30, 2022).
Section # 18, Estimated Funding ($):
Input the applicable funding allotment for each of the programs 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.