

## **U.S. DEPARTMENT OF LABOR**

### **Employment and Training Administration**

#### **Notice of Availability of Funds and Solicitation for Grant Applications for Face Forward-Serving Juvenile Offenders**

**Announcement Type:** Initial

**Funding Opportunity Number:** SGA/DFA PY-12-09

**Catalog of Federal Domestic Assistance (CFDA) Number:** 17.270

**Key Dates:** The closing date for receipt of applications under this announcement is May 10, 2013. Applications must be received no later than 4:00:00 p.m. Eastern Time.

**Addresses:** Mailed applications must be addressed to the U.S. Department of Labor, Employment and Training Administration, Office of Grants Management, Attention: Latifa Jeter, Grant Officer, Reference SGA/DFA PY 12-09, 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:**

The U.S. Department of Labor (we, the Department or DOL), Employment and Training Administration (ETA), announces the availability of approximately \$26,000,000 in grant funds to award approximately 26 Face Forward grants. “Face Forward” conveys the idea of youth leaving their past transgressions behind and looking forward towards a promising future. Through diversion and/or record expungement strategies, these grants will give youth a chance to succeed in the workplace and to avoid the stigma of a juvenile record.

Diversion and expungement strategies are part of the Juvenile Justice system. These functions, operations and processes are under their jurisdiction. However, in order to provide the best possible outcomes for these youth, it is imperative to provide these additional supportive services. Diversion is “an attempt to divert, or channel out, youthful offenders from the juvenile justice system” (Bynum and Thompson, 1996). Expungement focuses on having juvenile records expunged, or eliminated.

Juvenile arrests can follow youth for the rest of their lives and become a major barrier to inclusion and advancement in the workforce. The Face Forward grants will offer organizations the opportunity to develop programs that address this issue while developing the skills and opportunity youth need to move forward successfully in the workforce.

### **I. Funding Opportunity Description**

#### **A. Program Purpose**

The purpose of these grants is to improve the long-term labor market prospects of both court involved youth prior to adjudication and juvenile offenders. Grantees must utilize a strategy where they collaborate with non-profit legal services providers to assist participants with expungement actions, and/or be designated by the juvenile justice system as a diversion program. The strategies of diversion and expungement under these Face Forward grants are defined as follows:

Diversion - Diversion is “an attempt to divert, or channel out, youthful offenders from the juvenile justice system” (Bynum and Thompson, 1996). The opportunity for diversion occurs at the state or local pre-sentencing juvenile court division, which include: juvenile court judges, assistant district attorneys or pre-sentencing case workers.

According to the U.S. Department of Justice, Office of Justice Programs, the primary objective of diversion programs is to redirect youth away from formal processing in the juvenile justice system, while still holding them accountable for their actions (Beck et. al., 2006). Diversion practices vary in terms of the juvenile justice contact point at which the youth is diverted and the types of services provided. For example, juveniles may be diverted by law enforcement before arrest, during court intake, or even after adjudication but before disposition (Roush, 1996).

The concept of diversion is based on the labeling theory that contends that processing certain youth through the juvenile justice system may do more harm than good, because it inadvertently stigmatizes and ostracizes them for having committed relatively minor acts that may have been more appropriately handled outside the formal system (Lundman, 1993).

Expungement - Expungement will focus on offering the opportunity to have juvenile records expunged. Given the number of youth with a juvenile record and the increasing availability of such records, expungement - or the elimination of information held by courts or law enforcement agencies connecting an individual with juvenile justice involvement - has increasingly been looked to as an important vehicle for mitigating the myriad of negative consequences that flow from a delinquency adjudication. The important role that expungement can play in the reentry process has also elevated the need for legal assistance to navigate the often complicated expungement process for juveniles in jurisdictions where information is not automatically sealed.

#### Education and Training Activities under Face Forward grants

In addition to providing diversion and/or expungement services, all grantees must provide education and training services directly related to increasing employment outcomes, which are: case management, mentoring, educational attainment, training that leads to industry-recognized credentials in demand industries in their state or local area, service-learning, workforce activities, and post-program support and follow-up services.

#### Collaborations

Grantees must form collaborations with the Juvenile Justice system, American Job Centers (AJCs, formerly One-Stop Career Centers) or local Workforce Investment Boards (WIBs) and, local non-profit legal services providers. Grant funds cannot be used to provide housing, substance abuse treatment services, or mental health services. Therefore, grantees should form collaborations with housing assistance agencies and substance abuse and mental health treatment centers that can provide these services to participants in need.

