

U.S. DEPARTMENT OF LABOR  
Employment and Training Administration

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**NOTICE OF AVAILABILITY OF FUNDS AND FUNDING OPPORTUNITY  
ANNOUNCEMENT FOR:  
REENTRY PROJECTS (RP)**

**ANNOUNCEMENT TYPE:** *Initial*

**FUNDING OPPORTUNITY NUMBER:** *FOA-ETA-18-02*

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER:** *17.270*

**KEY DATES:** *We must receive applications no later than **May 4, 2018 at 4:00:00 p.m. Eastern Time.***

*A Prospective Applicant Webinar will be held on April 10, 2018 at 2 p.m. (Eastern Time) at <https://www.workforcegps.org/events/2018/03/15/16/46/Reentry-Employment-Opportunities-REO-Reentry-Projects-2018-Potential-Applicant>, and available for viewing after that date. While a review of this Webinar is strongly encouraged to support successful grant applications, it is not mandatory.*

**ADDRESSES:** *Address mailed applications to:*

***The U.S. Department of Labor  
Employment and Training Administration, Office of Grants Management  
Attention: Melissa Abdullah, Grant Officer  
Reference FOA-ETA-18-02  
200 Constitution Avenue, NW, Room N4716  
Washington, DC 20210***

*For complete application and submission information, including online application instructions, please refer to Section IV.*

**EXECUTIVE SUMMARY:**

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The Employment and Training Administration (ETA), U.S. Department of Labor (DOL, the Department, or we), announces the availability of approximately \$82.5 million in grant funds authorized by Section 169 of the Workforce Innovation and Opportunity Act (WIOA), which authorizes research and evaluations to improve the management and effectiveness of workforce programs and activities. Projects funded under this FOA are also authorized under Section 212 of the Second Chance Act of 2007. The Department intends to award these grants to a combination of rural- and urban-serving areas. Eligible applicants include community- or faith-based organizations with IRS 501(c)(3) non-profit status, state or local

governments or any Indian and Native American entity eligible for grants under section 166 of the Workforce Innovation and Opportunity Act (WIOA).

WIOA, which was passed in 2014, promotes a job-driven integrated system of workforce solutions that connect every type of job-seeker with the employers in need of skilled workers. Through this Funding Opportunity Announcement (FOA), ETA seeks to enhance both adult and young adult reentry strategies through collaboration with the field to identify and respond to emerging or chronic reentry challenges. This FOA provides the opportunity for organizations to build customized projects. Applicants must propose evidence-based and evidence-informed interventions, new interventions that theory or research suggests are promising, or a combination of both that lead to increased employment outcomes for their target populations. Further, the Department supports the testing of promising practices and services, as well as established services in new combinations. More information about promising practices can be found in Section VIII.E. of this FOA.

The Department is especially interested in program models that offer apprenticeship opportunities, including in registered apprenticeship programs, industry-recognized apprenticeship programs, as well as pre-apprenticeship opportunities. Under the June 15, 2017 Presidential Executive Order on Expanding Apprenticeships in America, it is the policy of the Federal Government to provide more affordable pathways to secure high-paying jobs by promoting apprenticeships and effective workforce development programs.

These projects will serve either young adults between the ages of 18 to 24 who have been involved in the juvenile or adult justice system, including high school dropouts, or adults ages 25 or older who were formerly incarcerated in the adult criminal justice system and released from prison or jail within 180 days of enrollment. Applicants may submit up to two (2) applications in response to this FOA, a maximum of one (1) to serve adults and a maximum of one (1) to serve young adults. Each application may only propose to serve one target population, and applicants may not serve young adults and adults in the same program. Applicants may be selected to receive up to two (2) grant awards. In addition, eligible applicants must choose to apply as either an intermediary organization (IO)(for the purpose of this Announcement, intermediary organizations are defined as organizations that have an affiliate network or offices in at least three communities and across at least two states) or as a non-intermediary organization (NIO) (for the purpose of the Announcement, non-intermediary organizations are those with single sites or multiple sites within one state).

Another focus of this initiative is to assist communities in planning and implementing comprehensive "reentry" programs to address the full range of challenges involved in helping formerly incarcerated adults and young adults who have been involved in the juvenile or adult justice system make successful transitions back to the community. The intent of this initiative is to protect community safety by ensuring that these individuals:

- Become productive, responsible, and law-abiding members of society;

- Are provided with positive opportunities to engage in pro-social activities, such as employment and/or education;
- Maintain long-term employment;
- Sustain a stable residence; and
- Successfully address their substance abuse issues and mental health needs, as applicable, through partnerships with local programs.

Finally, all projects must serve high-crime, high-poverty communities. Applicants that do not provide verification of their target area being located in high-crime, high-poverty, communities will be disqualified and not move forward through the merit review process. For the purpose of this FOA, high-crime and high-poverty communities are defined as:

- High-poverty: communities with poverty rates of at least 25 percent as exhibited through the use of American Community Survey (ACS) data. Instructions on using ACS data are outlined in Section VIII.F.
- High-crime: communities with crime rates within the targeted area that are higher than the rate for the overall city (for urban areas) or of non-metropolitan counties in the state (for rural areas), as outlined below. (For more information on metropolitan and non-metropolitan counties, see: <http://www.ers.usda.gov/topics/rural-economy-population/rural-classifications.aspx>.)

## **I. FUNDING OPPORTUNITY DESCRIPTION**

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The Department will competitively select applicants that have proposed service delivery approaches that are comprised of evidence-based and evidence-informed interventions previously shown to achieve successful employment outcomes for justice-involved individuals, new interventions that theory or research suggests are promising, or a combination of both. Models must provide solutions to improving workforce outcomes for justice-involved individuals located in high-crime, high-poverty communities. Applicants must have a clear framework for delivering services and accomplishing performance goals and measures identified by DOL.

Applicants must provide a detailed description of the need for services in their target communities; how they plan to accomplish outcomes; their project design; their organizational, administrative, and fiscal capacity; and their past performance and programmatic capability. The Department is particularly interested in organizations that have demonstrated programmatic capability serving justice-involved individuals. Applicants identified as intermediary organizations must show that their proposed sub-grantees' target areas are in areas of high-crime, high-poverty and describe how the sub-grantees will implement the applicant's program design.

### **A. PROGRAM PURPOSE**

This Announcement solicits applications for Reentry Projects. The purpose of this program is to use evidence-based and evidence-informed interventions, new interventions that theory or research suggests are promising, or a combination of both to improve employment outcomes of adults ages 25 and older who were formerly incarcerated in the adult criminal justice system and released within 180 days of enrollment (the date of enrollment is when the individual has gone through the application process, been accepted, and confirmed the individual will participate in the program, but must be within 180 days of release from incarceration), or young adults between the ages of 18 to 24 who have been involved in the juvenile or adult justice system, including high school dropouts. Grants for adults and young adults must provide services in high-crime, high-poverty communities.

**B. PROGRAM AUTHORITY**

The Workforce Innovation and Opportunity Act (WIOA), Section 169, Public Law 113-128, codified at 29 U.S.C. 3224, and Section 212 of the Second Chance Act (SCA), Public Law 110-199, codified at 42 U.S.C. 17532, authorize this program.

**II. AWARD INFORMATION**

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**A. AWARD TYPE AND AMOUNT**

Funding will be provided in the form of a grant.

We expect availability of approximately \$82.5 million to fund approximately thirty-five (35) organizations. ETA will award approximately ten (10) grants of up to \$4,500,000 each to intermediary organizations; of these, approximately three (3) will serve adults and approximately seven (7) will serve young adults. ETA will award at least \$25 million to intermediaries serving young adults, including high school dropouts. In addition, we will award approximately twenty-five (25) grants of up to \$1,500,000 each to non-intermediary organizations; of these, approximately twelve (12) will serve adults and approximately thirteen (13) will serve young adults.

Applicants applying as intermediary organizations may apply for a ceiling amount of up to \$4,500,000; applicants applying as non-intermediary organizations may apply for a ceiling amount of up to \$1,500,000. Intermediary applicants proposing a ceiling amount of over \$4,500,000 or non-intermediary applicants proposing a ceiling amount of over \$1,500,000 will be disqualified and not reviewed or move forward in the merit review process.

Applicants may submit up to two (2) applications in response to this FOA. A maximum of one (1) to serve adults and a maximum of one (1) to serve young adults. Each application may only propose to serve one target population, and applicants may not serve young adults and adults in the same program. Applications that propose serving both young

adults and adults in the same program will be disqualified and not move forward in the merit review process. Applicants may be selected to receive up to two (2) grant awards. Awards made under this Announcement are subject to the availability of Federal funds. In the event that additional funds become available, we reserve the right to use such funds to select additional grantees from applications submitted in response to this Announcement. DOL intends to award grants to a combination of rural- and urban-serving organizations. According to the U.S. Census 2010 definition, "rural" encompasses all population, housing, and territory not included within an urban area (see <http://www.census.gov> for more information). For the purposes of this FOA, any Census tract that is either an Urbanized Area or an Urban Cluster is considered "urban;" any Census tract that is neither an Urbanized Area nor an Urban Cluster is considered "rural."

Applicants must not exceed an \$8,000 cost-per-participant (CPP) for the duration of this grant, which includes administrative, planning, and follow-up costs. Applications that exceed \$8,000 CPP will be disqualified and not be reviewed or move forward in the merit review process. The CPP calculation divides the total DOL grant award by the number of proposed participants. Grantees must serve at least the number of participants proposed in their application. Intermediary organizations submitting applications requesting the maximum \$4,500,000 must ensure that their sub-grantees cumulatively serve at least 563 participants over 39 months; non-intermediary organizations submitting applications requesting the maximum \$1,500,000 must serve at least 188 participants over 39 months.

## **B. PERIOD OF PERFORMANCE**

These grants have a thirty-nine (39) month period of performance, which includes up to three months of planning, a required 24-month period of operation, and a required 12-month period for follow-up services. Grantees must meet their enrollment goal and ensure that each participant receives the full menu of services within the period of operation and be able to ensure that each participant receives the 12 months of follow-up services during the performance period of the grant. The anticipated start date for these projects is July 1, 2018.

To ensure that grantees are prepared to begin program implementation, the Federal Project Officer (FPO) will review the completion of specific preliminary steps within the identified planning period of the grant. Grantees must complete these key preliminary steps during the planning period: hiring key staff (Director, Fiscal Manager, and Case Manager), securing locations to house the training, finalizing sub-grant agreements, meeting with any additional partners identified in the application to solidify partnerships, and ensuring readiness for inputting data into the DOL Workforce Integrated Performance System (WIPS) and any DOL provided Case-Management or Access Database system (if deemed applicable by DOL). The Department may subject grantees that do not meet these preliminary steps to corrective action. The application to the FOA serves as the Statement of Work for the grant. A minimum of five percent of total funds must be reserved for the 12-month follow-up period.

### **III. ELIGIBILITY INFORMATION**

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#### **A. ELIGIBLE APPLICANTS**

Applicants may submit up to two (2) applications in response to this FOA, a maximum of one (1) to serve adults and one (1) to serve young adults. Applicants may not propose to serve young adults and adults in the same application, and applicants selected to receive a grant award under this FOA may not serve adults and young adults in the same program.

Eligible applicants must indicate if they are applying as either an intermediary organization (for the purpose of this Announcement, intermediary organizations are defined as organizations that have an affiliate network or offices in at least three communities and across at least two states) or as a non-intermediary organization (for the purpose of the Announcement, non-intermediary organizations are those with single sites or multiple sites within one state) in their application.

Applicants must then select their target population. Applicants may propose to serve either adults (ages 25 or older who have been incarcerated in the adult criminal justice system and released from prison or jail within 180 days of enrollment) or young adults (ages 18-24 who have been involved in the juvenile or adult justice system, including high school dropouts) but may not serve both in the same program.

All applicants must comply with the eligibility requirements below:

- All eligible applicants must be community-or faith-based organizations with IRS 501(c)(3) non-profit status, including women's and minority organizations; state or local governments; or any Indian and Native American entity eligible for grants under section 166 of the Workforce Innovation and Opportunity Act (WIOA).
- Eligible applicants may be rural or urban-serving organizations. For purposes of this FOA, a rural area is any U.S. Census Bureau tract that is neither an urbanized area nor an urban cluster, as defined by the U.S. Census Bureau. The Census Bureau defines urban areas as places of 2,500 or more persons incorporated in cities, villages, boroughs (except in Alaska and New York), and towns (except in the six New England States, New York, and Wisconsin), but excluding the rural portion of "extended cities."

Applicants applying with IRS 501(c)(3) non-profit status must submit verification of the non-profit status. If you have submitted this documentation previously in another application submission, you must submit it again for this application. For applicants applying with IRS 501(c)(3) non-profit status that do not submit documentation of this status, the Department will check IRS data to ensure the applicant has this status.

Applicants may include current or former DOL grantees; new applicants that have not received previous DOL grants are also encouraged to apply.

All projects' target areas must be located in high-crime, high-poverty communities; applicants must submit documentation demonstrating this in a table format. Sample tables are found in Section IV below. Applicants that do not submit verification that their projects will serve high-crime, high-poverty communities will be disqualified and not move forward through the merit review process.

Applicants must use the latest available American Community Survey Five-Year data to find the cumulative poverty rate of the various Census Tracts or counties included in their target community or communities.

Applicants must also compare the most recently available crime rates of the police precinct, sheriff's office, county police department, or other relevant jurisdiction that most closely overlaps with their target community or communities to the crime rate of the overall city (for urban areas) or of non-metropolitan counties in the state (for rural areas) where each target community is located.

For the purpose of this FOA, high-crime and high-poverty communities are defined as:

- High-crime communities: communities with crime rates within the targeted area that are higher than the crime rate of the overall city (for urban areas) or of non-metropolitan counties in the state (for rural areas), as outlined below. (For more information on metropolitan counties and rural and urban areas, see: <http://www.ers.usda.gov/topics/rural-economy-population/rural-classifications.aspx>.)
- High-poverty communities: communities with poverty rates of at least 25 percent, as exhibited through the use of American Community Survey (ACS) data, as outlined in Section VIII, Part F.

Applicants must justify the number of participants that they will serve. Applicants must provide a table, as described in Section IV.B.(4)(b), that shows: 1) the overall population; 2) the population below the poverty level in each of the Census Tracts in the target community; and 3) all Census Tracts combined. The table must also show the high-crime rate for each target community, calculated as described above. Instructions for accessing American Community Survey data for applicants to include in their applications are in Section VIII, Part F of this FOA.

