

# Workforce Innovation Fund Limited Competition Opportunity

## I. Background

This Funding Opportunity Announcement (FOA) will use approximately \$34 million in Workforce Innovation Fund (WIF) grants to promote system reforms and innovations that facilitate cooperation across programs to improve employment outcomes, cost effectiveness, and delivery of customer-centered services to job seekers, youth and employers. Awarded grants will focus on Job-Driven system alignment and implementation of a fully integrated workforce development system. It is designed to complement other federal efforts such as the implementation of the President's Job-Driven Training Agenda, Job-Driven National Emergency Grants (NEG), and previous rounds of WIF grants. Additional information on the President's Job-Driven Training Agenda is available at [https://www.whitehouse.gov/sites/default/files/skills\\_report\\_072014\\_2.pdf](https://www.whitehouse.gov/sites/default/files/skills_report_072014_2.pdf). Additional information on the WIF can be found at [http://www.doleta.gov/workforce\\_innovation](http://www.doleta.gov/workforce_innovation).

## II. Award Information

*Announcement Type:* Initial

*Catalog of Federal Domestic Assistance (CFDA) Number:* 17.283

*Funding Opportunity Number:* FOA-ETA-15-10

*Eligibility Requirements:* In order to be eligible to apply, applicants must act as (a) the state workforce agency responsible for administering title I of the WIA/WIOA i.e., Adult, Youth and Dislocated Worker Programs; or (b) a current grantee under the WIA/WIOA Section 166 Indian and Native American Program.

*Amounts:* ETA will accept proposals ranging from \$3 to \$6 million. Applicants must dedicate 15 percent of grant funds to support evaluation activities.

*Timing:* Funds will be awarded no later than September 30, 2015 with a period of performance end date of September 30, 2019. The 48-month period of performance will include up to 12 months for start-up activities, at least 24 months for implementation, and up to 12 months for completing the evaluation.

*Number of applications:* States may submit only one application in response to this request. If multiple applications are submitted, the most recently submitted, timely, and responsive application will be considered.

*Evaluation:* As with the prior WIF grants, all grantees in this round are required to evaluate the effectiveness of their project, using part of their budgets for an independent evaluation. The purpose of the evaluation is to ensure that states gain meaningful information about whether their approach worked well and which aspects worked best, and to inform other states' future workforce system changes. This round of projects will focus on exploring

innovative service delivery or system reforms through non-experimental means (similar to the methodology in “Type A” projects in earlier rounds).<sup>1</sup> The projects can be related to innovative strategies or interventions, whether new, expanded in size, scope or scale, or significantly changed from what was previously tested or implemented, either by the applicant or others. All projects will still need to be based on a “logic model” and proposals also will need to include a short Preliminary Evaluation Design, Budget and Procurement Plan (described in section below on required attachments). As in previous rounds of WIF grants, a qualified third-party evaluator must be used, and high-quality data and evaluation practices will continue to be required.

*Commitments:* By submitting an application under this funding opportunity, the applicant agrees to the assurances in Attachment A. Failure to conform to the assurances in Attachment A may result in adverse action up to and including grant termination.

### **III. WIF Round 3 Design Options**

ETA’s intent is to award grants for proposals that seek to establish innovative, integrated, customer-focused workforce development systems and services. The strategies proposed in response to this FOA must fall under one or more categories identified below in the WIF Round 3 Design Options. They must be innovative, relatively untested, and be potentially replicable in other States. Applicants from state workforce agencies administering WIOA title I represent one of the core programs under WIOA.<sup>2</sup> These applicants must put forward strategies that include at least two additional core programs under the WIOA, which include the Wagner-Peyser Employment Service; the Adult Education and Family Literacy Act Program; and the Vocational Rehabilitation Program authorized under Title I of the Rehabilitation Act of 1973. In addition, applicant strategy must include at least one non- core program such as the Jobs for Veterans State Grants Program, the Carl D. Perkins Career and Technical Education Act of 2006, SNAP E&T, TANF and Apprenticeship. In cases where there are only two additional core programs included due to ongoing WIOA transition activities during the application period, the applicant will need to have a plan in place to engage the third partner in proposed strategies by the beginning of July, 2016, in alignment with the Workforce Innovation and Opportunity Act and State Plans that will be in effect at that time.