#### B. Program Authority

Grant funding for this program is authorized by the Section 171, Pilot and Demonstration Projects, of the Workforce Investment Act (as amended), Public Law 105-220.

### C. Allowable Uses of Grant Funds

Allowable uses of grant funds for projects funded under these grants include, but may not be limited to, the following services provided by the grantee:

- Individual and group mentoring;
- Assistance with the development of Individual Career Plans (ICP) for participants;
- Leadership and personal development activities that seek to develop cognitive and soft skills that participants will need to succeed in future jobs and that support one or more workplace competencies;
- Job placement services;
- Vocational skills training and wages in an On-the-Job Training (OJT) framework.
- Paid and unpaid work experiences, including community service activities that offer the offender the opportunity to reunite with and be embraced by his or her community;
- Payment of stipends to participants based on their performance in the program to recognize achievements/milestones;
- Payment of employment and retention bonuses to participants based on their achievements/milestones reached in the employment, education, and/or training components of the grant program;
- Basic skills instruction and remedial education;
- Tutoring and/or preparation for state high school equivalency test;
- Alternative secondary school services and career awareness classes that develop lifelong career pathways;
- Assistance with applying for post-secondary education and financial aid to implement participants' individual career plans;
- Language instruction programs and services and information in appropriate languages for participants with limited English proficiency;
- Assistance in addressing work-related problems that arise, such as anger management;
- Assistance in securing employment that pays more than participants' initial job placements;
- Assistance with career development and further education as identified in participants' ICPs;
- Continued coordination with employers and local workforce agencies and educational institutions where participants have been placed;
- Tracking of progress made by participants in employment after training;
- Legal aid services related to the purpose of this grant, such as: expunging juvenile records, securing a driver's license, creating and/or modifying child support orders and helping victims of domestic violence by obtaining protective and restraining orders. See Section II.A. for limitations; and
- Referrals to the following services:
  - Housing programs that provide temporary or permanent housing;
  - Mental health counseling;
  - Rehabilitation services needed to assist persons with disabilities;
  - Parenting classes and services to assist with successful family reunification; and
  - Substance abuse treatment services.

## II. Award Information

#### A. Award Type and Amount

Funding will be provided in the form of a grant. Approximately \$26,000,000 is expected to be available to fund approximately 26 grants for up to \$1,000,000 each. The cost-per-participant over the duration of the grant will range between \$6,000 and \$8,000 (inclusive of administrative, legal, and planning costs). The cost-per-participant must not exceed \$8,000. No more than \$2,000 may be used per participant for the purpose of expungement. In addition, all grantees may spend up to 5 percent of their total grant, excluding the costs allocated for expungement, for other legal services related to the grant, as identified in Section I.C.

#### B. Period of Performance

These grants will be funded for a period of 39 months. The period of performance must include the following:

- A planning period of up to six months;
- A program operation period of 24 months; and
- A minimum of nine months of post-program support and follow-up services provided to each participant.

The anticipated start date is July 01, 2013. This performance period includes all necessary implementation and start-up activities. Awards made under this announcement are subject to the availability of Federal funds. In the event that additional funds become available, ETA reserves the right to use such funds to select additional grantees from applications submitted in response to this solicitation.

To ensure grantees are prepared to begin program operations, the following milestones must be achieved during the planning period:

- hire core program staff, including the Project Director and other key positions;
- solidify all necessary collaborations for the successful delivery of services; and
- initiate recruitment and outreach efforts for enrollment of participants.

The Federal Project Officer will evaluate completion of these milestones within the grant's planning phase. DOL may subject grantees who do not meet these milestones to corrective action.

### **III. Eligibility Information**

#### A. Eligible Applicants

Any non-profit organization with IRS 501(c)(3) status, unit of state or local government, or any Indian and Native American entity eligible for grants under WIA Section 166, may apply for these grants to provide services to eligible participants (as defined in Section III.C.3.) in areas with high-poverty and high-crime rates. For the purpose of this SGA, areas with high-poverty and high-crime rates are defined as: high-poverty communities are those communities with poverty rates of at least 30 percent (applicants must use American Community Survey data to show the average poverty rate of the various Census Tracts included in their target community. For more information, see Section IV.B.3 and VIII.E.); high-crime communities are those communities where the felony crime rate is higher than the felony crime rate of the overall

community as described in V.B.3. Applicants will be separately evaluated on the evidence of high-poverty and high-crime rates in the community to be served.