#### Selection of Sub-Grantees by Intermediary Organizations

Applicants applying as intermediary organizations must select and identify in their application their intended sub-grantees. DOL does not require applicants to competitively select local sub-grantees. Applicants may, but are not required to, select their local offices, affiliates, or members to serve as one or more sub-grantees. Applicants must include all poverty and crime rate data identified above for each sub-grantee and target community. Applications that do not include this information will be disqualified and will not move through the merit review process.

**B. COST SHARING OR MATCHING**

This program does not require cost sharing or matching funds. Including such funds is not one of the application screening criteria and applications that include any form of cost sharing or match will not receive additional consideration during the review process. Instead, we consider any resources contributed to the project beyond the funds provided by the agency as leveraged resources. Section IV.B.2 provides more information on leveraged resources.

**C. OTHER INFORMATION**

**1. Application Screening Criteria**

You should use the checklist below as a guide when preparing your application package to ensure that the application has met all of the screening criteria. Note that this checklist is only an aid for applicants and should not be included in the application package. We urge you to use this checklist to ensure that your application contains all required items. If your application does not meet all of the screening criteria, it will not move forward through the merit review process.

<b>Application Requirement</b>	<b>Instructions</b>	<b>Complete?</b>
The deadline submission requirements are met	Section IV.C	
Eligibility	Section III.A	
If submitted through Grants.gov, the components of the application are saved in any of the specified formats and are not corrupt. <i>(We will attempt to open the document, but will not take any additional measures in the event of problems with opening.)</i>	Section IV.C.	
Application Federal funds request does not exceed the ceiling amount of \$4,500,000 for intermediary organizations or \$1,500,000 for non-intermediaries	Section II.A	
Application must not exceed the \$8,000 cost-per-participant (CPP) rate.	Section II.A	
Application must not include serving both young adults and adults. Applications that propose serving both will be disqualified and not move forward in the merit review process.	Section III.A	
SAM Registration	Section IV.B.1	
SF-424, Application for Federal Assistance	Section IV.B.1	

SF-424 includes a DUNS Number	Section IV.B.1	
SF-424A, Budget Information Form	Section IV.B.2	
Budget Narrative	Section IV.B.2	
Project Narrative	Section IV.B.3	
Poverty Table Attachment <ul style="list-style-type: none"> <li>• Poverty level by Census Tracts or County(s),(applicants using zipcodes instead of census tracks or counties will be disqualified) and</li> <li>• Overall poverty rate of at least 25%</li> </ul>	Section IV.B.4(b)	

## 2. Number of Applications Applicants May Submit

We will consider up to two (2) applications from each organization, one (1) for each target population. In each application, applicants must select to be identified as either an intermediary organization or a non-intermediary organization. If we receive multiple applications from the same organization for the same target population, we will only consider the most recently received application that met the deadline. If the most recent application is disqualified for any reason, we will not replace it with an earlier application. Any application proposing to serve both target populations in the same application will be disqualified and will not move forward in the merit review process.

## 3. Eligible Participants

### *a) Participants Eligible to Receive Training*

#### (1) Young Adults

An individual is eligible to participate in a program funded through this FOA if that individual, on the date of enrollment (the date of enrollment is when the individual has gone through the application process, been accepted, and confirmed the individual will participate in the program.):

- is at least 18 years and not older than 24 years of age;
- is a high school dropout \* or currently involved or has been involved with the juvenile or adult justice system, which includes:
  - previously incarcerated;
  - under the supervision of the justice system, either in out-of-home placements, on probation, or on parole;
  - under an alternative sentence by the justice system; or
  - under a diversion program as an alternative to prosecution;

- has never been convicted of a sex crime other than prostitution; and
- is low-income (participants residing in the target area are considered to be low-income).

\*Only 10 percent of participants may be enrolled as high school dropouts without having involvement in the juvenile or adult justice system.

## (2) Adults

An individual is eligible to participate in a program funded through this FOA if that individual, on the date of enrollment:

- is 25 years of age or older;
- has never been convicted of a sex crime other than prostitution;
- was previously incarcerated and released from prison or jail within 180 days of enrollment;
- or is currently under supervision (which includes individuals: confined in a correctional facility with a release date within six months, residing in a residential reentry center, on electronic monitoring or home-based monitoring, or enrolled in a jail-based work release center); and
- is low-income (participants residing in the target area are considered to be low-income).

Grantees have the discretion to enroll individuals convicted of violent offenses or assessed as high-risk. Grantees that serve this population must conduct a rigorous risk assessment of criminogenic need, which means causing or likely to cause criminal behavior. Applicants proposing to serve this population may adjust their outcomes accordingly; enrollment goals based on cost-per-participant may not be reduced. In all cases, the grantee must have a clear and consistent written enrollment policy that addresses program enrollment. More information on risk assessments can be found at: <http://csgjusticecenter.org/reentry/the-reentry-and-employment-project/> as well as in Section VIII, Part G of this FOA.

NOTE: Male participants are required to register for the selective service before participating in services. Grantees should determine eligibility of male participants by accessing the Selective Service System at <https://www.sss.gov/>. For additional guidance, including how this requirement applies to male participants incarcerated at the time of their 18<sup>th</sup> birthdays, please see Training and Employment Guidance Letter (TEGL) 11-11. Change 2 clarifies the implementation of the Selective Service registration requirements of the Workforce Investment Act (WIA) of 1998 § 189(h) for grantees funded or authorized by Title I of WIA,

located at: [http://wdr.doleta.gov/directives/attach/TEGL/TEGL\\_11-11\\_change2.pdf](http://wdr.doleta.gov/directives/attach/TEGL/TEGL_11-11_change2.pdf). This guidance applies to grants funded or authorized by WIOA.

***b) Veterans' Priority for Participants***

38 U.S.C. 4215 requires grantees to provide priority of service to veterans and spouses of certain veterans for the receipt of employment, training, and placement services in any job training program directly funded, in whole or in part, by DOL. The regulations implementing this priority of service are at 20 CFR Part 1010. In circumstances where a grant recipient must choose between two qualified candidates for a service, one of whom is a veteran or eligible spouse, the veterans' priority of service provisions require that the grant recipient give the veteran or eligible spouse priority of service by first providing him or her that service. To obtain priority of service, a veteran or spouse must meet the program's eligibility requirements. Grantees must comply with DOL guidance on veterans' priority. ETA's Training and Employment Guidance Letter (TEGL) No. 10-09 (issued November 10, 2009) provides guidance on implementing priority of service for veterans and eligible spouses in all qualified job training programs funded in whole or in part by DOL. TEGL No. 10-09 is available at:

[https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2816](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2816). This guidance applies to programs funded under WIOA. For additional information on veteran's priority of service and WIOA, please see TEGL 19-16. TEGL 19-16 is available at: [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3851](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3851) Application and Submission Information.

#### **IV. APPLICATION AND SUBMISSION INFORMATION**

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**A. HOW TO OBTAIN AN APPLICATION PACKAGE**

This FOA, found at: [www.Grants.gov](http://www.Grants.gov) and [https://www.doleta.gov/grants/find\\_grants.cfm](https://www.doleta.gov/grants/find_grants.cfm), contains all of the information and links to forms needed to apply for grant funding.

**B. CONTENT AND FORM OF APPLICATION SUBMISSION**

Applications submitted in response to this FOA must consist of four separate and distinct parts:

- (1) the SF-424 "Application for Federal Assistance;"
- (2) Project Budget (SF-424A and Budget Narrative);
- (3) Project Narrative; and
- (4) attachments to the Project Narrative.

You must ensure that the funding amount requested is consistent across all parts and sub-parts of the application.

**(1) SF-424, “Application for Federal Assistance”**

- You must complete the SF-424, “Application for Federal Assistance” (available at: [https://apply07.grants.gov/apply/forms/sample/SF424\\_2\\_1-V2.1.pdf](https://apply07.grants.gov/apply/forms/sample/SF424_2_1-V2.1.pdf)).
- In the address field, fill out the nine-digit (plus hyphen) zip code. Nine-digit zip codes can be looked up on the USPS website at: <https://tools.usps.com/go/ZipLookupAction!input.action>.
- The SF-424 must clearly identify the applicant and must be signed by an individual with authority to enter into a grant agreement. Upon confirmation of an award, the individual signing the SF-424 on behalf of the applicant is considered the Authorized Representative of the applicant. As stated in block 21 of the SF-424 form, the signature of the Authorized Representative on the SF-424 certifies that the organization is in compliance with the Assurances and Certifications form SF-424B (available at <https://apply07.grants.gov/apply/forms/sample/SF424B-V1.1.pdf>). You do not need to submit the SF-424B with the application.

In addition, the applicant’s Authorized Representative’s signature in block 21 of the SF-424 form constitutes assurance by the applicant of compliance with the following requirements in accordance with 29 CFR 38.25.

As a condition to the award of financial assistance from the Department of Labor under Title I WIOA, the grant applicant assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws: Section 188 of the WIOA, which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex (including pregnancy, childbirth, and related medical conditions, transgender status, and gender identity), national origin (including limited English proficiency), age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship status or participation in any WIOA Title I—financially assisted program or activity; Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the bases of race, color and national origin; Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities; The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs. The grant applicant also assures that as a recipient of WIOA Title I financial assistance (as defined at 29 CFR 38.4(zz)), it will comply with 29 CFR part 38 and all other regulations implementing the laws listed above. This assurance applies to the grant applicant's operation of the WIOA Title I-financially assisted program or activity, and to all agreements the grant applicant makes to carry out the WIOA Title I-financially assisted program or activity. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance.

- **Requirement for DUNS Number**

All applicants for Federal grant and funding opportunities must have a DUNS number, and must supply their DUNS Number on the SF-424. The DUNS Number is a nine-digit identification number that uniquely identifies business entities. If you do not have a DUNS Number, you can get one for free through the D&B website: <https://fedgov.dnb.com/webform/displayHomePage.do>.

Grant recipients authorized to make subawards must meet these requirements related to DUNS Numbers

- Grant recipients must notify potential subawardees that no entity may receive a subaward from you unless the entity has provided its DUNS number to you.
- Grant recipients may not make a subaward to an entity unless the entity has provided its DUNS number to you.

(See, Appendix A to 2 CFR section 25.)

- **Requirement for Registration with SAM**

Applicants must register with the System for Award Management (SAM) before submitting an application. Find instructions for registering with SAM can at: <https://www.sam.gov>.

A recipient 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, the applicant is required to review and update the registration at least every 12 months from the date of initial registration or subsequently update its information in the SAM database to ensure it is current, accurate, and complete. For purposes of this paragraph, the applicant is the entity that meets the eligibility criteria and has the legal authority to apply and to receive the award. If an applicant has not fully complied with these requirements by the time the Grant Officer is ready to make a Federal award, the Grant Officer may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

**(2) Project Budget**

You must complete the SF-424A Budget Information Form (available at: [\). In preparing the Budget Information Form, you must provide a concise narrative explanation to support the budget request, explained in detail below.](https://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=)

**Budget Narrative:** The budget narrative must provide a description of costs associated with each line item on the SF-424A. It should also include a description of leveraged resources provided (as applicable) to support grant activities.

Use the following guidance for preparing the budget narrative:

**Personnel:** – List all staff positions by title (both current and proposed). Give the annual salary of each position, the percentage of each position’s time devoted to the project, the amount of each position’s salary funded by the grant, and the total personnel cost for the period of performance.

**Fringe Benefits:** For salaried employees provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, FICA, retirement, etc.

**Travel:** Specify the purpose, mileage, per diem, estimated number of in-state and out-of-state trips, and other costs for each type of travel for project staff.

**Equipment:** Identify each item of equipment you expect to purchase which has an estimated acquisition cost of \$5,000 or more per unit (or if your capitalization level is less than \$5,000, use your capitalization level) and a useful lifetime of more than one year (see 2 CFR 200.33 for the definition of Equipment). List the quantity and unit cost per item. Items with a unit cost of less than \$5,000 are supplies, not “equipment”. In general, we do not permit the purchase of equipment during the last funded year of the grant.

**Supplies:** Identify categories of supplies (e.g. office supplies) in the detailed budget and list the quantity and unit cost per item. Supplies include all tangible personal property other than “equipment” (see 2 CFR 200.94 for the definition of Supplies).

**Contractual:** Under the Contractual line item, delineate contracts and subawards separately. Contracts are defined according to 2 CFR 200.22 as a legal instrument by which a non-Federal entity purchases property or services needed to carry out the project or program under a Federal award. A subaward, defined by 2 CFR 200.92, means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program.

For each proposed contract and subaward, specify the purpose and estimated cost.

**Construction:** Construction costs are not allowed and this line must be left as zero. Minor alterations to adjust an existing space for grant activities (such as a classroom alteration) may be allowable. We do not consider this as construction and you must show the costs on other appropriate lines such as Contractual.

**Other:** Provide clear and specific detail, including costs, for each item so that we are able to determine whether the costs are necessary, reasonable and allocable. List any item, such as stipends or incentives, not covered elsewhere here.

**Indirect Costs:** If you include indirect costs in the budget, then include one of the following:

a) If you have a Negotiated Indirect Cost Rate Agreement (NICRA), provide an explanation of how the indirect costs are calculated. This explanation should include which portion of each line item, along with the associated costs, are included in your cost allocation base. Also, provide a current version of the NICRA.

or

b) If you intend to claim indirect costs using the 10 percent de minimis rate, please confirm that your organization meets the requirements as described in 2 CFR 200.414(f). Clearly state that your organization has never received a Negotiated Indirect Cost Rate Agreement (NICRA), and your organization is not one described in Appendix VII of 2 CFR 200, paragraph (D)(1)(b).

Applicants choosing to claim indirect costs using the de minimis rate must use Modified Total Direct Costs (see 2 CFR 200.68 below for definition) as their cost allocation base. Provide an explanation of which portion of each line item, along with the associated costs, are included in your cost allocation base. Note that there are various items not included in the calculation of Modified Total Direct Costs. See below the definitions to assist you in your calculation.

**2 CFR 200.68 Modified Total Direct Cost (MTDC)** means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

The definition of MTDC in 2 CFR 200.68 no longer allows for any sub-contracts to be included in the calculation. You will also note that participant support costs are not included in

modified total direct cost. Participant support costs are defined below.

**2 CFR 200.75 Participant Support Cost** means direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with conferences, or training projects.

See Section IV.B.4. and Section IV.E.1 for more information. Additionally, the following link contains information regarding the negotiation of Indirect Cost Rates at DOL: <https://www.dol.gov/oasam/boc/dcd/index.htm>.