Applicants must submit a proposal, consistent with the job-driven strategies that address one or more of the following three objectives:

---

<sup>1</sup>Previous WIF grants followed a tiered evidence approach (which is not being used here) and permitted three types of evaluations and projects including: Type A: Process/implementation studies on new or emerging structural and/or service delivery ideas, with limited evidence of effectiveness; Type B: Quasi-experimental studies of promising ideas, adapting proven ideas not previously implemented (by the grantee) that have some evidence of their effectiveness; and Type C: Experimental studies, using random assignment, of approaches supported by strong evidence, previously implemented by the grantee, but adapted or implemented at a larger scale.

<sup>2</sup> See Section 3(13) of WIOA.

- 1) *Enhancing strategic collaboration and alignment of workforce development and partner programs to provide more effective services that are aligned to employer needs and local economic development activities. Examples include but are not limited to the following:*
  - Implementing strategies to ensure that workforce development activities across multiple programs are targeted to identified needs of employers in local or regional training programs through sector strategies and work-based learning opportunities such as: On-the-Job Training, Registered Apprenticeships, and customized training.
  - Creating coordinating collaboratives to house multiple sector partnerships that function across programs.
  - Coordinating across local workforce investment areas to implement cost-effective administration and operating practices, including practices for engaging with employers and ensuring that training and employment services are aligned with jobs that are in demand in the local area.
  - Implementing a comprehensive multi-agency training program with aligned funding sources that results in significant government cost savings and improves employment outcomes for underserved populations, such as Supplemental Nutrition Assistance Program Employment and Training (SNAP E&T) and Temporary Aid to Needy Families (TANF) participant, as well as low skilled and low wage job seekers.
  - Expanding employer commitments across multiple programs to work-based learning opportunities and/or commitment to hire program completers within specified industry sectors.
  
- 2) *Strengthening the quality of the American Job Center services provided by workforce and partner programs to individuals and employers. Examples include but are not limited to the following:*
  - Streamlining access for job-seekers, including the development of models to help individuals easily navigate and access different programs for which they are eligible, improve customer service, and improve informed consumer choice.
  - Development of broader and more consistent use of high quality skills assessment tools, case management methods, and career navigation services for job seekers across partner programs, including services specifically geared to populations served by partner programs, such as individuals with disabilities, individuals with basic skills development needs, veterans, or older workers.
  - Blending or braiding funds with common outcome goals, as allowed by federal and state policy, to achieve goals such as basic skills gains and entry into employer-linked training for low-skilled adults or clearly articulated career pathways leading to middle- and high-wage jobs.
  - New and enhanced approaches to improve coordination across programs and assure that supportive services (e.g., child care, transportation assistance, housing assistance) are routinely available, when necessary, to help individuals persist and succeed in

education and training, particularly by coordinating benefits across multiple social service agencies and one-stop partner programs.

- Aligning and enhancing services in order to improve participant outcomes, including the number of individuals completing programs with an industry-recognized certificate or degree and the number of individuals attaining basic skills leading to progress toward a degree or certificate.
- Measuring customer satisfaction with the American Job Center experience through a Net Promoter Score (NPS) or other mechanism.<sup>3</sup>
- Implement innovative outreach strategies to expand services which enhance business engagement with local and regional employers.
- Providing assistance to businesses in managing reductions in force (including early identification of firms at risk, assessment of the needs of and options, and the delivery of solutions.
- Proactively identifying opportunities for potential economic transition and training needs in growing industry sectors or expanding businesses.
- Linking with state or local economic development organizations to match business growth opportunities with available pools of skilled workers, including those currently dislocated or soon to be laid off.
- Reducing barriers that prevent individuals from seeking and receiving services from the workforce and related programs for which they are eligible.