Recipients of these grants should be located in or have existing staff presence, such as satellite offices or shared office space, in the high-poverty; high-crime area to be served. A single application may be submitted to serve multiple sites. However, applicants should demonstrate that they have an existing organizational presence in each of the identified geographic areas to be served.

#### B. Cost Sharing or Matching

Cost sharing or matching funds are not required as a condition for application; however, grantees must provide a description of how Federal, state, local, or private funding will be leveraged and are currently leveraged (if applicable) to provide support services that are not directly funded by the grant, such as mental health and substance abuse treatment services, and housing. Applications that include any form of cost sharing or match will not receive additional consideration under the review. Cost sharing or match is not one of the application screening criteria.

#### C. Other Information

##### 1. Application Screening Criteria

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

- Failure to satisfy the deadline requirements referenced in Section IV.C.;
- Applications that exceed the ceiling amount of \$1,000,000 referenced in Section II.A.;
- The average cost-per-participant exceeds the \$8,000 maximum referenced in Section II.A.;
- Failure to include: SF-424 including D-U-N-S® (DUNS) Number, a project budget including a SF-424A and budget narrative, a project narrative, and attachments to the project narrative referenced in Section IV.B.;
- Failure to register with System for Award Management (SAM) and maintain an active account referenced in Section IV.B.;
- Failure to include required information as an attachment referenced in Section IV:
  - **abstract**
  - **project/performance site location forms**
  - **documentation of non-profit 501(c)(3) status if applying as a non-profit organization**

##### 2. Number of Applications To Be Submitted

An organization may only submit one application.

##### 3. Eligible Participants

a) An individual may participate in a project funded under these grants if he/she:

- is between the ages of 16 and 24 on the date of enrollment;
- currently resides in the geographic area to be served as identified by the grantee;

- has never been involved with the adult Federal, state or local criminal justice system; and has never been convicted of a sexual offense other than prostitution; and,
- is currently involved or has been involved in the juvenile justice system or is currently a candidate for diversion under state guidelines for juvenile diversion Programs.

*Note:* Grantees have the discretion to enroll individuals convicted of either violent or non-violent offenses. However, the grantee must have a clear and consistent enrollment policy that addresses how enrollment of program applicants with either type of conviction will be treated. Grantees may choose to have a more rigorous risk assessment for violent offenders and should note this where it will factor into enrollment eligibility. Grantees should consider the level of the offenses and whether or not these strategies have a likelihood of success.

#### b) Veterans Priority for Participants

The Jobs for Veterans Act (Public Law 107-288) requires grantees to provide priority of service for 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 can be found 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 [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2816](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2816).

## **IV. Application and Submission Information**

### A. How to Obtain an Application Package

This SGA, found at [www.Grants.gov](http://www.Grants.gov) and [http://www.doleta.gov/grants/find\\_grants.cfm](http://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

Proposals submitted in response to this SGA must consist of four separate and distinct parts: (1) the SF-424 "Application for Federal Assistance;" (2) Project Budget; (3) Project Narrative; and (4) attachments to the Project Narrative. It is the applicant's responsibility to ensure that the funding amount requested is consistent across all parts and sub-parts of the application.

#### 1. SF-424, "Application for Federal Assistance"

Applicants must complete the SF-424, "Application for Federal Assistance" (available at <http://apply07.grants.gov/apply/FormLinks?family=15>). 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 shall be considered the authorized representative of the applicant. As stated in block 21 of the SF-424 form, 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

<http://apply07.grants.gov/apply/FormLinks?family=15>). The SF-424B is not required to be submitted with the application.

In addition, the applicant's signature in block 21 of the SF-424 form constitutes assurance by the applicant of the following in accordance with 29 CFR 37.20:

As a condition to the award of financial assistance from the Department of Labor under Title I of WIA, the grant applicant assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws: Section 188 of the Workforce Investment Act of 1998 (WIA), which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIA 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 it will comply with 29 CFR part 37 and all other regulations implementing the laws listed above. This assurance applies to the grant applicant's operation of the WIA Title I-financially assisted program or activity, and to all agreements the grant applicant makes to carry out the WIA 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.