As mentioned in Section II.B., the proposed budget must ensure that adequate funding (a minimum of five percent) is set aside to support the required twelve-month follow-up period. The budget must adequately reflect this allotment.

These projects are required partners in the American Job Centers (AJCs) under WIOA sec. 121(b)(1)(B) and must share in the infrastructure funding of the One-Stop Delivery System. The sharing and allocation of infrastructure costs among one-stop partners are governed by WIOA sec. 121(h) and WIOA's implementing regulations at 20 CFR Part 678. Applicants should refer to Training and Employment Guidance Letter WIOA 17-16 at [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=4968](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=4968).

Note that the SF-424, SF-424A, and budget narrative must include the entire Federal grant amount requested (not just one year).

Do not show leveraged resources on the SF-424 and SF-424A. You should describe leveraged resources in the budget narrative.

Applicants should list the same requested Federal grant amount on the SF-424, SF-424A, and budget narrative. If minor inconsistencies are found between the budget amounts specified on the SF-424, SF-424A, and the budget narrative, ETA will consider the SF-424 the official funding amount requested. However, if the amount specified on the SF-424 would render the application nonresponsive, the Grant Officer will use his or her discretion to determine whether the intended funding request (and match if applicable) is within the responsive range.

### **(3) Project Narrative**

#### **A. Preparing the Project Narrative**

The Project Narrative must demonstrate your capability to implement the grant project in accordance with the provisions of this Announcement. It

provides a comprehensive framework and description of all aspects of the proposed project. It must be succinct, self-explanatory, and well organized so that reviewers can understand the proposed project.

The Project Narrative is limited to 25 double-spaced single-sided 8.5 x 11 inch pages for intermediary organizations and 20 double-spaced single-sided 8.5 x 11 inch pages for non-intermediaries. All narratives must use Times New Roman 12 point text font and 1 inch margins. You must number the Project Narrative beginning with page number 1.

We will not read or consider any materials beyond the specified page limit in the application review process.

The following instructions provide all of the information needed to complete the Project Narrative. Carefully read and consider each section, and include all required information in your Project Narrative. The agency will evaluate the Project Narrative using the evaluation criteria identified in Section V.A. You must use the same section headers identified below for each section of the Project Narrative:

Applicants applying as intermediary organizations should describe throughout the Project Narrative the role of the sub-grantees in implementing the project, as appropriate. Applicants applying as non-intermediary organizations should describe how they will directly implement the project.

(1) Statement of Need

Describe in both quantitative and qualitative terms the need for assistance, including the nature and scope of the problem and the consequences of not addressing the need. Incorporate demographic data and participant/beneficiary information whenever possible.

Applicants must identify:

Geographic Areas Served: Applicants applying as non-intermediary organizations must identify the target geographic area(s) that the project(s) will serve by providing a map as an attachment showing a contiguous target service area. This map must include a list of all targeted zip codes.

Applicants applying as intermediary organizations must identify each target area to be served by their sub-grantees by providing maps as an attachment. For each target area, the map must show a contiguous service area and include zip codes. The maps must also demonstrate that the target areas of their sub-grantees are in at least three distinct target areas located in at least two states.

Applicants must indicate the following:

Participants-Served: Identify the category of participant (young adult or adult).

If applying as a non-intermediary organization, identify the number of participants the applicant will serve. If applying as an intermediary organization, indicate the number of participants that each sub-grantee will serve as well as the total cumulative number of participants to be served by all sub-grantees combined.

All applicants must demonstrate that there is a sufficient pool of eligible potential participants in the target area(s) to recruit into the program.

All applicants must provide evidence to support the number of proposed participants in each of the areas to be served.

Selected Training Programs: Describe the need for the selected training programs in the area(s) to be served and identify the source of this information, such as Workforce Development Boards (WDBs), business/industry groups, or labor market projections.

## (2) Expected Outcomes

The Department expects Reentry Employment Opportunities (REO) grantees to track, report, and meet the primary indicators of performance as listed in WIOA section 116(b)(2)(A)(i-ii) as well as REO-specific measures. As part of their data collection, all REO grantees are directed to request participants' social security numbers (SSNs). However, while REO grantees are required to request participants' SSNs, participants cannot be denied services if they choose to not disclose.

REO grantees will report on the six WIOA primary indicators of performance. These indicators are:

- 1) Employment Rate – Second Quarter After Exit (projects serving adults)
  - 1a) Education and Employment Rate – Second Quarter After Exit (projects serving young adults)
- 2) Education and Employment Rate – Fourth Quarter After Exit (projects serving adults)
  - 2a) Education and Employment Rate – Fourth Quarter After Exit (projects serving young adults)
- 3) Median Earnings – Second Quarter After Exit
- 4) Credential Attainment – Credential attainment is both a WIOA primary indicator and a targeted REO goal. REO is currently setting the target goal for this measure at 60 percent. The description of the target goal is stated below in the REO goals.
- 5) Measurable Skill Gains

## 6) Effectiveness in Serving Employers

Additional information on these performance indicators can be found in Training and Employment Guidance Letter (TEGL) 10-16, Change 1: “Performance Accountability Guidance for Workforce Innovation and Opportunity Act (WIOA) Title I, Title II, Title III and Title IV Core Programs,” found at: [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=8226](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=8226). Additionally, the Department plans on releasing guidance specific to the REO program shortly.

Targets for the WIOA measures will be determined post-award.

REO grantees are also expected to track, report, and meet the following REO-specific goals, which are:

1) Enrollment Rate: the number of participants enrolled in the program divided by the enrollment goal. Each grantee has an individual enrollment goal derived from the grantee’s grant application. Grantees must ensure that each participant has the opportunity to receive the full menu of services prior to the end of the 24-month period of operation and receive the full 12 months of follow-up. Grantees should reach their enrollment goals by the midpoint of the program operations period, as described in Section II B. We define enrollment as the date the individual has gone through the application process, been accepted, and confirmed the individual will participate in the program; for the adult population, this must occur within 180 days of release from incarceration. **The enrollment rate goal for all grantees is 100 percent.**

2) Recidivism Rate: the percentage of participants who were in or returning from a juvenile or adult correctional facility or on probation prior to enrolling in the program and have been convicted of a new criminal offense within 12 months of their release from a juvenile or adult correctional facility or placement on probation. **The goal for this measure is 20 percent or below.**

3) Occupational Skills Training Rate: the percentage of participants who enter occupational skills training. **The goal for this measure is 60 percent.**

4) Placement Rate: the percentage of participants who are placed into one or more of the following: Apprenticeship, Unsubsidized Employment, or Post-Secondary Education. Grantees have until the end of the grant period of performance to achieve this measure. **The goal for this measure is 70 percent.**

NOTE: Credential Attainment Rate is both a WIOA primary indicator and a targeted REO goal, as indicated above. The credential attainment rate is the percentage of participants who entered occupational skills training and received an industry-recognized credential. **The goal is 60 percent.**

Applicants must describe:

- Outcomes Strategies: Grant applicants must describe their strategies for achieving the REO-specific measures and WIOA primary indicators of performance outlined above and how the strength of their proposed strategies will ensure that the stated goals are met. Strategies are to be specific, quantifiable statements and clearly linked to each REO-specific measure and WIOA primary indicator of performance.
- Support Strategies: Describe how the applicant will assist staff or sub-grantees, if applying as an intermediary organization, to meet the REO-specific measures and the WIOA primary indicators of performance. Grantees will be required to report to ETA quarterly throughout the period of performance on their progress towards achieving the identified outcomes.

### (3) Project Design

Propose methods and outline a plan of action that describes the scope and detail of how the project will accomplish the proposed work and include timelines for completion of work. Account for all functions or activities identified in the application. Cite factors that might accelerate or decelerate the work and state the reason for taking the proposed approach rather than other approaches. Identify any potential barriers and describe how the project will be able to overcome those barriers.

Applicants must identify and describe:

- Evidence-Based and Evidence-Informed Interventions or Promising Practices: Applicants must identify and describe the proposed service delivery approaches used in this project that are one of the following: 1) evidence-based and evidence-informed interventions; 2) new interventions that theory or research suggests are promising; or 3) a combination of these types of practices. Applicants must provide a clear theory and empirical evidence to support the choice of model/components. For additional information, including definitions of evidence-based and evidence-informed interventions, a list of resources, and sample model components, see Section VIII. E.
- Approaches and Methods: Outline the approaches and methods that will be used to implement the program and explain their integration into the program model, as well as the milestones within the 39-month grant period associated with achieving major tasks and achieving the outcomes. Justify the proposed approaches and state the reason for their selection rather than other approaches. Propose methods to provide the proposed services and describe how such methods will lead to the stated outcomes.

- Project Timelines: Identify reasonable timelines for completion of work and describe how the applicant will achieve the work in the timeframe indicated, or, if applying as an intermediary organization, support and assist its sub-grantees to achieve the overarching work plan to implement this grant.
- Planning Phase: Describe a plan to meet the preliminary steps: hiring key staff (Director, Fiscal Manager, and Case Manager); securing locations to house the training; finalizing sub-grant agreements; meeting with any additional partners identified in the application to solidify partnerships; and ensuring readiness for inputting data into the DOL Workforce Integrated Performance system (WIPS) and any DOL provided Case-Management or Access Database system (if deemed applicable by DOL) during the planning phase and, if applying as an intermediary organization, assist sub-grantees to meet these preliminary steps.
- Work Plan: Provide a detailed narrative description of the proposed plan for accomplishing the work (the work plan) describing how the project will operate throughout the funding period and include a graphic illustration such as a Gantt chart or a flow chart as an attachment to the Project Narrative showing how the applicant will successfully achieve outcomes. Include in the work plan: 1) all functions or activities identified in the application; 2) factors that might accelerate or delay the work and how the applicant will address such factors amid program operations; and 3) any potential barriers with a description of how the project will overcome these barriers. If applying as an intermediary organization, clearly identify the roles and responsibilities of both the applicant and all sub-grantees.
- Employment-Focused Services: Employment-focused services must be included in the program design and should span throughout the participant's participation in the program. Identify the employment-focused service(s) that will be incorporated in your program model. Include at least one of the following approaches: registered, industry-recognized, or pre-apprenticeship, work-based learning, or Career Pathways. Identify and explain how this approach will be combined with the evidence-based and evidence-informed interventions and/or promising practices identified above to lead to improved employment outcomes for program participants.
- Case Management and Legal Services: Case management and legal services are fundamental services that are essential in all reentry programs. Both of these services must begin at the time of enrollment and continue throughout the participant's participation in the program, including the follow-up period and must be consistent with the regulations and guidance under WIOA. Applicants must provide the case

management and legal services component and must identify and justify in their application how the services will be provided – direct, contracted, or through other organization collaborations; if applying as an intermediary organization, this must be identified for each sub-grantee.

Specifically, applicants must, at a minimum:

- Identify and provide justification for the ratio of case managers to participants and how the case managers will act as advocates for program participants, including the frequency of their interactions;
- Identify the specific legal services, such as but not limited to expungement or diversion, that will be available to program participants and how these services will be provided; and
- Identify, justify, and describe the evidence-informed types of case management services and/or activities provided.

#### (4) Organizational, Administrative, and Fiscal Capacity

Applicants must identify and describe:

- Staff, Organizational Structure, and Multi-site Management: Provide information on:
  - How the applicant will manage and staff the project;
  - How the applicant will oversee multiple sites, if applying as an intermediary organization;
  - The applicant's current mission, structure, and relevant experience;
  - A description of how staff, organizational structure, and multi-site management contribute to the ability of the applicant to conduct the project and its requirements and meet program expectations. Include information about any organization(s) under contract with the applicant that will have a significant role in implementing the project and any previous experience implementing projects of similar design or magnitude;
  - A description of programmatic capability and any past experience, if applicable, serving justice-involved individuals; and
  - A description of the applicant's fiscal and administrative controls in place to manage Federal funds. Include the applicant's capability to sustain some or all project activities after Federal financial assistance has ended.
- If applying as an intermediary organization, also include:
  - A plan for supporting and sustaining some or all sub-grantee projects;
  - A description of each sub-grantee's current mission, structure, and relevant experience; and
  - How these factors contribute to the ability of each sub-grantee to implement the project and meet program expectations.

### Non-intermediary Applicants

- Partnerships: Describe how the applicant will partner and collaborate with additional organizations to support the program model and lead to the identified outcomes.
- Commitments: Provide signed and dated Letters of Commitment or Memoranda of Understanding between the applicant and partner organizations that propose to provide services to support the program model and lead to the identified outcomes.

### Intermediary Organization Applicants

- Sub-Grantee Partnerships: Describe how the applicant will ensure that sub-grantees will partner and collaborate with additional organizations to support the program model and lead to the identified outcomes.
- Sub-Grantee Commitments: Provide signed and dated Letters of Commitment or Memoranda of Understanding between the applicant and each identified sub-grantee.

### (5) Past Performance – Programmatic Capability

#### **Previously-Funded REO Applicants:**

Applicants that completed a REO (formerly known as RExO) grant from the Department within the past five (5) years of the application due date (herein after referred to as “previously-funded REO applicants”) do not need to submit any additional documentation or narrative information for the Past Performance criteria. For these applicants, the information provided below is explanatory.

Current REO grantees that have not previously completed a REO grant, as explained above, must provide the appropriate documentation identified in the “new applicants” section below. Please note, applicants that have previously completed other Department grants that were not REO grants, including but not limited to YouthBuild grants, are not considered “previously-funded REO applicants” for the purposes of this FOA and must provide the appropriate documentation identified in the “new applicants” section below.

#### **i. - Performance Goals**

Previously-funded REO applicants will receive points based on past performance demonstrated by the Quarterly Performance Report and Quarterly Financial Report (ETA-9130). Applicants DO NOT submit these two reports as attachments; the Department will use data previously submitted through the REO Management Information System (MIS) and the DOL financial reporting system. DOL will review the final quarter of the period of performance for the most recently completed REO grant. DOL will

evaluate these two performance measures: 1) placement in education and/or employment and 2) certificate/degree attainment. Where applicable, the certificate/degree attainment will be calculated as the weighted rate of the combined high school diploma/equivalency and the industry recognized certificate attainment rates (i.e., the sum of the numerators for both metrics will be divided by the sum of the denominators for both metrics).

#### **ii. - Spending Rate Analysis**

Previously-funded REO applicants will receive points based on the spending rate analysis. Spending grant funds within the original period of performance indicates that the applicant organization has the ability to adequately deploy the resources provided by the Department and manage a budget effectively. The Department will complete this analysis; previously-funded REO applicants DO NOT need to provide any supporting documentation.