3) *Promoting accountability, data-driven decision making and customer choice for workforce and partner programs. Examples include but are not limited to:*

- Designing common or linked technology-based intake and case management systems that allow for a seamless customer experience, effective support service provision, and help inform customers' choices.
- Expanding access to comprehensive information on providers, including on program outcomes that will enable both participants and employers to make more informed choices of education and / or training programs.

---

<sup>3</sup>The net promoter system or score, introduced in 2006, attempts to simplify customer feedback, quantify it, and use it to improve organizational performance (The “net promoter” system is described in Fred Reichheld with Rob Markey, *The Ultimate Question 2.0: How Net Promoter Companies Thrive in a Customer-Driven World* (Boston: Harvard Business Review Press, 2011, second edition). The net promoter URL is [www.netpromotersystem.com](http://www.netpromotersystem.com).)

- Linking or aligning data system performance accountability and data systems to support improved program management, performance reporting, and policy and resource allocation decisions across partner programs.
- Use of robust, validated data to inform planning, strategy development and operations across programs.

#### **IV. Application Process**

To be considered for this limited competition opportunity, you must submit an application package that includes the following required components: (1) Letter of Interest; (2) SF-424 “Application for Federal Assistance”; (3) Project Budget and Budget Narrative; and (4) Attachments.

Applications must be submitted either electronically on <http://www.grants.gov> or in hard copy by mail or by hand delivery (including overnight delivery). Applications submitted on Grants.gov must be successfully submitted no later than 4:00:00 p.m. Eastern Time on the closing date of July 23, 2015. Hard copy applications must be received at 200 Constitution Ave. NW, Room N-4716, Washington, DC 20210, no later than 4:00:00 p.m. Eastern Time on the closing date. Please note that applications should be submitted before the deadline 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. We strongly encourage applicants to review our Grant Application Tips at [http://www.doleta.gov/grants/Nonresponsive\\_Improvements\\_FAQs.cfm](http://www.doleta.gov/grants/Nonresponsive_Improvements_FAQs.cfm).

##### **1) Letter of Interest**

The letter of interest must be signed by the State Administrator for title I of WIOA or the Tribal Chair, as applicable. The letter of interest must be written in 12-point font with one inch margins and not exceed six single-spaced pages. The letter of interest must include the following components:

***Project Design and Logic Model:*** Applicants must describe the activities proposed for the project, its intermediate objectives, the specific goals the project is intended to accomplish and a brief statement as to why the project is innovative. The proposal must explain how the planned activities fit under one or more of the three broad options listed in the WIF Round 3 Design Options (described above in Section III) and how the requested grant funds and other resources will support the activities in the grant. Applicants must discuss the existing evidence that supports their proposed activities and explain whether their approach is new, emerging or builds on or expands what they or others have done. This section of the proposal must include a logic model, i.e., a conceptual framework identifying the key components of the project and its anticipated outputs and outcomes, and a brief description of the evaluation approach.

***Outcomes and Outputs:*** Applicants must identify the proposed outcomes, outputs, process data, and goals including how these compare to current performance under existing systems. These outcomes and outputs must be linked to the activities proposed in the project. Depending on the intervention proposed, metrics may include changes in participant

employment outcomes, educational attainments, production or cost efficiency, service quality, and/or customer satisfaction. The proposal must identify the data elements, analysis and dissemination plans anticipated to allow applicants to fully understand the effects of their project. Applicants must also demonstrate that they will collect enough detailed data to accurately measure the project outputs, and outcomes of the projects, and changes over time. Additionally, where performance outcomes are part of the proposed strategy, applicants should use the statutory performance indicators under WIOA and align outcomes and outputs to these indicators where possible, and also may consider any other relevant performance-related information as deemed applicable by the grantee.

***Required and Other Partners:*** Applicants must identify all partners and describe their roles and any leveraged resources or financial contributions to the project.