All applicants for Federal grant and funding opportunities are required to have a Data Universal Numbering System (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: <http://fedgov.dnb.com/webform/displayHomePage.do>. As authorized under 2 CFR 25, grant recipients authorized to make subawards must be aware of the following requirements related to DUNS Numbers:

1. Grantees must notify potential sub-grantees that no entity may receive a sub-award from you unless the entity has provided its DUNS number to you.
2. Grantees may not make a sub-award to an entity unless the entity has provided its DUNS number to you.

Applicants must register with the System for Award Management (SAM) before submitting an application. Instructions for registering with SAM can be found at <https://sam.gov>. An awardee 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 updates 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.

## 2. Project Budget

Applicants must complete the SF-424A Budget Information Form (available at <http://apply07.grants.gov/apply/FormLinks?family=15> ). In preparing the Budget Information Form, the applicant must provide a concise narrative explanation to support the budget request, explained in detail below.

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

*Note:* Applicants must provide separate budget narratives for the planning period and program operations. Regardless of the length of the planning period, applicants must budget for 24 months of operation and a minimum of nine months of follow-up for each participant, which must be completed by the end of the period of performance of the grant. This means that the grantee must cease providing program operation activities, and the last participants would complete these activities nine months before the end of the grant.

Grantees must only use their planning funds during the planning period. These funds must be used specifically for planning and pre-implementation activities associated with this grant.

Grantees must use the following guidance for preparing the budget narrative:

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

**Fringe Benefits** – 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.

**Equipment** – Identify each item of equipment to be purchased which has an estimated acquisition cost of \$5,000 or more per unit and a useful lifetime of more than one year. List the quantity and unit cost per item. Items with a unit cost of less than \$5,000 are supplies.

**Supplies** – Supplies include all tangible personal property other than “equipment.” The detailed budget should identify categories of supplies (e.g. office supplies). List the quantity and unit cost per item.

**Contractual** – Identify each proposed contract and specify its 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. DOL does not consider this as construction and the costs must be shown on other appropriate lines such as

Other – List each item in sufficient detail for DOL to determine whether the costs are reasonable or allowable. List any item, such as stipends or incentives, not covered elsewhere here.

Indirect Charges – If indirect charges are included in the budget, include the approved indirect cost rate with a copy of the Indirect Cost Rate Agreement, a description of the base used to calculate indirect costs and total cost of the base, and the total indirect charges requested. See Section IV.B.4. and Section IV.E.1. for more information.

Note that the entire Federal grant amount requested (not just one year) must be included on the SF-424 and SF-424A and budget narrative. No leveraged resources should be shown on the SF-424 and SF-424A. The amount listed on the SF-424, SF-424A and budget narrative must be the same. Please note, the funding amount included on the SF-424 will be considered the official funding amount requested if any inconsistencies are found.

### 3. Project Narrative

The Project Narrative must demonstrate the applicant’s capability to implement the grant project in accordance with the provisions of this Solicitation. 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 with 12 point text font and 1 inch margins. Any materials beyond the specified page limit will not be read or considered in the application review process. Applicants must number the Project Narrative beginning with page number 1.

Use the following section headers for the Narrative (this reflects the criteria in Section V.A.):

#### **1. NEED AND JUSTIFICATION FOR NUMBER OF PARTICIPANTS TO BE SERVED**

The applicant must identify the geographic area in which the project will be located and the number of participants they propose to serve over the performance period of the grant. In addition, the applicant must provide documentation that the target area has high poverty and high crime rates. Specifically, the applicant must discuss:

- Whether the poverty rate of the target community is at least 30 percent. The U.S. Census Bureau now has American Community Survey (ACS) data available at the Census Tract level, which can be found at <http://www.census.gov>. Applicants must provide an ACS data table that shows the poverty rate for the various Census Tracts included in their target community in accordance with the instructions Section VIII.E. Individual Census Tracts within the proposed target community may have poverty rates of less than 30 percent. If you plan to serve multiple geographic communities, each community must have an average poverty rate of over 30 percent.
- Whether the community to be served is a high-crime area. Applicants should prove that their community is a high-crime community by utilizing the felony crime rate of the closest police precinct that overlaps the target community and compare it to the felony crime rate of the city (for urban areas) or an equivalent law enforcement jurisdiction (for rural areas);

- To justify the number of participants the applicant proposes to serve, the applicant should provide data from the prior year from the local juvenile justice agency on the number of youth between the ages of 16 and 24 from the target community who were involved in the juvenile justice system.