#### **New Applicants:**

Applicants that have not completed a REO (formerly known as RExO) grant from the Department within the past five (5) years of the application due date, including those applicants that completed a RExO grant more than five (5) years before the application due date and including current REO grantees that have not previously completed a REO grant (herein after referred to as “new applicants”), must submit the additional documentation or narrative information for the Past Performance criteria identified below.

If you have received federally and/or non-federally funded assistance agreements (federal assistance agreements include: Federal grants and cooperative agreements but not Federal contracts) similar in size, scope, and relevance to the proposed project that have been completed within the last five years of the closing date of this Announcement, please submit as an attachment a Past Performance chart for the most recently completed agreement.

This chart must include the grantor contact name and telephone number. If you have received any ETA agreement, you must submit a chart for that agreement.

Accompanying the prior grant performance chart, applicants must include a letter from the grantor verifying the past performance numbers. This letter must be on grantor letterhead and contain contact information for the grantor.

#### **i. - Performance Goals:**

The Past Performance Chart must include the overall objectives of the grant, population served, funding amount, and grantor contact information. The chart must detail two (2) significant performance goals and the outcomes of

those goals in order to demonstrate if and how the applicant successfully completed and managed the agreement.

Applicants should select two (2) performance indicators most similar to:

1. employment/education placement,
2. degree/certificate/industry-recognized credential attainment,
3. retention in education or employment.

ETA views these three (3) indicators as the most critical to demonstrating that the applicant's past success in a similar program has prepared its organization to succeed in operating a REO project. Applicants may substitute a different indicator if the substituted indicator is applicable to the outcomes required in this FOA.

In the chart, applicants must identify the total number of participants enrolled in the program and the performance outcome for each metric, displayed as both a fraction (i.e., the numerator equal to the number of program participants who achieved the identified indicator and the denominator equal to the total program participants eligible for the identified indicator) and a percentage. For example, if using the employment/education placement measure, the performance metric description might be: Participants who were placed into unsubsidized jobs within one year of program completion *divided by* all participants have this performance goal within the past year.

Applicants will receive points based on past performance demonstrated in the performance chart. The performance chart must clearly identify the indicators being used and must include a definition for how the outcome is calculated (i.e. the numerator and denominator for the outcome). DOL reserves the right to disqualify indicators provided that the indicators are determined not to be sufficiently similar to the indicators required above and award zero points in this section for non-qualifying indicators.

**ii. - Spending Rate Analysis:**

New applicants must submit, as part of the chart of past performance described above, the total grant amount and the percentage of grant funds spent during the original period of performance for their most recently completed grant, as specified above. New applicants will receive points for their spending rate, as demonstrated in the chart they provide.

Below is a sample format for the chart:

<b>Name of Previous Grantor Organization:</b>				
<b>Grantor Contact - Name, Title, Organization, E-mail Address, and Telephone Number:</b>				
<b>Project Title and Grant Number:</b>				
<b>Project Period of Performance:</b>				
<b>Performance Goals</b>				
Metric	Performance Indicator (Goal)	Performance Outcome	Performance Outcome / Performance Goal	Percentage Rate of Actual Achievement
<i>Example: Unsubsidized job</i>	<i>60</i>	<i>58</i>	<i>58/60</i>	<i>97%</i>
1. [Name of Metric (i.e. Employment/Education Placement)]				
2. [Name of Metric (i.e. Degree/Certificate Attainment)]				
3. [Name of Metric (i.e. Retention in Education or Employment)]				
<b>Spending Rate Analysis</b>				
Grant Funds Received:	Grant Funds Spent:	Total Spent / Total Grant Funds	Percentage Rate of Spending:	
<i>Example: Grant Funds Received \$1,000,000</i>	<i>Grant Funds Spent by the end of the original Period of Performance \$800,000</i>	<i>\$800,000/ \$1,000,000</i>	<i>Percentage Rate of Spending 89%</i>	

**ETA reserves the right to confirm this information for all applicants.**

(6) Budget and Budget Justification

Please see **Section IV.B.2.** for information on requirements related to the budget and budget justification.

**Priority Consideration – Apprenticeship Models- 2 points**

Applicants will receive the full 2- points for identifying apprenticeship and the associated industry as their model or one of the models for which they will base their program. This information must be described in the Project Design section of the application.

(4) Attachments to the Project Narrative

In addition to the Project Narrative, you must submit attachments. All attachments must be clearly labeled as Attachments. We will only exclude those attachments listed below from the page limit.

You must not include additional materials such as resumés or general letters of support. You must submit your application in one package because documents received separately will be tracked separately and will not be attached to the application for review.

Save all files with descriptive file names of 50 characters or less and only use standard characters in file names: A-Z, a-z, 0-9, and underscore (\_). File names may not include special characters (e.g. &, -, \*, %, /, #), periods (.), blank spaces or accent marks, and must be unique (i.e., no other attachment may have the same file name). You may use an underscore (example: my\_Attached\_File.pdf) to separate a file name.

Omission of attachments will impact scoring unless otherwise noted.

**a. Abstract**

You must submit an up to two-page abstract specifying the following:

- 1) The applicant's name;
- 2) The project title;
- 3) The target population to be served (Adults or Young Adults);
- 4) Designation as a "new applicant" or "previously-funded REO grantee" applicant (see Section IV.B(3)(A)(5) for additional information on these categories);
- 5) Applying as a non-intermediary or intermediary organization;
- 6) A list of all sub-grantees that will implement the proposed project design, if applicable;
- 7) A description of the area(s) to be served by the applicant or each sub-grantee, if applying as an intermediary organization;
- 8) A list of the specific Census tracts for each target community and identification of whether each Census tract is rural or urban (as defined above);
- 9) The number of participants to be served (total and per sub-grantee, if applying as an intermediary organization);
- 10) The total cost per participant;
- 11) The funding level requested; and
- 12) A brief summarization of the proposed project, including:
  - The selected methods-- evidence-based and evidence-informed program design, interventions that theory and

research suggest are promising, or a combination of the two; and

- How the selected methods will improve the employment outcomes for this population, including the proposed outcomes for the project.

The following website may assist the applicant in identifying which census tracts exist in their counties

<https://www.census.gov/geo/maps-data/maps/2010tract.html>.

The Abstract is limited to two double-spaced, single-sided 8.5x11 inch pages with 12 point text font and 1 inch margins.

When submitting in grants.gov, this document must be uploaded as an attachment to the application package and specifically labeled "Abstract."

**b. Poverty and Crime Rates.** The applicant must submit an attachment confirming that the project is located in high-crime, high-poverty communities. This attachment must include the following two tables:

- 1) A poverty rate table that shows the overall population and the population living below the poverty level by Census Tract in the applicant's target area(s). If the target area is an entire \*county, applicants do not need to break this down to the census tract level. Applications using zip codes instead of census tracts or counties on this attachment will be disqualified and not move forward through the merit review process. The table must include the percentage of the entire target area living beneath the poverty line. At least 25 percent of the overall population of the target service area must be living below the poverty line. Applications that have a service area wherein less than 25 percent of the total population lives below the poverty line will be disqualified and not move forward through the merit review process.

A suggested format is as follows:

Poverty Table		
Census Tracts*	Polulation	Population Below Poverty Level
Census Tract 1	a	k
Census Tract 2	b	l
Census Tract 3	c	m
Census Tract 4	d	n
Census Tract 5	e	o
Total	a+b+c+d+e = T	k+l+m+n+o = BPL
$\frac{BPL \times 100}{T} = \text{Percent of Population Below Poverty Level}$		
T = Total Population BPL = Total Population Below Poverty Level <i>*alternatively use counties if the entire county is being targeted</i>		

- 2) Applicants must also include a crime rate table showing the most recently available crime rate of the police precinct, sheriff's office, county police department, or other relevant jurisdiction that most closely overlaps with the target community compared to the crime rate of the overall city or of the non-metropolitan counties in the state for each target area. Applicants applying as intermediary organizations must submit this information for each sub-grantee. A suggested format is as follows:

High Crime Data		
High Crime – Overall Geographic Area	X	Insert Description of Geographic Area here  Insert Source here
High Crime – Target Area	Y	Insert Description of Target Area here  Insert Source here

When submitting in <https://www.grants.gov>, this document must be uploaded as an attachment to the application package and specifically labeled "Poverty and Crime Rate Table"

- c. Documentation from the Internal Revenue Service that verifies the applicant's non-profit 501(c)(3) status (for entities applying as 501(c)(3) non-profit organizations only). All applicants applying as a non-profit must submit this verification even if the applicant

is a current DOL grantee. If not provided, the Department will review Internal Revenue Service data to ensure an applicant's non-profit 501(c)(3) status. This attachment does not impact scoring of the application.

When submitting in <https://www.grants.gov>, this document must be uploaded as an attachment to the application package and specifically labeled "Non-Profit Status."

- d. A map (non-intermediary) or maps (intermediary), showing a contiguous target service area(s) which includes a list of all targeted zip codes. See Section IV.B.3 for additional instructions.

When submitting in <https://www.grants.gov>, this document must be uploaded as an attachment to the application package and specifically labeled "Service Area Map."

- e. Indirect Cost Rate Agreement: If you are requesting indirect costs based on a Negotiated Indirect Cost Rate Agreement approved by your Federal Cognizant Agency, then attach the most recently approved Agreement. (For more information, see Section IV.B.2. and Section IV.E.1.) This attachment does not impact scoring of the application.

When submitting in <https://www.grants.gov>, this document must be uploaded as an attachment to the application package and specifically labeled "NICRA."

- f. All applicants must submit a Funding Opportunity Announcement Financial System Assessment. See Section V.B.2 for a sample template and additional instructions. This attachment does not impact the scoring of the application.

When submitting in <https://www.grants.gov>, this document must be uploaded as an attachment to the application package and specifically labeled "Financial System Assessment."

- g. **(For New Applicants Only)** Past Performance Information: This attachment must include both the Past Performance Chart and Grantor Verification Letter. Refer to Section IV.3.A(5) for additional information.

When submitting in <https://www.grants.gov>, this combination must be uploaded as an attachment to the application package and specifically labeled "Past Performance."

- h.** Signed and dated **Letters of Commitment** or **Memoranda of Understanding** between: the applicant and partner organizations that propose to provide services to support the program model and lead to the identified outcomes, for non-intermediary applicants; or the applicant and each identified sub-grantee for each site, for intermediary organization applicants.

When submitting in <https://www.grants.gov>, these letters must be uploaded as an attachment to the application package and specifically labeled “Letters of Commitment.”

- i.** A graphic illustration such as a Gantt chart or a flow chart of the applicant’s work plan, as described in Section IV.B.3.A.3.

When submitting in <https://www.grants.gov>, this item must be uploaded as an attachment to the application package and specifically labeled “Work Plan.”

When submitting in <https://www.grants.gov>, this item must be uploaded as an attachment to the application package and specifically labeled “HUD Form 50153.”

**C. SUBMISSION DATE, TIMES, PROCESS AND ADDRESSES**

We must receive your application by **May 4, 2018**. You must submit your application either electronically on <https://www.grants.gov> or hard copy by mail or hard copy by hand delivery (*including overnight delivery*) **no later than 4:00:00 p.m. Eastern Time on the closing date.**

Applicants are encouraged to submit their application before the closing date to ensure that the risk of late receipt of the application is minimized. We will not accept applications sent by e-mail, telegram, or facsimile (FAX).

**1. Hardcopy Submission**

All applications submitted by mail or overnight delivery must be received at the designated place by the specified closing date and time. Applicants submitting applications in hard copy by mail or overnight delivery must submit a “copy-ready” version free of bindings, staples or protruding tabs to ease in the reproduction of the application by DOL. Applicants submitting applications in hard copy must also include in the hard copy submission an identical electronic copy of the application on compact disc (CD) or flash drive. If we identify discrepancies between the hard copy submission and CD/flash drive copy, we will consider the application on the CD/flash drive as the official submission for evaluation purposes. Failure to provide identical applications in hardcopy and CD/flash drive format may have an impact on the overall evaluation. If an application is physically submitted by both hard copy and through <https://www.grants.gov>, a letter must accompany the hard-copy application stating

which application to review. If no letter accompanies the hard copy, we will review the copy submitted through <https://www.grants.gov>.

We will grant no exceptions to the mailing and delivery requirements set forth in this notice. Further, we will not accept documents submitted separately from the application, before or after the deadline, as part of the application.

Address mailed applications to the:  
U.S. Department of Labor  
Employment and Training Administration  
Office of Grants Management  
Attention: Melissa Abdullah, Grant Officer  
Reference FOA-ETA-18-02  
200 Constitution Avenue, NW, Room N4716  
Washington, DC 20210

Please note that mail decontamination procedures may delay mail delivery in the Washington DC area. We will receive hand-delivered applications at the above address at the **3<sup>rd</sup> Street Visitor Entrance**. All overnight delivery submissions will be considered to be hand-delivered and must be received at the designated place by the specified closing date and time.

## 2. **Electronic Submission through Grants.gov**

Applicants submitting applications through Grants.gov must ensure successful submission **no later than 4:00:00 p.m. Eastern Time on the closing date**. Grants.gov will subsequently validate the application.

The process can be complicated and time-consuming. You are strongly advised to initiate the process as soon as possible and to plan for time to resolve technical problems. Note that validation does not mean that your application has been accepted as complete or has been accepted for review by the agency. Rather, grants.gov only verifies the submission of certain parts of an application.

### a. **How to Register to Apply through Grants.gov**

Read through the registration process carefully before registering. These steps may take as much as **four weeks** to complete, and this time should be factored into plans for timely electronic submission in order to avoid unexpected delays that could result in the rejection of an application.

Applicants must follow the online instructions for registration at <https://www.grants.gov/web/grants/applicants/organization-registration.html>. We recommend that you prepare the information requested before beginning the registration process. Reviewing and assembling required information before beginning the registration process will alleviate last minute searches for required information and save time.

An application submitted through Grants.gov constitutes a submission as an electronically signed application. The registration and account creation with Grants.gov, with E-Biz POC approval, establishes an AOR. When an application is submitted through Grants.gov, the name of the AOR that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC must authorize the individual who is able to make legally binding commitments on behalf of your organization as the AOR; this step is often missed and it is crucial for valid submissions.

**b. How to Submit an Application to DOL via Grants.gov**

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different webforms within an application.