- State workforce applicants administering WIOA title I must include at least two additional core programs under the WIOA. These additional core programs are: the Wagner-Peyser Employment Service; the Adult Education and Family Literacy Act Program; and the Vocational Rehabilitation Program authorized under Title I of the Rehabilitation Act of 1973. In order to accommodate states where all core partners are not ready to engage in the application for this grant due to WIOA transition activities, the expectation is that the state will have a plan in place to include the third partner in proposed strategies by the beginning of July 2016, in alignment with the Workforce Innovation and Opportunity Act and State Plans that will be in effect at that time. Applicants are required to establish partnerships with at least one, non-core employment and training program, such as the Carl D. Perkins Career and Technical Education Act of 2006, the Jobs for Veterans State Grants Program, SNAP E&T, TANF, Apprenticeship, and others appropriate to applicant's proposed strategies.<sup>4</sup> Highly competitive grant applications must demonstrate the inclusion of the appropriate partnerships for the right interventions in the appropriate context.
- Applicants that are current WIOA Section 166 Indian and Native American grantees must also establish partnerships that will support the implementation of the proposed strategy. Partners may include core and/or non-core employment and training programs. Highly competitive grant applications must demonstrate the inclusion of the appropriate partnerships for the right interventions in the appropriate context.

***Applicant Capacity:*** The applicant must provide evidence of the applicant's track record of successful change management, innovation, readiness to take the innovation to scale, and the also must describe their capacity to effectively manage the programmatic, fiscal, and administrative aspects of the proposed project, including their capacity to work with third party evaluators to develop and conduct evaluations of their programs.

***Dissemination Plan:*** The applicant must describe plans for sharing the information gained in the project to include documenting and disseminating lessons learned regionally and nationwide as well as peer mentoring.

---

<sup>4</sup> Non-core programs include any employment and training program in addition to the four core programs identified above.

## 2) SF-424 Application for Federal Assistance

Applicants must submit a signed SF-424, “Application for Federal Assistance” (available at [http://apply07.grants.gov/apply/forms/sample/SF424\\_2\\_1-](http://apply07.grants.gov/apply/forms/sample/SF424_2_1-))

## 3) SF-424A Project Budget and Budget Narrative

Applicants must complete the SF-424A Budget Information Form (available at [http://apply07.grants.gov/apply/forms/sample/SF424\\_2\\_1-1-V2.1.pdf](http://apply07.grants.gov/apply/forms/sample/SF424_2_1-1-V2.1.pdf)) and a budget narrative. The budget narrative must provide a description of costs associated with each line item on the SF-424A and must include clearly identify the 15 percent of grants directed to support evaluation costs.

## 4) Attachments

***Required Attachments:*** The following attachments must be included with the application package and the failure to do so will cause the application package to be screened out. None of these attachments will count against the page limit for the Letter of Interest.

- ***Abstract:*** No more than one-page summarizing the proposed project, including:
  - Applicant Name
  - Applicant City/State or Tribe
  - Additional Partner(s)
  - Areas Served by Grant (by city, county, and state)
  - Total Funding Level Requested
  - Project Name
  - Summary of Program Activities
  - Applicant Point of Contact, and his/her position title, business phone, and business email
  
- ***Preliminary Evaluation Design, Budget, and Procurement Plan:*** This attachment does not impact scoring of the application. This attachment is limited to five (5) pages, 12-point font with one inch margins. The plan must include the following:
  - Brief statement describing the innovation;
  - Overview of preliminary ideas for the evaluation design;
  - Brief list of the key questions or issues that the evaluation will address;
  - Short description of the types of analysis that will be conducted, including, for example, a Cost Allocation Analysis and Cost-Effectiveness Analysis (see the Attachment B for descriptions);
  - Description of the data to be used and their sources;
  - Preliminary milestones for conducting and completing the evaluation within the grant period of performance;
  - List of deliverables and dissemination activities, including, for example, interim and final reports, briefings and presentations;
  - Budget for the evaluation in tabular form; and
  - Brief description and timeline of the planned procurement that demonstrates how they will assure that:
    - A qualified third- party evaluator will be procured; and

- The grantee conforms to the assurances in Attachment A (e.g. timely submission of their draft and final Evaluation Design Report).