The Department imposes no requirements on the size of the population of the target community.

## **2. PROJECT DESIGN**

Projects funded under these grants must include each of the project components described below. Participants enrolled in these projects do not necessarily have to participate in every one of these project components (with the **exception of** diversion or expungement), but each project component must be offered.

### **A. Diversion or Expungement (Required for all participants)**

The purpose of these grants to integrate the juvenile justice and workforce system to provide better outcomes for these youth. Programs funded under these grants must be recognized by the juvenile justice system as diversion programs and/or have established collaborations with non-profit legal services organizations to assist participants with attaining expungements.

If proposing to operate as a diversion program:

- Describe how you will integrate behavioral modification into the program;
- Describe how your program staff will coordinate with juvenile justice staff to ensure participant success; and,
- Describe how you will track participant progress enrolled in the program and share that information with all relevant partners involved in supporting the program.

and/or

If proposing to operate an expungement program:

- Describe how you will integrate community service into the rehabilitation feature of the request for expungement;
- Describe how you will interact with non-profit legal services providers to effectively have a participant's record expunged; and
- Describe the rehabilitation services that will be provided to these participants, including community service and/or restorative justice.

### **B. Case Management**

Case management services must begin at the time of enrollment and must be provided throughout the participant's enrollment in the program, including the follow-up period.

Specifically, applicants must:

- Describe the ratio of case managers to participants and how the case managers will act as advocates for program participants.
- Describe how case managers will assist juvenile justice staff in serving participants and in linking them to supportive services, such as: transportation assistance, housing assistance, mental health services, substance abuse treatment services, child care services, child support services, legal aid services and organizations that assist with family reunification.

- Describe how case managers will coordinate with other agencies and organizations to ensure that participants receive counseling in areas such as: financial literacy; civil rights, including civil rights issues related to criminal records and employment; and assistance applying for jobs and Federal benefits, such as Pell Grants, Food Stamps, Supplemental Nutrition Assistance Program, Medicaid; and if the person has a disability, the right to free and appropriate education and reasonable work accommodations.
- Describe how case management services will bridge active program participation to the follow-up period to ensure adequate tracking of post-program outcomes and retention success for participants within the period of performance of the grant.

### **C. Mentoring**

This component will provide adult mentors for program participants. Many types of organizations can provide mentors, such as faith- and community-based organizations, business firms and college clubs. This component may include one-on-one mentoring, group mentoring, and/or service-based mentoring; however, we encourage the use of one-on-one mentoring and mentoring in small groups. Mentoring should start before release for youth in correctional facilities, where possible, to allow these youth to become familiar with their mentors. Mentors will assist youth with transitioning into the community and may address issues such as family support and unification, self-advocacy and conflict resolution, and assistance with understanding how to secure supportive services. The Department requires that grantees use evidence-based models of mentoring to design their programs. As with all mentoring programs it is recommended that programs provide rigorous screening, training, and match support for mentors, and frequent contact with youth and parents as the match progresses. The following list summarizes the commonly-recognized best practices for running an effective mentoring program.

- Targeted recruitment and thorough screening of appropriate mentors and youth
- Customized training for mentors, youth, and, if appropriate, parents and others who have a role in the match
- Sound matching, monitoring, supervision, and retention procedures
- Closure procedures that leave all participants satisfied
- Process and outcome evaluation
- Skilled and committed staff
- Stable funding

Specifically, applicants must:

- Describe the strategy for developing evidence-based mentoring programs;
- Describe the areas of: mentor recruiting and matching with participants; duration, frequency of interactions, type of contact, and method of interaction with participants;
- Describe the quality and comprehensiveness of the training to be provided mentors and the strategy for support and supervision of mentors; and
- Describe the applicants' level of experience of the program in operating mentoring programs.