For a complete workspace overview, refer to:

<https://www.grants.gov/web/grants/applicants/workspace-overview.html>

For access to complete instructions on how to apply for opportunities, refer to: <https://www.grants.gov/web/grants/applicants/apply-for-grants.html>

When a registered applicant submits an application with Grants.gov, an electronic time stamp is generated within the system when the application is successfully received by Grants.gov. Grants.gov will send the applicant AOR an email acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) with the successful transmission of the application, serving as proof of their timely submission. The applicant will receive two email messages to provide the status of the application's progress through the system.

- The first email will contain a tracking number and will confirm receipt of the application by Grants.gov.
- The second email will indicate the application has either been successfully validated or has been rejected due to errors.

Grants.gov will **reject applications if the applicant's registration in SAM is expired. Only applications that have been successfully submitted by the deadline and later successfully validated will be considered.** It is your sole responsibility to ensure a timely submission. While it is not required that an application be successfully validated before the deadline for submission, it is prudent to reserve time before the deadline in case it is necessary to resubmit an application that has not been successfully validated. Therefore, enough time should be allotted for submission (24-48 hours) and, if applicable, additional time to address errors and receive validation upon resubmission (an additional two business days for each ensuing submission). It is important to note that if

enough time is not allotted and a rejection notice is received after the due date and time, DOL will not consider the application.

To ensure consideration, the components of the application must be saved as .doc, .docx, .xls, .xlsx, .rtf or .pdf files. If submitted in any other format, the applicant bears the risk that compatibility or other issues will prevent DOL from considering the application. We will attempt to open the document, but will not take any additional measures in the event of problems with opening.

We strongly advise applicants to use the various tools and documents, including FAQs, which are available on the “Applicant Resources” page at <https://www.grants.gov/web/grants/applicants/applicant-faqs.html>.

We encourage new prospective applicants to view the online tutorial, “Grant Applications 101: A Plain English Guide to ETA Competitive Grants,” available through WorkforceGPS at: <https://strategies.workforcegps.org/resources/2014/08/11/16/32/applying-for-eta-competitive-grants-a-web-based-toolkit-for-prospective-applicants-438?p=1>.

To receive updated information about critical issues, new tips for users and other time sensitive updates as information is available, you may subscribe to “Grants.gov Updates” at <https://www.grants.gov/web/grants/manage-subscriptions.html>.

If you encounter a problem with Grants.gov and do not find an answer in any of the other resources,

- **call** 1-800-518-4726 or 606-545-5035 to speak to a Customer Support Representative or
- **email** [support@grants.gov](mailto:support@grants.gov).

The Grants.gov Contact Center is open 24 hours a day, seven days a week. However, it is closed on Federal holidays. If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number.

### **Late Applications**

For applications submitted on Grants.gov, we will consider only applications successfully submitted no later than 4:00:00 p.m. Eastern Time on the closing date and then successfully validated. You take a significant risk by waiting to the last day to submit through Grants.gov.

We will not consider any hard copy application received after the exact date and time specified for receipt at the office designated in this notice, unless we receive it before awards are made, it was properly addressed, and it was: (a) sent by U.S. Postal Service mail, postmarked not later than the fifth calendar

day before the date specified for receipt of applications (e.g., an application required to be received by the 20th of the month must be postmarked by the 15th of that month); or (b) sent by professional overnight delivery service to the addressee not later than one working day before the date specified for receipt of applications. "Postmarked" means a printed, stamped or otherwise placed impression (exclusive of a postage meter machine impression) that is readily identifiable, without further action, as having been supplied or affixed on the date of mailing by an employee of the U.S. Postal Service. Therefore, you should request the postal clerk to place a legible hand cancellation "bull's eye" postmark on both the receipt and the package. Failure to adhere to these instructions will be a basis for a determination that the application was not filed timely and will not be considered. Evidence of timely submission by a professional overnight delivery service must be demonstrated by equally reliable evidence created by the delivery service provider indicating the time and place of receipt.

**D. INTERGOVERNMENTAL REVIEW**

This funding opportunity is not subject to Executive Order 12372, "Intergovernmental Review of Federal Programs."

**E. FUNDING RESTRICTIONS**

All proposed project costs must be necessary and reasonable and in accordance with Federal guidelines. Determinations of allowable costs will be made in accordance with the Cost Principles, now found in the Office of Management and Budget's Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), codified at 2 CFR Part 200 and at 2 CFR Part 2900 (Uniform Guidance-DOL specific). Disallowed costs are those charges to a grant that the grantor agency or its representative determines not to be allowed in accordance with the Cost Principles or other conditions contained in the grant. Applicants, whether successful or not, will not be entitled to reimbursement of pre-award costs.

**1. Indirect Costs**

As specified in the Uniform Guidance Cost Principles, indirect costs are those that have been incurred for common or joint objectives and cannot be readily identified with a particular final cost objective. An indirect cost rate is required when an organization operates under more than one grant or other activity, whether Federally-assisted or not. You have two options to claim reimbursement of indirect costs.

**Option 1:** You may use a NICRA or Cost Allocation Plan (CAP) supplied by the Federal Cognizant Agency. If you do not have a NICRA/CAP or have a pending NICRA/CAP, and in either case choose to include estimated indirect costs in your budget, at the time of award the Grant Officer will release funds in the amount of 10% of salaries and wages to support indirect costs. Within 90 days of award, you are required to submit an acceptable indirect cost proposal or CAP to your Federal Cognizant Agency to obtain a provisional indirect cost rate. (See Section IV.B.4. for more information on NICRA submission requirements.)

**Option 2:** Any organization that has never received a negotiated indirect cost rate, with the exceptions noted at 2 CFR 200.414(f) in the Cost Principles, may elect to charge a de minimis rate of 10% of modified total direct costs (see 2 CFR 200.68 for definition) which may be used indefinitely. If you choose this option, this methodology must be used consistently for all Federal awards until such time as you choose to negotiate for an indirect cost rate, which you may apply to do at any time. (See 2 CFR 200.414(f) for more information on use of the de minimis rate.) For these grants, all costs charged as a result of the de minimis rate will be counted towards the administrative cost limitation specified below.

## **2. Administrative Costs**

Under this FOA, entities that receive a grant to carry out a project or program may not use more than 15 percent of the amount of the grant to pay administrative costs associated with the program or project. Administrative costs are for the performance of administrative functions in carrying out activities under this grant that are not related to the direct provision of services to participants. Such costs include both personnel and non-personnel costs and both direct and indirect costs. Administrative costs do not need to be identified separately from program costs on the SF-424A Budget Information Form. However, they must be tracked through the recipient's accounting system. To claim any administrative costs that are also indirect costs, the applicant must obtain an Indirect Cost Rate Agreement from its Federal Cognizant Agency or be eligible to use the 10 percent de minimis rate, as specified above.

## **3. Salary and Bonus Limitations**

None of the funds appropriated under the heading "Employment and Training" in the appropriation statute(s) may be used by a recipient or subrecipient of such funds to pay the salary and bonuses of an individual, either as direct costs or indirect costs, at a rate in excess of Executive Level II. This limitation does not apply to contractors providing goods and services as defined in the Audit Requirements of the OMB Uniform Guidance (see 2 CFR 200 Subpart F). Where States are recipients of such funds, States may establish a lower limit for salaries and bonuses of those receiving salaries and bonuses from subrecipients of such funds, taking into account factors including the relative cost-of-living in the State, the compensation levels for comparable State or local government employees, and the size of the organizations that administer Federal programs involved including Employment and Training Administration programs. See Public Law 113-235, Division G, Title I, section 105, and Training and Employment Guidance Letter number 05-06 for further clarification:  
[https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2262](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2262).

## **4. Intellectual Property Rights**

Pursuant to 2 CFR 2900.13, to ensure that the Federal investment of DOL funds has as broad an impact as possible and to encourage innovation in the development of new learning materials, the grantee will be required to license to the public all work created with the support of the grant under a Creative

Commons Attribution 4.0 (CC BY) license. Work that must be licensed under the CC BY includes both new content created with the grant funds and modifications made to pre-existing, grantee-owned content using grant funds.

This license allows subsequent users to copy, distribute, transmit and adapt the copyrighted Work and requires such users to attribute the Work in the manner specified by the grantee. Notice of the license shall be affixed to the Work. For general information on CC BY, please visit <https://creativecommons.org/licenses/by/4.0>.

Instructions for marking your work with CC BY can be found at: [https://wiki.creativecommons.org/Marking\\_your\\_work\\_with\\_a\\_CC\\_license](https://wiki.creativecommons.org/Marking_your_work_with_a_CC_license).

Questions about CC BY as it applies to this specific funding opportunity should be submitted to the ETA Grants Management Specialist specified in Section VII.

Only work that is developed by the recipient in whole or in part with grants funds is required to be licensed under the CC BY license. Pre-existing copyrighted materials licensed to, or purchased by the grantee from third parties, including modifications of such materials, remain subject to the intellectual property rights the grantee receives under the terms of the particular license or purchase. In addition, works created by the grantee without grant funds do not fall under the CC BY license requirement.

The purpose of the CC BY licensing requirement is to ensure that materials developed with funds provided by these grants result in work that can be freely reused and improved by others. When purchasing or licensing consumable or reusable materials, the grantee is expected to respect all applicable Federal laws and regulations, including those pertaining to the copyright and accessibility provisions of the Federal Rehabilitation Act.

Separate from the CC BY license to the public, the Federal Government reserves a paid-up, nonexclusive and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use for Federal purposes: i) the copyright in all products developed under the grant, including a subaward or contract under the grant or subaward; and ii) any rights of copyright to which the recipient, subrecipient or a contractor purchases ownership under an award (including, but not limited to, curricula, training models, technical assistance products, and any related materials). Such uses include, but are not limited to, the right to modify and distribute such products worldwide by any means, electronically or otherwise. The grantee may not use Federal funds to pay any royalty or license fee for use of a copyrighted work, or the cost of acquiring by purchase a copyright in a work, where the Department has a license or rights of free use in such work. If revenues are generated through selling products developed with grant funds, including intellectual property, DOL treats such revenues as program income. Such program income is added to the grant and must be expended for allowable grant activities.

If applicable, the following needs to be on all products developed in whole or in part with grant funds:

***“This workforce product was funded by a grant awarded by the U.S. Department of Labor’s Employment and Training Administration. The product was created by the grantee and does not necessarily reflect the official position of the U.S. Department of Labor. The U.S. Department of Labor makes no guarantees, warranties, or assurances of any kind, express or implied, with respect to such information, including any information on linked sites and including, but not limited to, accuracy of the information or its completeness, timeliness, usefulness, adequacy, continued availability, or ownership. This product is copyrighted by the institution that created it.”***

## **5. WIOA Infrastructure**

All one-stop partner programs including all programs funded under Title I of WIOA are required to contribute to the infrastructure costs and certain additional costs of the one-stop delivery system in proportion to their use and relative benefits received as required in 20 CFR 678.700 and 678.760. The sharing and allocation of infrastructure costs between one-stop partners is governed by WIOA sec. 121(h), WIOA’s implementing regulations, and the Federal Cost Principles contained in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR part 200 (Uniform Guidance). The Federal Cost Principles state that a partner’s contribution is an allowable, reasonable, necessary, and allocable cost to the program and is consistent with other legal requirements. A list of the required one-stop partner programs is available at 20 CFR 678.400. **Applicants should refer to Training and Employment Guidance Letter WIOA 17-16 at [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=4968](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=4968) for more information.**

## **6. Use of Grant Funds for Participant Wages**

Organizations that receive grants through this FOA may use grant funds to pay for the wages of participants where the objective assessment and the Individual Career Plan indicate that work experiences are appropriate. Further, the provision of stipends to training enrollees for the purposes of wage replacement is an allowable cost under this FOA. Payment may take the form of wages or stipends. Generally, participants may receive stipends for participating in classes and training. Wages are compensation for services performed for an employer. Grantees must comply with WIOA Section 181 and WIOA regulations detailing the applicable wage and labor standards. When paying participant stipends, grantees must maintain documentation of the process for determining the amount of the stipend and the distribution. Grantees providing wages or stipends to participants should be aware of the implications under IRS provisions. Please consult [www.irs.gov](http://www.irs.gov) for more information.

In addition, grantees may provide incentive payments to participants for recognition and achievement tied to training activities and work experiences. Incentive payments must align with the goals of the grant. The grantee must have policies and procedures in place governing the award of incentives; any incentives provided under the grant must align with these organizational policies. Generally, incentive payments are considered miscellaneous compensation and are taxable. Please consult [www.irs.gov](http://www.irs.gov) for more information. Under this FOA, grantees can use no more than 1.5 percent of the grant award for incentive payments.

Needs-related payments are a form of supportive services paid directly to participants that enable the individual to participate in training. Up to 1.5 percent of grant funds awarded under this FOA may be used to provide needs-related payments, such as those authorized under WIOA to assist participants with costs related to transportation, child care, food, or other household items, such as paying a utility bill to prevent shut off. Needs-related payments must tie directly to the cost identified, and grantees must ensure the payments are documented to support both the participant’s need for the service *as well* as the actual transaction. Grantees must have a consistent policy in place on the provision of needs-related payments.

**F. OTHER SUBMISSION REQUIREMENTS**

Withdrawal of Applications: You may withdraw an application by written notice to the Grant Officer at any time before an award is made.

**V. APPLICATION REVIEW INFORMATION**

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**A. CRITERIA**

We have instituted procedures for assessing the technical merit of applications to provide for an objective review of applications and to assist you in understanding the standards against which your application will be judged. The evaluation criteria are based on the information required in the application as described in Sections IV.B.2. (Project Budget), and IV.B.3. (Project Narrative). Reviewers will award points based on the evaluation criteria described below:

<b>Criterion</b>	<b>Points (maximum)</b>
1. Statement of Need (See Section IV.B.3.a.(1) Statement of Need)	10
2. Expected Outcomes (See Section IV.B.3.a.(2) Expected Outcomes)	10

3. Project Design (See Section IV.B.3.a.(3) Project Design)	50
4. Organizational, Administrative, and Fiscal Capacity (See Section IV.B.3.a.(5) Organizational, Administrative, and Fiscal Capacity)	14
5. Past Performance – Programmatic Capability (See Section IV.B.3.a.(6) Past Performance – Programmatic Capability)	11
6. Budget and Budget Justification (See Section IV.B.2. Project Budget)	5
<b>TOTAL</b>	<b>100</b>
<b>Priority Consideration: Apprenticeship Model</b> <b>See Section IV.B.3 Priority Consideration</b>	<b>2</b>

**1. Statement of Need (up to 10 points)**

**Geographic Areas Served:** If applying as a non-intermediary organization, the applicant clearly and accurately demonstrates that the target service area is contiguous by providing a map demonstrating this.