***Requested Attachments:*** The following attachments are requested, but their omission will not cause the application to be screened out and not reviewed. None of these attachments will count against the page limit for the Letter of Interest. If the omission of the attachment will impact scoring, such an impact will be noted in the description of the attachment.

- ***Work Plan:*** This attachment does impact scoring of the application. Applicants must provide a detailed work plan that describes all the steps involved in implementing a project of the proposed scope. This work plan must provide a detailed description of how each step will be accomplished and identify clear and appropriate milestones leading to accomplishing project goals and include a chart summarizing the expected activities under the grant. Applicants should include information on both preliminary and later planning; the engagement of key partners; anticipated roles for the partners, potential resources from the partner agencies; and for each partner, specific individuals responsible for key tasks.
- ***Organizational Chart:*** This attachment does impact scoring of the application. Applicants must submit an organization chart describing the composition of the partnership. The applicant must clearly identify all relevant leadership, program, administrative, and advisory roles.
- ***Partner Commitment Letters:*** This attachment does impact scoring of the application. Applicants must submit the following:
  - State workforce agency applicants administering WIOA title I must provide documentation of the commitments of at least two additional core programs under WIOA: the Wagner-Peyser Employment Service; the Adult Education and Family Literacy Act Program; and the Vocational Rehabilitation Program authorized under Title I of the Rehabilitation Act of 1973. Applicants must submit documentation for the non-core required partner (i.e.: Carl D. Perkins Career and Technical Education Act of 2006, Jobs for Veterans State Grants Program, SNAP E&T, TANF, Apprenticeship, and others as appropriate).
  - Applicants that are a current WIOA Section 166 Indian and Native American grantee must provide documentation of commitments from the partnering organizations. Partners may include Adult Education and Family Literacy Act; the state workforce agency administering WIOA title I Adult, Dislocated Worker, and Youth programs; Vocational Rehabilitation Program authorized under the Carl D. Perkins Career and Technical Education Act of 2006; Jobs for Veterans State Grant Program; SNAP E&T; TANF and others appropriate to the proposed strategies.

Commitment letters may come in many forms such as signed memoranda of agreement or understanding, a partnership agreement, non-form substantive letter of

commitment, or other types of signed agreements, which demonstrate the roles and responsibilities of each partner. All documentation of the commitments must:

- Provide partner contact information (name, position title, business phone, and business email);
  - Be signed by an authorized representative of the organization;
  - Describe how the chosen strategies will be applied across each program partner and how partners will coordinate implementation;
  - Identify whether this entity will receive grant funds to support their work; and
  - Identify resources being provided by the organization to support the project (i.e. financial or in-kind contributions).
- ***Indirect Cost Rate Agreement:*** This attachment does not impact scoring of the application. If you are requesting indirect charges, attach the most recent Negotiated Indirect Cost Rate Agreement approved by your Federal Cognizant Agency.

## V. Application Screening Criteria

**\*\*\*DO NOT OMIT THE FOLLOWING APPLICATION REQUIREMENTS \*\*\***

Applications that contain any of the following deficiencies will be found non-responsive and **will not** be reviewed. The deficiencies are:

1. Failure to submit the application by 4:00:00 p.m. Eastern Time on July 23, 2015.
2. Applications that are for funding amounts below \$3 million and above \$6 million.
3. Failure to include (1) the signed SF-424, and (2) the SF-424A and budget narrative.
4. Failure to provide a Required Attachment described above (i.e. Abstract and Preliminary Evaluation Design, Budget, and Procurement Plan).
5. Failure to be the state workforce agency responsible for administering WIA funds or a current grantee under the WIA/WIOA Section 166 Indian and Native American Program.