There are many organizations which offer evidence based models, such as:

### **OJJDP Model Programs Guide**

<http://www.ojjdp.gov/mpg/progTypesMentoring.aspx>

**National Criminal Justice Reference Service**

<https://www.ncjrs.gov/mentoringresources/>

**D. Education**

The educational component for youth aged 16 and 17 must place a high priority on the attainment of a high school diploma. This priority reinforces and is consistent with the compulsory education laws in many states, which require youth to remain in school until the age of 18. The educational component for participants aged 18 and above must focus on the attainment of a high school diploma or State equivalent and increasing literacy and numeracy skills. Specifically, applicants must:

- Describe the educational components to be offered, including the types of educational interventions and/or support. The educational component must include the following as appropriate for each age group:
  - reading and math remediation;
  - retrieval and compilation of credits from various high schools and correctional facilities;
  - tutoring;
  - state high school equivalency preparation;
  - language instruction for those with Limited English Proficiency; and
  - assisting participants to complete college applications and financial aid forms.These interventions must be integrated with career and occupational development.
- Describe how these interventions will lead participants to the attainment of a secondary school diploma or other State-recognized educational credential.
- Describe how these educational interventions will be integrated into the training and workforce development components of the program.

**E. Training Leading to Industry-Recognized Credentials for in Demand Industries and Occupations in the State or Local Area**

Applicants should use Labor Market Information data to develop training programs that lead to industry-recognized credentials in demand industries and occupations located in their state or local area. DOL suggests consulting with registered apprenticeship programs, job training programs, vocational training programs and/or community and four-year colleges when implementing this component. Specifically, applicants must:

- Identify the type(s) and duration of the training programs offered that lead to credentials in demand industries, including details about the class schedule and curriculum.
- Identify the types of credentials that will be attained by participants as a result of completing the training.
- Describe how training will be integrated into existing career development efforts, such as career counseling and other services offered through local American Job Centers.
- Describe the process and resources used to identify the selected training program(s) and the justification for the selection of the training programs.

**F. Service-Learning**

The service-learning component of these projects provides participants the opportunity to give something back to their communities through community service to make up for past transgressions. Service-learning actively engages participants in meaningful and personally relevant service activities. Effective service learning is an integral part of the learning process. Service-learning helps to develop work-place skills (soft skills) and positive behaviors, such as leadership, time management, teamwork, and respect for authority and for fellow participants. Such projects hold promise for reducing the recidivism rate of juvenile offenders by improving their vocational and educational skills and long-term prospects in the labor market and by increasing their attachment to their community and their sense of community responsibility. Specifically, applicants must:

- Describe the length of time the applicant will request youth to commit to service-learning activities;
- Describe the service-learning activities that will engage youth in meaningful ways;
- Describe how vocational skills will be integrated into the service-learning project; and
- Describe how the development of leadership and soft skills will be supported.

### **G. Workforce Activities**

Workforce activities should assist participants in developing their career goals and understanding career pathway options as one component of their larger participation in the grant project. Specifically, applicants must:

- Describe how participants will be assisted in developing career goals, understanding career pathway options, and developing an Individual Career Plan (ICP). An ICP must be developed within 30 days of enrollment for each participant and must reflect the individual needs and career goals of the participant. This will include goals related to personal issues, such as counseling, substance abuse treatment, housing, and child custody/support issues that can affect workplace success, as well as goals related directly to workforce development, such as continuing education, vocational training, and employment placements. The ICP is a living document and should be reviewed and updated regularly throughout the period of operation and the post-program support and follow-up period for each participant.
- Describe how the applicant will deliver the workforce activity component, including: paid and/or unpaid full or part-time work experience; on-the-job training (OJT); internships that allow participants to interact with professionals in their fields of interest; vocational and occupational training opportunities; career exploration; placement into apprenticeships; and unsubsidized full or part-time employment. OJT is distinguished from other types of workplace training, including customized training, by several factors: 1) participants are hired (or employed) and earn wages from employers during training; 2) it is based on an individualized training plan that reflects the results of an individual skills assessment and an analysis of job requirements; 3) training is conducted in the work setting under the direction of one or more of the employer's supervisory personnel; and 4) the employer is paid a reimbursement to cover the extraordinary costs of the training.
- Describe how the applicant will connect participants with employers to ensure that the training and other services result in employment for participants.