If applying as an intermediary organization, the applicant clearly and accurately demonstrates at least three target areas in at least two states and that each target area is individually contiguous by providing a map for each area.

For both types of applicants, each map must include a list of zip codes targeted.

(Up to 2 points)

**Participants Served:** The clear identification of the category of participant that will be served and the clear and plausible identification of the number of participants the applicant will serve.

If the applicant is applying as an intermediary, the clear and plausible identification of the number of participants each subgrantee will serve.

The extent to which the applicant clearly demonstrates and supports with plausible evidence that there is a sufficient pool of eligible potential participants in the geographic coverage area of their organization to justify the proposed number of eligible participants they plan to serve. (Up to 2 points)

**Need for Selected Training Programs:** The extent to which the applicant clearly and accurately identifies the need for the selected training programs and provides a credible source for this information in the areas to be served. (Up to 6 points)

## 2. **Expected Outcomes (up to 10 points)**

**Outcomes Strategies:** The extent to which the applicant clearly proposes specific, quantifiable strategies for achieving each of the REO-specific measures, including the identified target goals, and the WIOA primary indicators of performance identified in section IV(B)(3)(a)(2) of this FOA. The strength of the applicant's proposed strategies and the reasonable justification of how these strategies will ensure that the stated outcomes are achieved. (Up to 8 points)

**Support Strategies:** The extent to which the applicant justifies how its proposed support strategies will assist staff or sub-grantees (if applying as an intermediary) in achieving the identified outcomes. (Up to 2 points)

## 3. **Project Design (up to 50 points)**

### **Evidence-Based and Evidence-Informed Interventions and Promising**

**Practices:** The extent to which the applicant clearly describes and justifies the use of the identified 1) evidence-based and evidence-informed interventions; 2) new interventions that theory or research suggests are promising; or 3) a combination of these types of practices that it proposes to implement directly, for non-intermediary organizations, or through sub-grantees, for intermediary organizations, in its project design to increase the employment outcomes for this population.

The extent to which the applicant clearly proposes a plausible model infused with a combination of service delivery components that are evidence-based or evidence-informed or are promising practices and provide a clear theory and credible empirical evidence to support its choice of model/components.

(Up to 10 points)

**Approaches and Methods:** The extent to which the applicant clearly describes the approaches and methods used to implement this program, as well as convincingly describes the strength of those approaches and their integration into the program model. The extent to which the applicant includes a clear and plausible description of the milestones associated with achieving major tasks and its ability to achieve outcomes and the credible and convincing explanation for why these strategies and approaches are superior to alternative strategies and approaches. The extent to which the proposed methods to provide services are clearly described. The extent to which the applicant provides a convincing description of how the proposed methods will lead to the stated outcomes.

(Up to 5 points)

**Project Timelines:** The extent to which the application reflects coherent and feasible timelines for completion of work. The extent to which the proposed support and assistance for staff or sub-grantees, if applicable, will lead to the achievement of the overarching work plan.

(Up to 5 points)

**Planning Phase:** The extent to which the applicant clearly describes and justifies a feasible plan for meeting the preliminary steps during the planning phase and assisting sub-grantees, as applicable, to meet these preliminary steps (hiring key staff: Director, Fiscal Manager, and Case Manager; securing locations to house the training; finalizing sub-grant agreements; meeting with any additional partners identified in the application to solidify partnerships; and ensuring readiness for inputting data into the DOL Workforce Integrated Performance system (WIPS), and any DOL provided Case-Management or Access Database system (if deemed applicable by DOL) and, if applying as an intermediary organization, assist sub-grantees to meet these preliminary steps.

(Up to 5 points)

**Work Plan:** The extent to which the applicant's detailed work plan (through the combination of the narrative description and graphic illustration) clearly and feasibly demonstrates how the project will operate through the funding period. The extent to which the work plan includes a clear and thorough description of all functions or activities in the application. The extent to which the applicant's work plan is feasible in assisting the applicant in accomplishing the REO goals and the WIOA primary indicator targets and collecting data to report on the WIOA primary performance indicators associated with this grant. The extent to which the work plan persuasively identifies potential barriers and means for overcoming them and any potential factors that might accelerate or delay the project, including clearly indicating the major tasks and assigning responsibilities for those major tasks. The extent to which the work plan clearly and logically identifies the roles and responsibilities of the applicant and each sub-grantee, if applicable.

(Up to 5 points)

**Employment-Focused Services:** The strength of the applicant's plan to provide employment-focused services to all program participants throughout their participation in the program. The extent to which the applicant describes and justifies the employment-focused service(s) that will be incorporated in the program model and includes at least one of the following approaches: registered, industry-recognized or pre-apprenticeship, work-based learning, or Career Pathways. The strength of the applicant's plan to integrate this component with the evidence-based and evidence-informed interventions, promising practices, or combination of the two identified above to lead to improved employment outcomes for program participants.

(Up to 10 points)

**Case Management and Legal Services:** The strength of the applicant's plan to ensure that staff or sub-grantees, as applicable, provide a case management and

legal services component at the time of enrollment and continuing through participation in the program and follow-up services, including:

- Clearly identifying and convincingly justifying how the services will be provided (direct, contracted, or through other organization collaboration). If applying as an intermediary, that the extent to which this information is clearly identified and convincingly justified for each subgrantee;
- Clearly identifying and providing a convincing justification for the ratio of case managers to participants and how the case managers will act as advocates for program participants, including the frequency of their interactions;
- Clearly identifying and providing a convincing justification for the identified legal services that will be available to program participants and how these services will be provided;
- Clearly identifying, convincingly justifying, and clearly describing the evidence-informed types of case management services and/or activities provided; and
- Clearly demonstrating the applicant's clear and plausible commitment to provide case management services from the time of enrollment in the program, and continuing throughout the participant's participation in the program, including the follow-up period. The applicant's clear commitment to provide case management services and legal services is consistent with WIOA's regulations and guidance.

(Up to 10 points)

**4. Organizational, Administrative, and Fiscal Capacity (up to 14 points)**

**Staff, Organizational Structure, and Multi-site Management:** The extent to which the applicant has clearly and convincingly demonstrated it has the capacity to carry out this proposed project, including a detailed description of:

- The applicant's current mission, structure, and relevant experience;
- If applying as an intermediary, the extent to which the applicant clearly provides:
  - A clear description of a feasible plan to manage multiple sites;
  - A clear description of each sub-grantee's current mission, structure, and relevant experience;
  - A convincing explanation of how these factors contribute to the ability of each sub-grantee to implement the proposed project;
- The extent to which the applicant details and connects management and staffing patterns to this project design;
- The strength of the experiences and capability of the applicant's organization to effectively implement and conduct this project and its requirements and meet program expectations, including the applicability of any previous experience implementing projects of similar design or magnitude;

- Any organizations under contract with the applicant that will have a significant role in the project. A clear and convincing demonstration that the applicant has the programmatic capability, if applicable, to serve justice-involved individuals;
- A clear and convincing demonstration that the organization has the fiscal and administrative controls needed to manage federal funds;
- The extent to which the applicant convincingly demonstrates the organization's capability to sustain some or all of the project activities after Federal financial assistance ends; and
- The extent to which the applicant clearly and convincingly demonstrates the intermediary's capability to support and sustain some or all sub-grantee projects, if applicable.

(Up to 6 points)

**Non-intermediary Applicants**

**Partnerships:** The strength of the applicant's strategy to partner and collaborate with additional organizations to support the program model and lead to the identified outcomes. (Up to 4 points)

**Commitments:** The strength of identified partnerships as exemplified through the Letters of Commitment or Memoranda of Understanding between the applicant and each identified partner. (Up to 4 points)

**Intermediary Organization Applicants**

**Sub-Grantee Partnerships:** The strength of the applicant's strategy for ensuring that sub-grantees will partner and collaborate with additional organizations to support the program model and lead to the identified outcomes. (Up to 4 points)

**Sub-Grantee Commitments:** The strength of the collaboration between the applicant and its sub-grantees as exemplified through the Letters of Commitment or Memoranda of Understanding between the applicant and each sub-grantee. (Up to 4 points)

**5. Past Performance – Programmatic Capability (up to 11 points)**

**PREVIOUSLY-FUNDED REO APPLICANTS**

**a) Performance Goals:**

**i] Placement in Education or Employment (Maximum 4 points):**

- Previously-funded REO applicants with weighted placement rates of 60.00 percent or higher will receive 4 points for this subsection.
- Previously-funded REO applicants with weighted placement rates of 55.00 percent - 59.99 percent will receive 3 points for this subsection.
- Previously-funded REO applicants with weighted placement rates of 45.00 percent - 54.99 percent will receive 2 points for this subsection.
- Previously-funded REO applicants with weighted placement rates of 35.00 percent - 44.99 percent will receive 1 point for this subsection.

- Previously-funded REO applicants with weighted placement rates of 34.99 percent or below will receive 0 points for this subsection.

ii] Certificate/Degree Attainment (Maximum 4 points):

- Previously-funded REO applicants with weighted certificate/degree attainment rates of 60.00 percent or higher will receive 4 points for this subsection.
- Previously-funded REO applicants with weighted certificate/degree attainment rates of 55.00 percent – 59.99 percent will receive 3 points for this subsection.
- Previously-funded REO applicants with weighted certificate/degree attainment rates of 45.00 percent - 54.99 percent will receive 2 points for this subsection.
- Previously-funded REO applicants with weighted certificate/degree attainment rates of 35.00 percent - 44.99 percent will receive 1 point for this subsection.
- Previously-funded REO applicants with weighted certificate/degree attainment rates of 34.99 percent or below will receive 0 points for this subsection.

b) Spending Rate Analysis (Maximum 3 points):

During the original period of performance:

- Previously-funded REO applicants that expended at least 98 percent of the grant funds for their most recently completed grant will receive 3 points.
- Previously-funded REO applicants that expended at least 90 percent but less than 98 percent of the grant funds for their most recently completed grant will receive 2 points.
- Previously-funded REO applicants that expended at least 80 percent but less than 90 percent of the grant funds for their most recently completed grant will receive 1 points.
- Previously-funded REO applicants that expended less than 80 percent of their grant funds for their most recently completed grant will receive 0 points.

NEW APPLICANTS

All new applicants must provide a performance chart as specified in Section IV.B.3.e (Past Performance – Programmatic Capability). **Applicants that do not provide all of the following will receive 0 points for subsections a-b below:**

- **Performance chart;**
- **Previous grantor contact information; and**
- **An associated grantor verification letter on grantor letterhead.**

**See Section IV.B.5 for additional information.**

a) Performance Goals (Maximum 8 points)

- New applicants that met or exceeded both performance goals for their most recently completed grant will receive 8 points for this subsection.
- New applicants that met or exceeded one performance goal but did not meet the other performance goal will receive 4 points for this subsection.
- New applicants that did not meet either performance goal will receive 0 points for this subsection.

b) Spending Rate Analysis (Maximum 3 points)

During the original period of performance:

- New applicants that expended at least 98 percent of the grant funds for their most recently completed grant will receive 3 points.
- New applicants that expended at least 90 percent but less than 98 percent of the grant funds for their most recently completed grant will receive 2 points.
- New applicants that expended at least 80 percent but less than 90 percent of the grant funds for their most recently completed grant will receive 1 points.
- New applicants that expended less than 80 percent of the grant funds for their most recently completed grant will receive 0 points.

**6. Budget and Budget Justification (up to 5 points)**

The extent to which the reasonableness of the budget is shown by:

The extent to which the budget narrative provides a detailed description of costs associated with each line item on the SF-424A. It should also include a description of leveraged resources provided (as applicable) to support grant activities. (3 points)

The extent to which the SF-424a and budget narrative totals align and total correctly. (2 points)

**Priority Consideration: Apprenticeship Model (2 bonus points)**

The Department is especially interested in program models that offer apprenticeship opportunities. Under the June 15, 2017 Presidential Executive Order on Expanding Apprenticeships in America, it is the policy of the Federal Government to provide more affordable pathways to secure high paying jobs by promoting apprenticeships and effective workforce development programs. Applicants proposing to implement an apprenticeship model will receive an additional full 2 points for priority consideration. Applicants must identify the industry in which the

apprenticeship will take place. This information must be described in the Project Design section of the application.

## **B. REVIEW AND SELECTION PROCESS**

### **1. Merit Review and Selection Process**

A technical merit review panel will carefully evaluate applications against the selection criteria to determine the merit of applications. These criteria are based on the policy goals, priorities, and emphases set forth in this FOA. Up to 100 points may be awarded to an applicant, depending on the quality of the responses provided. The final scores (which may include the mathematical normalization of review panels) will serve as the primary basis for selection of applications for funding. The panel results are advisory in nature and not binding on the Grant Officer. The Grant Officer reserves the right to make selections based solely on the final scores or to take into consideration other relevant factors when applicable. Such factors may include the geographic distribution of funds for urban or rural areas served; and/or other relevant factors. The Grant Officer may consider any information that comes to his/her attention.

The government may elect to award the grant(s) with or without discussions with the applicant. Should a grant be awarded without discussions, the award will be based on the applicant's signature on the SF-424, including electronic signature via E-Authentication on <https://www.grants.gov>, which constitutes a binding offer by the applicant.

### **2. Risk Review Process**

Prior to making an award, ETA will review information available through its own records and any OMB-designated repository of government-wide eligibility qualification or financial integrity information, such as Federal Awardee Performance and Integrity Information System (FAPIIS), Dun and Bradstreet, and "Do Not Pay." Additionally, ETA will comply with the requirements of 2 CFR Part 180 codified by DOL at 29 CFR Part 98 [Government-wide Debarment and Suspension (Non-procurement)]. This risk evaluation may incorporate results of the evaluation of the applicant's eligibility (application screening) or the quality of its application (merit review). If ETA determines that an award will be made, special conditions that correspond to the degree of risk assessed may be applied to the award. Criteria to be evaluated include:

- (1) Financial stability;
- (2) Quality of management systems and ability to meet the management standards prescribed in the Uniform Grant Guidance;
- (3) History of performance. The applicant's record in managing awards, cooperative agreements, or procurement awards, if it is a prior recipient of such Federal awards, including timeliness of compliance with applicable reporting requirements and, if applicable, the extent to which any previously awarded amounts will be expended prior to future awards;

- (4) Reports and findings from audits performed under Subpart F – Audit Requirements of the Uniform Grant Guidance or the reports and findings of any other available audits and monitoring reports containing findings, issues of non-compliance or questioned costs;
- (5) The applicant’s ability to effectively implement statutory, regulatory, or other requirements imposed on recipients.