## VI. Technical Review 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 each application will be judged. The evaluation criteria are based on the information required in the submission requirements above. Reviewers will award points based on the evaluation criteria described below:

<b>Criterion</b>	<b>Points (maximum)</b>
1. Project Design and Logic Model	25
2. Outcomes and Outputs	20
3. Required and Other Partners	20
4. Applicant Capacity	20
5. Dissemination Plan	15
TOTAL	100

***1. Project Design and Logic Model (25 points)***

Reviewers will award points based on how closely the activities, objectives, and goals proposed for the project align with one or more of the three broad options listed in the WIF Round 3 Design Options (as above). Projects that describe a strong, cohesive, and feasible project that aligns with multiple WIF Round 3 Design Options, as described above, will be awarded more points than projects that align with fewer. Reviewers will award points based on the strength and clarity of the evidence-based logic model. Reviewers will consider whether the applicant’s logic model presents a compelling argument that the proposed activities will lead to system reforms and innovations that facilitate cooperation across programs and funding streams to improve employment outcomes, cost-effectiveness, and delivery of customer-centered services to jobseekers, youth, and employers. Reviewers will also consider the cohesion of the system reforms, and more cohesive plans will be awarded more points than those that propose a number of disparate interventions.

***2. Outcomes and Outputs (20 points)***

Reviewers will award points based on the overall reasonableness and feasibility of the goals, milestones, outputs and outcomes. Applicants must demonstrate that (1) outputs and outcomes are appropriate for the overall project design and will lead to the successful implementation of the project; (2) proposed outputs and outcomes represent a logical sequence in the short-term, intermediate-term, and long-term; and (3) outcomes and outputs will allow the applicant to accurately measure the impact of the project.

***3. Required and Other Partners (20 points)***

Reviewers will award points based on whether the applicant demonstrates robust partnerships, as well as the level of engagement and collaboration of the partnership, including how extensively the design options are being applied within multiple programs. Reviewers will consider (1) whether there is clear evidence that state and local leadership of the core programs and required non-core partner program(s) participated in the design of the project and have plans to implement the project within their programs, and the strength of the evidence of plans to engage all core partners by July 1, 2016; (2) the level of commitment by partner organizations to close collaboration across the lifecycle of the project; (3) partners’

financial support, in-kind support, and/or other leveraged resources to support the project, and (4) the breadth and cohesiveness of the partnership that is implementing the project.

**4. Applicant Capacity (20 points)**

Reviewers will award points based on evidence of the applicant's track record of successful change management, including: (1) readiness to take the innovation to scale, (2) capacity to implement innovative and untested ideas: and (3) effectively manage the programmatic, fiscal, and administrative aspects of the proposed project to include demonstration of their capacity to work with third party evaluators to develop and conduct evaluations of their programs.

**5. Dissemination Plan (15 points)**

Reviewers will award points based on whether the applicant describes well-designed, innovative, and effective strategies for sharing expertise through peer mentoring and documenting and disseminating lessons learned regionally and nation-wide.

**VII. Reporting**

Grantees must agree to meet DOL reporting requirements. Quarterly financial reports, quarterly progress reports, and MIS data must be submitted by the grantee electronically. The grantee is required to provide the reports and documents listed below:

**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. Grantees must use DOL's Online Electronic Reporting System and information and instructions will be provided to grantees.

**2. Quarterly Performance Reports**

Quarterly performance and narrative reports, required of all grantees, will be the primary mechanism through which ETA will understand the significant innovations and successes, the challenges encountered and strategies for resolution, and technical assistance needs to ensure the successful implementation of projects. DOL will identify a few standardized data elements to be reported on by all grantees. DOL will provide a reporting template for grantees to report on all standardized data elements, other data elements identified in the application, and any other data elements developed or refined during Phase I of the grant. Additionally, grantees will be required to participate in monitoring of evaluation programs conducted by the NEC and evaluation TA activities throughout the grant period.

The grantee must submit a quarterly progress report, including a narrative report and performance data, within 45 days after the end of each calendar year quarter. The report must include quarterly information regarding grant activities, performance goals, and milestones. The last quarterly progress report that grantees submit 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 used by the grantee. DOL will provide grantees with

formal guidance about the data and other information that is required to be collected and reported on either a regular basis or special request basis.