### **H. Post-Program Support and Follow-Up Services**

Follow-up services must be provided for a minimum of nine months for each participant and must be completed by the end of the performance period of the grant. Specifically, applicants must:

- Describe the efforts that will be made to ensure post-support and follow-up services provided to participants for a minimum of nine months during the grant performance period.
- Describe the post-program support and follow-up services that will be provided. Follow-up services may include: regular contact with participants to ensure retention in employment and/or school; assistance in addressing work-related or school-related problems; assistance in securing better paying jobs or career development; further education; referrals to peer support groups; mentoring; and tracking progress made by participants in employment and/or education after training.
- Describe the frequency and intervals of contact with participants during the follow-up period.

### **3. PROGRAM COLLABORATION AND ROLES**

Letters of Commitment and/or Memoranda of Understanding must be included as documentation of program collaboration efforts with the following required organizations/entities and any additional organizations/entities. The documentation must clearly specify the roles and responsibilities of each organization/entity, and how these efforts will improve the long term outcomes of the participants.

#### **A. Required Program Collaboration:**

In the Project Narrative, applicants must describe the following required program collaborations and provide the identity of and arrangement with the organization that fulfills the required collaboration in each category.

- **American Job Centers (AJC), formerly One-Stop Career Centers or Local Workforce Investment Boards.** The agreement must include the coordination of services to support paid and/or unpaid work experience, OJT, internships, apprenticeships, and unsubsidized full and part-time employment.
- **State and/or local juvenile justice system.** The agreement must confirm that the applicant will receive referrals of eligible youth who have been adjudicated and are under the supervision of the juvenile justice agency, such as, on probation or in alternative sentence programs or an acknowledgement that the applicant is a diversion program and will receive referrals from the state and/local juvenile justice agency. Grantees must coordinate services, such as: career planning; assistance with educational placement; case management; mentoring and referrals to supportive services for program participants with juvenile community supervision officers.
- **Non-profit Legal Services Providers for Expungement.** Legal services may be paid with grant funds on behalf of a participant for expungement services.

#### **B. Additional Program Collaboration and Roles:**

Applicants are encouraged to work with additional organizations. Below is a list of organizations that could play a role in improving program operations. Collaborations with these additional collaborators are not required, and grantees are not limited to those additional organizations/entities listed. If applicants plan to partner with additional program collaborators,

the applicant must include Letters of Commitment and/or Memoranda of Understanding, to verify the identity of and relationship with the organization.

- **Employers** may provide opportunities for paid and/or unpaid work experience, OJT, internships, apprenticeships and unsubsidized full and part-time employment.
- **Social Services** may provide assistance to participants in securing food, child care, transportation, clothing, and medical assistance.
- **Rehabilitation Services** may be used to refer participants with disabilities for services that assist them with participating in training and employment programs.
- **Alternative Education Providers** may provide services and instruction that help participants attain a high school diploma or state equivalent.
- **Post-Secondary Education Institutions** may provide participants additional education that leads to career advancement.
- **State and/or local mental health agencies** may provide assessments and assistance to eligible program participants.
- **State and/or local drug and alcohol abuse treatment centers** may provide counseling and treatment to eligible program participants.
- **Housing assistance programs** may provide assistance with securing temporary or permanent housing for program participants.
- **Child Support Offices** can provide assistance with family unification, establishing child support orders, and modifying existing orders.
- **Additional Legal Services:** In addition to expungement, these services may include obtaining and correcting mistakes on juvenile records, obtaining certificates or gathering evidence of rehabilitation, securing an occupational or driver's license.

#### **4. ORGANIZATIONAL ADMINISTRATION AND FISCAL CAPACITY**

Applicants must:

- Describe the length of time and specific experience the organization has in operating programs for offenders;
- The professional qualifications that the applicant will require of the project manager and staff that demonstrate these qualifications are sufficient to ensure proper management, including management of partner activities;
- Provide an organizational chart that identifies all relevant leadership, program, administrative, and advisory positions and demonstrates that the project will be implemented through a comprehensive management structure that allows for efficient and effective communication between all levels of the project and across partner organizations;
- Describe the applicant's procurement processes and procedures including a description of the accounting system being used that demonstrates that the applicant is equipped to meet Federal, State (if applicable), and other relevant procurement requirements.
- Past Performance Chart: In chart format, as an attachment to the Project Narrative, all applicants must provide information on past grant performance in the table as required by the grantor, using the category below that is applicable for your organization.
  - If you have completed an ETA youth or adult Reintegration of Ex-Offenders (RExO) grant, formerly known as the Prisoner Reentry Initiative grant, on or after January 1, 2009, you must, with respect to the most recently completed RExO grant only,

provide past grant performance goals established by DOL and the actual grant outcomes obtained for 1) enrollment and 2) the entered employment rate.