NOTE: As part of the Employment & Training Administration’s Risk Review process, The Grant Officer will determine:

- If the applicant had any restriction on spending for any ETA grant due to adverse monitoring findings ; or
- If the applicant received a High Risk determination in accordance with Training and Employment Guidance Letter (TEGL) 23-15.

Depending on the severity of the findings and whether the findings were resolved, the Grant Officer may at his/her discretion, elect to not fund the applicant for a grant award regardless of the applicant’s score in the competition.

## **VI. AWARD ADMINISTRATION INFORMATION**

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### **A. AWARD NOTICES**

All award notifications will be posted on the ETA Homepage (<https://www.doleta.gov>). Applicants selected for award will be contacted directly before the grant’s execution. Non-selected applicants will be notified by mail or email and may request a written debriefing on the significant weaknesses of their application.

Selection of an organization as a recipient does not constitute approval of the grant application as submitted. Before the actual grant is awarded, we may enter into negotiations about such items as program components, staffing and funding levels, and administrative systems in place to support grant implementation. If the negotiations do not result in a mutually acceptable submission, the Grant Officer reserves the right to terminate the negotiations and decline to fund the application. We reserve the right to not fund any application related to this FOA.

### **B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

#### **1. Administrative Program Requirements**

All grantees will be subject to all applicable Federal laws, regulations—including the OMB Uniform Guidance, and the terms and conditions of the award. The grant(s) awarded under this FOA will be subject to the following administrative standards and provisions:

- a. Non-Profit Organizations, Educational Institutions, For-profit entities and State, Local and Indian Tribal Governments – 2 CFR Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards) and 2 CFR 2900 (DOL’s Supplement to 2 CFR Part 200)

- b. All recipients must comply with the applicable provisions of the Workforce Innovation and Opportunity Act (WIOA), Public Law No. 113-328, 128 Stat. 1425 (codified as amended at 29 U.S.C. 3101 et seq.) and the applicable provisions of the regulations at 20 CFR 675 et seq. Note that 20 CFR part 683 (Administrative Provisions) allows unsuccessful applicants to file administrative appeals.
- c. All entities must comply with 29 CFR Part 93 (New Restrictions on Lobbying), 29 CFR Part 94 (Governmentwide Requirements for Drug-Free Workplace (Financial Assistance)), 29 CFR Part 98 (Governmentwide Debarment and Suspension, and drug-free workplace requirements), and, where applicable, 2 CFR Part 200 (Audit Requirements).
- d. 29 CFR Part 2, subpart D—Equal Treatment in Department of Labor Programs for Religious Organizations; Protection of Religious Liberty of Department of Labor Social Service Providers and Beneficiaries.
- e. 29 CFR Part 31—Nondiscrimination in Federally Assisted Programs of the Department of Labor—Effectuation of Title VI of the Civil Rights Act of 1964.
- f. 29 CFR Part 32—Nondiscrimination on the Basis of Handicap in Programs or Activities Receiving Federal Financial Assistance.
- g. 29 CFR Part 35— Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance from the Department of Labor.
- h. 29 CFR Part 36—Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance.
- i. 29 CFR Part 38 – Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Innovation and Opportunity Act.
- j. 29 CFR Parts 29 and 30—Labor Standards for the Registration of Apprenticeship Programs, and Equal Employment Opportunity in Apprenticeship and Training, as applicable.
- k. General Terms and Conditions of Award—See the following link: <https://www.doleta.gov/grants/resources.cfm>

## 2. Other Legal Requirements:

### *a) Religious Activities*

The Department notes that the Religious Freedom Restoration Act (RFRA), 42 U.S.C. Section 2000bb, applies to all Federal law and its implementation. If an applicant organization is a faith-based organization that makes hiring decisions on the basis of religious belief, it may be entitled to receive Federal financial assistance under this grant solicitation and maintain that hiring practice. If a faith-based organization is awarded a grant, the organization will be provided with more information.

***b) Lobbying or Fundraising the U.S. Government with Federal Funds***

In accordance with Section 18 of the Lobbying Disclosure Act of 1995 (Public Law 104-65) (2 U.S.C. 1611), non-profit entities incorporated under Internal Revenue Service Code Section 501(c) (4) that engage in lobbying activities are not eligible to receive Federal funds and grants. No activity, including awareness-raising and advocacy activities, may include fundraising for, or lobbying of, U.S. Federal, State or Local Governments (see 2 CFR 200.450 for more information).

***c) Transparency Act Requirements***

You must ensure that you have the necessary processes and systems in place to comply with the reporting requirements of the Federal Funding Accountability and Transparency Act of 2006 (Pub. Law 109-282, as amended by section 6202 of Pub. Law 110-252) (Transparency Act), as follows:

- Except for those excepted from the Transparency Act under sub-paragraphs 1, 2, and 3 below, you must ensure that you have the necessary processes and systems in place to comply with the subaward and executive total compensation reporting requirements of the Transparency Act, should they receive funding.
- Upon award, you will receive detailed information on the reporting requirements of the Transparency Act, as described in 2 CFR Part 170, Appendix A, which can be found at the following website:  
<https://edocket.access.gpo.gov/2010/pdf/2010-22705.pdf>

The following types of awards are not subject to the Federal Funding Accountability and Transparency Act:

- (1) Federal awards to individuals who apply for or receive Federal awards as natural persons (i.e., unrelated to any business or non-profit organization he or she may own or operate in his or her name);
- (2) Federal awards to entities that had a gross income, from all sources, of less than \$300,000 in the entities' previous tax year; and
- (3) Federal awards, if the required reporting would disclose classified information.

***d) Safeguarding Data Including Personally Identifiable Information (PII)***

Applicants submitting applications in response to this FOA must recognize that confidentiality of PII and other sensitive data is of paramount importance to the Department of Labor and must be observed except where disclosure is allowed by the prior written

approval of the Grant Officer or by court order. By submitting an application, you are assuring that all data exchanges conducted through or during the course of performance of this grant will be conducted in a manner consistent with applicable Federal law and TEGL NO. 39-11 (issued June 28, 2012). All such activity conducted by ETA and/or recipient/s will be performed in a manner consistent with applicable state and Federal laws.

By submitting a grant application, you agree to take all necessary steps to protect such confidentiality by complying with the following provisions that are applicable in governing their handling of confidential information:

1. You must ensure that PII and sensitive data developed, obtained, or otherwise associated with DOL/ETA funded grants is securely transmitted.
2. To ensure that such PII is not transmitted to unauthorized users, all PII and other sensitive data transmitted via e-mail or stored on CDs, DVDs, thumb drives, etc., must be encrypted using a Federal Information Processing Standards (FIPS) 140-2 compliant and National Institute of Standards and Technology (NIST) validated cryptographic module. You must not e-mail unencrypted sensitive PII to any entity, including ETA or contractors.
3. You must take the steps necessary to ensure the privacy of all PII obtained from participants and/or other individuals and to protect such information from unauthorized disclosure. You must maintain such PII in accordance with the ETA standards for information security described in TEGL NO. 39-11 and any updates to such standards we provide to you. Grantees who wish to obtain more information on data security should contact their Federal Project Officer.
4. You must ensure that any PII used during the performance of your grant has been obtained in conformity with applicable Federal and state laws governing the confidentiality of information.
5. You further acknowledge that all PII data obtained through your ETA grant must be stored in an area that is physically safe from access by unauthorized persons at all times and the data will be processed using recipient issued equipment, managed information technology (IT) services, and designated locations approved by ETA. Accessing, processing, and storing of ETA grant PII data on personally owned equipment, at off-site locations e.g., employee's home, and non-recipient managed IT services, e.g., Yahoo mail, is strictly prohibited unless approved by ETA.
6. Your employees and other personnel who will have access to sensitive/confidential/proprietary/private data must be

advised of the confidential nature of the information, the safeguards required to protect the information, and that there are civil and criminal sanctions for noncompliance with such safeguards that are contained in Federal and state laws.

7. You must have policies and procedures in place under which your employees and other personnel, before being granted access to PII, acknowledge their understanding of the confidential nature of the data and the safeguards with which they must comply in their handling of such data as well as the fact that they may be liable to civil and criminal sanctions for improper disclosure.
8. You must not extract information from data supplied by ETA for any purpose not stated in the grant agreement.
9. Access to any PII created by the ETA grant must be restricted to only those employees of the grant recipient who need it in their official capacity to perform duties in connection with the scope of work in the grant agreement.
10. All PII data must be processed in a manner that will protect the confidentiality of the records/documents and is designed to prevent unauthorized persons from retrieving such records by computer, remote terminal or any other means. Data may be downloaded to, or maintained on, mobile or portable devices only if the data are encrypted using NIST validated software products based on FIPS 140-2 encryption. In addition, wage data may only be accessed from secure locations.
11. PII data obtained by the recipient through a request from ETA must not be disclosed to anyone but the individual requestor except as permitted by the Grant Officer or by court order.
12. You must permit ETA to make onsite inspections during regular business hours for the purpose of conducting audits and/or conducting other investigations to assure that you are complying with the confidentiality requirements described above. In accordance with this responsibility, you must make records applicable to this Agreement available to authorized persons for the purpose of inspection, review, and/or audit.
13. You must retain data received from ETA only for the period of time required to use it for assessment and other purposes, or to satisfy applicable Federal records retention requirements, if any. Thereafter, you agree that all data will be destroyed, including the degaussing of magnetic tape files and deletion of electronic data.

***e) Record Retention***

You must follow Federal guidelines on record retention, which require you to maintain all records pertaining to grant activities for a period of at least three years from the date of submission of the final expenditure report. See 2 CFR 200.333-.337 for more specific

information, including information about the start of the record retention period for awards that are renewed quarterly or annually, and when the records must be retained for more than three years.

***f) Use of Contracts and Subawards***

You must abide by the following definitions of contract, contractor, subaward, and subrecipient:

**Contract:** Contract means a legal instrument by which a non-Federal entity (defined as a state, local government, Indian tribe, institution of higher education (IHE), nonprofit organization, for-profit entity, foreign public entity, or a foreign organization that carries out a Federal award as a recipient or subrecipient) purchases property or services needed to carry out the project or program under a Federal award. The term as used in this FOA does not include a legal instrument, even if the non-Federal entity considers it a contract, when the substance of the transaction meets the definition of a Federal award or subaward (see definition of Subaward below).

**Contractor:** Contractor means an entity that receives a contract as defined above in Contract.

**Subaward:** Subaward means an award provided by a pass-through entity (defined as a non-Federal entity that provides a subaward to a subrecipient to carry out part of a Federal program) to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

**Subrecipient:** Subrecipient means a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program; but does not include an individual that is a beneficiary of such program. A subrecipient may also be a recipient of other Federal awards directly from a Federal awarding agency.

You must follow the provisions at 2 CFR 200.330-.332 regarding subrecipient monitoring and management. Also see 2 CFR 200.308(c)(6) regarding prior approval requirements for subawards. When awarding subawards, you are required to comply with provisions on governmentwide suspension and debarment found at 2 CFR Part 180 and codified by DOL at 29 CFR Part 98.

***g) Closeout of Grant Award***

Any entity that receives an award under this Announcement must close its grant with ETA at the end of the final year of the grant. Information about this process may be found in ETA's Grant Closeout FAQ located at <https://www.doleta.gov/grants/docs/GCFAQ.pdf>.

### **3. Other Administrative Standards and Provisions**

Except as specifically provided in this FOA, our acceptance of an application and an award of Federal funds to sponsor any programs(s) does not provide a waiver of any grant requirements and/or procedures. For example, the OMB Uniform Guidance requires that an entity's procurement procedures ensure that all procurement transactions are conducted, as much as practical, to provide full and open competition. If an application identifies a specific entity to provide goods or services, the award does not provide the justification or basis to sole source the procurement, i.e., avoid competition.

### **4. Special Program Requirements**

#### ***a) ETA Evaluation***

As a condition of grant award, grantees are required to participate in an evaluation if undertaken by DOL. The evaluation may include an implementation assessment across grantees, an impact and/or outcomes analysis of all or selected sites within or across grantees, and a benefit/cost analysis or assessment of return on investment. Conducting an impact analysis could involve random assignment (which involves random assignment of eligible participants into a treatment group that would receive program services or enhanced program services, or into control group(s) that would receive no program services or program services that are not enhanced). We may require applicants to collect data elements to aid the evaluation. As a part of the evaluation, as a condition of award, grantees must agree to: (1) make records available to the evaluation contractor on: participants, employers, and funding; (2) provide access to the program's operating personnel, site participants, and operational and financial records, and any other pertaining documents to calculate program costs and benefits; and (3) in the case of an impact analysis, facilitate or support as requested the assignment by lottery of participants to program services (i.e. treatment group) or to the control group (i.e., no program services), (including the possible increased recruitment of potential participants); and (4) follow evaluation procedures as specified by the national evaluator evaluation contractor under the direction of DOL.

We also require that the program or project participate in an evaluation of overall performance of ETA grants and require the cooperation of the recipient as a condition of award.

#### ***b) Performance Goals***

Please note that applicants will be held to outcomes provided and failure to meet those outcomes may result in technical assistance or

other intervention by ETA, and may also have a significant impact on decisions about future grants with ETA.

**C. REPORTING**

You must meet DOL reporting requirements. Specifically, you must submit the reports and documents listed below to DOL electronically:

**1. Quarterly Financial Reports**

A Quarterly Financial Status Report (ETA 9130) is required until such time as all funds have been expended or the grant period has expired. Quarterly reports are due 45 days after the end of each calendar year quarter. On the final Financial Status Report, you must include any subaward amounts so we can calculate final indirect costs, if applicable. You must use DOL's Online Electronic Reporting System and information and instructions will be provided to grantees. For other guidance on ETA's financial reporting, reference Training and Employment Guidance Letter (TEGL) 02-16 and on our webpage at [https://www.doleta.gov/grants/financial\\_reporting.cfm](https://www.doleta.gov/grants/financial_reporting.cfm).