### **VIII. Agency Contact**

For further information about this SGA, please contact Serena Boyd, Grants Management Specialist, Office of Grants Management. Applicants should e-mail all technical questions to [Boyd.Serena@dol.gov](mailto:Boyd.Serena@dol.gov) and must specifically reference ETA-FOA-15-10, and along with question(s), include a contact name, fax and phone number. This announcement is being made available on the ETA Web site at <http://www.doleta.gov/grants> and at <http://www.grants.gov>.

### **IX. Public Burden Statement**

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 THE COMPLETED APPLICATION TO THIS ADDRESS.  
SEND IT TO THE SPONSORING AGENCY AS SPECIFIED IN THIS  
ANNOUNCEMENT.

This information is being collected for the purpose of awarding a grant. The information collected through this "Funding Opportunity Announcement" will be used by the Department of Labor to ensure that grants are awarded to the applicants best suited to perform the functions of the grant. Submission of this information is required in order for the applicant to be considered for award of a grant.

OMB Information Collection No 1225-0086, Expires January 31, 2016.

Signed June 10, 2015, in Washington, D.C. by:  
Latifa Jeter  
Grant Officer, Employment and Training Administration

**Workforce Innovation Fund Round 3 Assurances**

By submitting an application under this funding opportunity, the applicant commits to the following:

1. Providing information and serve as a peer mentor to other states to disseminate information, knowledge and lessons learned regionally and nation-wide. Applicants must include in their proposed budget funding to support peer mentoring activities and travel funds to support a minimum of two trips to Washington D.C. for WIF grantee meetings.
2. Procuring an independent, qualified third-party evaluator to conduct the evaluation (as defined in Attachment B) within a reasonable timeframe to ensure on-time implementation of the grant, and, in doing so, adhering to the Procurement Standards at 2 CFR 200 Subpart D.
3. Coordinating and collaborating with the other state agencies whose programs are included in the project with regard to the following: the design of the evaluation, the data to be used from these other agencies, and assuring that the data and information (such as administrative data, survey responses or site visit interviews) from other agencies and their programs, as necessary for the evaluation, will be provided.
4. Developing an evaluation design that meets the standards of the U.S. Department of Labor (DOL) (or its designee). Such a design must include plans for an independent literature review and an evaluability assessment (as defined in Attachment B).
5. Submitting the draft Evaluation Design Report no later than 9 months after the grant award and the final Evaluation Design Report (with a final performance data template and final budget) no later than 11 months after the grant award.
6. Making available to the evaluators in a timely manner, and at no cost to the evaluation, all relevant state and local data from the workforce system (including that from the Unemployment Compensation system and from all other data systems, as applicable and to the extent permitted under state law), assuring that any other information needed for the evaluation (such as from survey responses) will be provided, and assuring that there will be timely site visits, as needed for the evaluation.
7. Submitting all annual, interim and final evaluation reports, as they are prepared, during the grant period of performance, to DOL and its designee(s).
8. Making all evaluation reports from the project available to the public (including by electronic means).

9. Adhering to DOL research and evaluation standards in regard to relevance, transparency, independence, and ethics as found at <http://www.dol.gov/asp/evaluation/EvaluationPolicy.htm>.
10. Providing electronic files of the data used in the evaluation to DOL at the completion of the evaluation and prior to the end of the period of performance of the grant. The files will be prepared and submitted in accordance with DOL requirements regarding privacy and security.
11. Participate in any evaluation activities conducted for the WIF grants by DOL. Such evaluation activities may be conducted by third-party independent evaluation contractor.
12. The grantee is required to license to the public (not including the Federal Government) all work created with the support of the grant under a Creative Commons Attribution (CCBY) license. Work that must be under the CCBY license includes both new content created with the grant funds and modifications made to pre-existing content using grant funds. Notice of the license shall be affixed to the Work. Only work that is developed by the grantee with the grant funds is required to be licensed under the CCBY license. Pre-existing copyrighted materials licensed to, or purchased by the grantee without grant fund 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 CCBY license requirement. The purpose of the CCBY license 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, grantees are expected to respect all applicable federal laws and regulations, including those pertaining to copyright and the accessibility provisions of the Federal Rehabilitation Act.
13. The government reserves a paid-up, nonexclusive and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use or Federal purposes: i) the copyright in all products developed under the grant, including products developed through a subcontract under the grant; and ii) any rights of copyright to which the grantee 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.

### **Preliminary Evaluation Design, Budget and Procurement Plan Definitions**

**Cost Allocation Analysis:** Cost allocation is a management tool that involves establishing a budgeting and accounting system that allows program managers to determine a unit cost, or cost per unit of service. This type of analysis includes documentation on program operational costs at the per-participant or per-system level.

**Cost-Effectiveness Analysis:** A Cost-Effectiveness Analysis examines costs in terms of outcomes (which are not monetized). In the context of an employment and training program, the outcome could be placement, employment (ever employed), or employment meeting specific criteria (in terms of wages, benefits, retention, etc.). A cost-effective program is one that delivers its key outcome at a reasonable cost per outcome, i.e. at a cost that is similar to or lower than comparable programs. There are more complex forms of this analysis, such as in health programs, where a “cost-utility analysis” in which the single outcome is usually years of life in full health.

**Evaluability Assessment:** An evaluability assessment is a qualitative investigation employed before a program is evaluated. Evaluability assessments go further than merely providing information on whether a program can be evaluated or not. They are used to describe the objectives, logic and activities of the program and establish appropriate methodology and resource requirements for an evaluation. They address the likelihood of the program achieving its anticipated outcomes, the required changes needed for optimum management, whether an evaluation can improve the program’s performance and thus identify stakeholder interests in the evaluation and how the findings will be used. An evaluability assessment investigates the programs objectives and the methods to be used to measure whether they are achieved.

**Implementation Study:** An implementation study illuminates and explains “what is happening and why” in the design, implementation, administration, operation, services, and outcomes of social programs. This type of study can provide context and information that make impact evaluation results more useful. Findings from implementation research can be used to inform future program development or replication.

**Inputs:** Resources that go into a program such as grant funds, personnel, equipment, etc.

**Logic Model:** A description of a program/process that includes a conceptual framework showing what is being used and how to achieve relevant outcomes. It provides an overview of a program/process and identifies key components of the process, product, strategy, or practice (i.e. the active “ingredients” that are expected to be critical to achieving the relevant outcomes). The logic model also describes the relationships among the key components and outcomes and can be displayed in the form of graphic and/or textual descriptions.

**Outcomes:** The intended results of a process or program (including changes in conditions, such as employment, earnings, or income, as well as changes in attitudes, values, and behaviors).

**Outcome Study:** Examines the changes in targeted conditions, attitudes, values, or behaviors between baseline measurement and subsequent points of measurement. Changes can be immediate, intermediate or long-term. An outcome study seeks to provide information on the effectiveness of a program without attributing causality.

**Outputs:** What is produced that can be easily described and quantified as a result of program activities (for example, numbers of workshops held or people trained).

**Pre-Post Data Analysis:** A type of outcome study where an indicator before a program (or a subject's participation in it) began (pre-program) is compared to an indicator at a point after the program was completed (post-program).

**Qualified Third-Party Evaluator:** A qualified third-party evaluator is one that coordinates with the grantee and Department of Labor but works independently on the evaluation and has the capacity to carry out the evaluation, including but not limited to: prior experience conducting evaluations of similar design; positive past performance on evaluations of a similar design, as evidenced by performance reviews submitted from past clients to the awardee; and lead staff with prior experience carrying out a similar evaluation. A qualified third-party evaluator submits a proposal that clearly and completely responds to a Request for Proposal and demonstrates knowledge of evaluation methods and workforce evaluations and responds to the needs of the grantees' evaluation, as well as the project implementation schedule.