**2. Quarterly Performance Reports**

You must submit a quarterly progress report within 45 days after the end of each calendar year quarter. The report must include quarterly information on grant activities, performance goals, the WIOA Primary Indicators of Performance, and milestones. The last quarterly progress report will serve as the grant's Final Performance Report. This report must provide both quarterly and cumulative information on the grant activities. It must summarize project activities, employment outcomes and other deliverables, and related results of the project, and must thoroughly document the training or labor market information approaches that you used. All REO grantees are directed to request participants' social security numbers (SSNs). However, while REO grantees are required to request participants' SSNs, participants cannot be denied services if they choose to not disclose a SSN. Submission requirements will be provided to grantees upon award. We will also provide you with guidance about the data and other information that is required to be collected and reported on either a regular basis or special request basis.

**VII. AGENCY CONTACTS**

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For further information about this FOA, please contact Aiyana Pucci, Grants Management Specialist, Office of Grants Management, at (202) 693-3403. Applicants should e-mail all technical questions to [pucci.aiyana@dol.gov](mailto:pucci.aiyana@dol.gov) and must specifically reference FOA-ETA-18-02, and along with question(s), include a contact name, fax and phone number. This Announcement is available on the ETA Web site at <https://www.doleta.gov/grants> and at <https://www.grants.gov>.

## VIII. OTHER INFORMATION

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### A. **WEB-BASED RESOURCES**

DOL maintains a number of web-based resources that may be of assistance to applicants. For example, the CareerOneStop portal (<https://www.careeronestop.org>), which provides national and state career information on occupations; the Occupational Information Network (O\*NET) Online (<https://online.onetcenter.org>) which provides occupational competency profiles; and America's Service Locator (<https://www.servicelocator.org>), which provides a directory of our nation's One-Stop Career Centers. Information specific to WIOA can be found on the Innovation and Opportunity Network (<https://ion.workforcegps.org/>) and on the DOL ETA website (<http://www.doleta.gov/wioa>). TEGL No.10-16 provides sub-regulatory guidance on the requirements set forth in the Workforce Innovation and Opportunity Act (WIOA), related to the implementation and operation of the performance accountability system under section 116 of WIOA and the implementing joint regulations in 20 CFR part 677 (and reprinted in 34 CFR parts 361 and 463). As explained further in this guidance, developed jointly by the U.S. Departments of Labor (DOL) and Education (ED)(Departments), WIOA requires all States and direct grantees of the Departments to collect and report information on all the participants described in this TEG.

### B. **INDUSTRY COMPETENCY MODELS AND CAREER CLUSTERS**

ETA supports an Industry Competency Model Initiative to promote an understanding of the skill sets and competencies that are essential to an educated and skilled workforce. A competency model is a collection of competencies that, taken together, define successful performance in a particular work setting. Competency models serve as a starting point for the design and implementation of workforce and talent development programs. To learn about the industry-validated models visit the Competency Model Clearinghouse (CMC) at <https://www.careeronestop.org/CompetencyModel>. The CMC site also provides tools to build or customize industry models, as well as tools to build career ladders and career lattices for specific regional economies.

### C. **WORKFORCEGPS RESOURCES**

We encourage you to view the information gathered through the conference calls with Federal agency partners, industry stakeholders, educators, and local practitioners. The information on resources identified can be found on WorkforceGPS at: <https://workforcegps.org>.

We encourage you to view the online tutorial, "Grant Applications 101: A Plain English Guide to ETA Competitive Grants," available through WorkforceGPS at: <https://strategies.workforcegps.org/resources/2014/08/11/16/32/applying-for-eta-competitive-grants-a-web-based-toolkit-for-prospective-applicants-438?p=1>.

We created Workforce System Strategies to make it easier for the public workforce system and its partners to identify effective strategies and support improved customer outcomes. The collection highlights strategies informed by a wide range of evidence such as experimental studies and implementation evaluations, as well as supporting

resources such as toolkits. We encourage you to review these resources by visiting <https://strategies.workforcegps.org>.

We created a technical assistance portal at <https://www.workforcegps.org/resources/browse?id=b8dd0aa1ecfb4b2282d6cd30c7248790> that contains online training and resources for fiscal and administrative issues. Online trainings available include, but are not limited to, Introduction to Grant Applications and Forms, Indirect Costs, Cost Principles, and Accrual Accounting.

**D. SKILLSCOMMONS RESOURCES**

SkillsCommons (<https://www.skillscommons.org>) offers an online library of curriculum and related training resources to obtain industry-recognized credentials in manufacturing, IT, healthcare, energy, and other industries. The website contains thousands of Open Educational Resources (OER ) for job-driven workforce development which were produced by grantees funded through the US Department of Labor’s Trade Adjustment Assistance Community College and Career Training (TAACCCT) program. Community colleges and other training providers across the nation can reuse, revise, redistribute, and reorganize the OER on SkillsCommons for institutional, industry, and individual use.

**E. DEFINITIONS OF EVIDENCE-BASED AND EVIDENCE-INFORMED INTERVENTIONS**

For the purpose of this FOA, the Department has developed definitions for “Evidence-Based Interventions” and “Evidence-Informed Interventions.”

Evidence-based interventions are approaches to prevention or treatments that are validated by documented scientific evidence from randomized controlled trials or from quasi-experimental or correlational studies and that show positive employment effects (for randomized controlled trials and quasi-experimental studies) or favorable associations (for correlational studies) on the primary targeted outcomes for populations or settings similar to those of the proposed pilot. The best evidence to support an applicant’s proposed program design is one or more randomized controlled trials. The next best evidence will be studies using a strong quasi-experimental design. Correlational analysis may also be used as evidence to support an applicant’s proposed program design if the correlational research had strong statistical controls for selection bias and for discerning the influence of internal factors.

Evidence-informed interventions bring together the best available research, professional expertise, and input from the target population to identify and deliver services that have promise to achieve positive outcomes for the target population.

Resources that may be helpful in identifying evidence-based and evidence-informed models and components include but are not limited to:

- <http://whatworks.csgjusticecenter.org/focus-area/employment-topic>
- <http://www.crimesolutions.gov/TopicDetails.aspx?ID=36>
- <http://clear.dol.gov/>
- <http://findyouthinfo.gov/>

- <http://www.ojjdp.gov/mpg/>
- <http://www.blueprintsprograms.com/>
- <http://strategies.workforce3one.org/>
- <http://employmentstrategies.acf.hhs.gov/>

Models may include but are not limited to:

- Cognitive Behavioral Interventions
- Family reunification
- Gang prevention, e.g., cease fire model
- Mentoring
- Pre-Apprenticeship
- Risk Recidivism Models
- Satellite American Job Centers (One-Stop Centers) in Detention or Secure Confinement facilities
- Sector Strategies

**F. DIRECTIONS FOR USING THE AMERICAN COMMUNITY SURVEY DATA TO IDENTIFY POVERTY LEVEL OF COUNTY TARGET AREA:**

1. Begin at the Census Bureau website at <http://www.census.gov>. (Note: The American Fact Finder does not support Microsoft Explorer.)
2. Sometimes there is a pop-up advertisement for Census Bureau products. If so, click on <X> to close the advertisement.
3. At the very bottom of the first page in the blue background under “Find Data,” click on <American Factfinder>.
4. On the American Factfinder page near the bottom of the page under “What We Provide,” click on <American Community Survey Get Data>.
5. On the American Community Survey page, under “Refine Your Search Results,” type in “S1701 2014 5-Year” then click on <Go>.
6. The following information will appear: “ID #: S1701” (Column 1); “Table, File or Document Title: POVERTY STATUS IN THE PAST 12 MONTHS” (Column 2); “Dataset: 2014 ACS 5-year estimates” (Column 3). Check the box for this data set.
7. On the left side of page, click on <Geographies>. The “Select Geographies” box will come up with four tabs: List, Name, Address, and Map.
8. Click the drop-down menu of Select a Geographic Type and select County-050.
9. Select a state
10. Select county(ies)
11. Click <Add To Your Selections>
12. Double click on <Map>. A map of North America will come up.
13. Along the right side of the map is a series of icons. The third, which resembles three layers of tiles, is called <Boundaries>. Click on it, then select the 4th choice, <County>. Make sure to click both boxes, then click on <Update> at the very bottom of the drop-down box.
14. After you click on <Update>, the map of your city will now display Census Tracts. You may need to close the <Boundaries> box to see the entire map.

15. You will probably need to zoom in on the map by clicking on the “+” at the top left of the map to make the Census Tract numbers legible. To pan around the map, click on the map and drag.
16. Click on the first icon on the right, which looks like an arrow pointing to a circle, called **<Select Geographies>**. Click on the down arrow under “**Select**” to open the pull-down menu, then select the 4th option, **<County >**.
17. Next, select the first of the four shape boxes under the pull-down menu, labeled **<select using a pointer>**. Your cursor now becomes a pointer.
18. Move your pointer over the map and click on each desired County to be included in your targeted service delivery area. To conform to grant requirements, the Counties that you select must be contiguous.
19. The selected Counties will appear gray on the map and be listed within the **<Select Geographies>** box, under the four shape boxes. To remove a Census Tract from the list, click on the blue **<X>**.
20. When you are satisfied with your selections, click on **<Add to Your Selections>** underneath the Census Tract listings. Your selected Census Tracts will now appear as yellow on the map.
21. Next, click on **<Topics>** located to the left of the map. A dialogue box will pop up. Just click on the **<X>** to close the dialogue box.
22. Then click on the title of the data file that you previously selected: **“Table, File or Document Title: POVERTY STATUS IN THE PAST 12 MONTHS”** (Column 2).
23. A table will display the poverty data for the County(ies) that you selected. Use only the first row of data showing overall poverty numbers for each County. Use the first column, the total population of the Census Tract and the third column, the population below poverty. Use the directional arrows on the top of the table to move from County to County.
24. Do not look at the poverty rate of each County. Rather, create your own table using Excel with a column showing the total population of each County and a column showing the number in poverty in each County. Add up each column and divide the total number in poverty in all of the Counties by the total population of all of the Counties to compute the poverty rate of the entire target community for each sub-grantee. Include this information in the “Poverty and Crime Rate Table” when you submit your application.
25. To save your work thus far, click on **<Bookmark/Save>** at the top of the table. You will be given two choices – to either “Create Bookmark” or to “Save Query.” You may as well do both. First, copy the URL provided in the dialogue box and create a bookmark using your browser’s “Bookmarks” menu and the URL. Second, select **<Save Query>**. Click on **<Save>** when given the prompt and you will be given the chance to browse your computer’s files to get to the location where you want to save your work just as you would if you were saving any other document. Then hit **<Save>**.
26. If the overall poverty rates of the Counties you selected for each sub-grantee is above 30 percent, you are done. You do not need to submit the map with your application, but you may need to use the zoom feature of the map at a later date to identify the streets that serve as the boundaries of the target area. In almost all cases streets forming the boundaries of Counties will be shown if you zoom in close

enough. In a few cases the map will not show the name of a particular street and you will have to use a street map or actually drive through the target area to identify the boundary street.

27. If the overall poverty rate of the County you selected is less than 30 percent, you may choose to go back and add or delete Counties. At the top right of the page with your table, click on **<Back to Advanced Search>**. This will take you back to the page with the **“Your Selections”** box. Below the **“Your Selections”** box, click on **<Geographies>**. Then, at the top of the “Geographies” page, click on **<Maps>**. This will take you back to the map that you have been working on. Repeat Steps 11 and 14.
28. You can proceed to add Counties by clicking on additional points on the map and clicking on **<Add to Your Selections>**. To delete a County, simply click on the red **<X>** next to the desired Census Tract in the **“Your Selections”** box. As you add and delete Counties, the Counties included in the target area must remain contiguous.
29. Once you have added and deleted any desired Counties, repeat steps 19 through 22 to access the table showing the poverty rates of your new set of Counties. Again, click on **<Bookmark>** at the top of the table and select both **“Create Bookmark”** and **“Save Query”** to save your work.

To retrieve a Bookmark after you have saved it, simply go to your “Favorites” bar and click on the item. To retrieve a Query, go to: [www.Census.gov](http://www.Census.gov). On the bottom of the Census Bureau home page in the blue background under “Find Data,” click on **<American Factfinder>**. Then, in the bottom right hand corner of the American Fact Finder home page, click on **<Load Query>** and then click on the **<Browse>** prompt to find the work that you saved on your computer

### **G. REENTRY RESOURCES**

The Council of State Governments (CSG) Justice Center, in collaboration with the Center for Employment Opportunities, the U.S. Departments of Labor and Justice, and the Annie E. Casey Foundation, recently released a white paper on integrating reentry and employment strategies using a resource allocation and service-matching tool. The white paper introduces the Resource Allocation and Service-Matching Tool, which is based on two key dimensions—an individual’s risk of reoffending (criminogenic risk) and job-readiness.

There are four groupings that result from assessing individuals under correctional control along these dimensions. Each group can be assigned a combination of employment program components and service delivery strategies that are tailored to individuals’ risk for criminal activity and complemented by corrections interventions. For more information on this tool, the white paper can be found at <http://csgjusticecenter.org/wp-content/uploads/2013/09/Final.Reentry-and-Employment.pp.pdf>.

### **H. Industry-Recognized Credentials**

US Employment and Training Administration, Labor Market Research  
<https://doleta.gov/taaccct/pdf/presenters/Bosworth-Frugoli.pdf>

The Credential Resource Guide: The purpose of this Credential Resource Guide is to provide information on the types of credentials available to workforce program participants and explain how they can acquire and leverage these credentials to build lasting careers. Located at: <https://wdr.doleta.gov/directives/attach/TEGL15-10a2.pdf>

## **IX. OMB INFORMATION COLLECTION**

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OMB Information Collection No 1225-0086, Expires May 31, 2019.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 20 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

Send comments about the burden estimated or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, to the attention of the Departmental Clearance Officer, 200 Constitution Avenue NW, Room N1301, Washington, DC 20210. Comments may also be emailed to [DOL\\_PRA\\_PUBLIC@dol.gov](mailto:DOL_PRA_PUBLIC@dol.gov).

**PLEASE DO NOT RETURN YOUR GRANT APPLICATION TO THIS ADDRESS. ONLY SEND COMMENTS ABOUT THE BURDEN CAUSED BY THE COLLECTION OF INFORMATION TO THIS ADDRESS. SEND YOUR GRANT APPLICATION TO THE SPONSORING AGENCY AS SPECIFIED EARLIER IN THIS ANNOUNCEMENT.**

This information is being collected for the purpose of awarding a grant. DOL will use the information collected through this "Funding Opportunity Announcement" to ensure that grants are awarded to the applicants best suited to perform the functions of the grant. This information is required to be considered for this grant.

Signed April 4, 2018, in Washington, D.C. by:  
Melissa Abdullah  
Grant Officer, Employment and Training Administration