- Applicants with no previous ETA RExO grant awards must provide information on the most recently completed grant that was completed on or after January 1, 2009, in which you served ex-offenders. This may include a program or project that was funded by a Federal agency other than DOL, state or local agencies, one or more foundations, or funded with individual donations and contributions. Specifically, you must select and provide two goals required by the grantor(s)/funder(s) and the actual outcomes obtained, such as placement and credentials.

All applicants must reference only one project that was completed on or after January 1, 2009, as described above. In the attachment, applicants must also provide the project grant number along with the name, title, organization, email address and telephone number of an individual from the previous grantor entity or agency who has oversight for the program referenced above and can verify the information stated by the applicant.

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

- Performance Narrative: Applicants must explain the circumstances for the project referenced above that enabled the applicant to meet the project goals or that prevented the applicant from meeting them. Applicant should discuss the systems in place that allowed it to meet the goals or, if the applicant did not meet the goals, explain how those challenges were overcome to make the project as successful as possible.
- Past Reporting Timeliness Chart: In chart format as an attachment to the Project Narrative, you must provide the two most recent project report due dates and the actual dates on which the reports were submitted for the project identified above. These reports can be programmatic, financial or other reports required by the project.

If the contact person from the grantor entity or agency who can verify timely submission of reports differs from the contact person verifying past grant performance goals and actual grant outcomes, you must submit the name, title, email address and telephone number for this additional individual. Include this information in this attachment.

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

#### 4. Attachments to the Project Narrative

In addition to the Project Narrative, the applicant must submit attachments. All attachments must be clearly labeled as Attachments. Only those attachments listed below will be excluded from the page limit. Additional materials such as resumés or general letters of support must not be included. Applicants must submit their application in one package because documents received separately will be tracked separately and will not be attached to the application for review. Applicants are now limited to using the following characters in all attachment file names. Valid file names may only include the following UTF-8 characters:

A-Z, a-z, 0-9, underscore (\_), hyphen (-), space, period.

## Attachments

- a) **Abstract:** All applicants must submit an up to two-page abstract clearly stating if the program will focus on diversion and/or expungement, and a summary of the proposed project that will be shared publicly, including: 1) the applicant's name, 2) the project title, 3) a description of the area to be served, 4) a short description of the project, 5) the number of proposed participants, 6) the proposed outcomes, 7) the funding level requested including the cost per participant, and 8) public contact information for public inquiries to be addressed (may be an email, website, or phone number). The Abstract is limited to two-page double-spaced single sided 8.5x11 inch pages with 12 point text font and 1 inch margins. If using grants.gov for submission, this document must be attached under the Mandatory Other Attachment section and labeled "Abstract." Please note that applicants will be held to outcomes provided and failure to meet those outcomes may have a significant impact on future grants with ETA.
- b) **Project/Performance Site Location(s) Form:** All applicants must submit a Project/Performance Site Location(s) Form (available at <http://apply07.grants.gov/apply/FormLinks?family=15>),. If using grants.gov for submission, this form must be attached under the required forms section. Please note that this is a standard form used for many programs and has a check box for applying as an individual. Disregard this box on the form as individuals are not eligible to apply for this solicitation.
- c) **Indirect Cost Rate Agreement:** If the applicant is requesting indirect charges, attach the most recent Indirect Cost Rate Agreement approved by the applicant's cognizant Federal agency. (For more information, see Section IV.B.2. and Section IV.E.1.)
- d) **Documentation from the Internal Revenue Service (IRS) that verifies the applicant's non-profit 501(c)(3) status if applying as a non-profit.** The documentation must be signed by an authorized representative of the IRS. All non-profit 501(c)(3) applicants must submit this verification even if the applicant is a current DOL grantee.
- e) **All applicants must submit a Past Performance Chart.** (For review criterion, see Section IV.B.3. Organizational Administration and Fiscal Capacity.) **ETA reserves the right to confirm this information for all applicants.**
- f) **All applicants must submit a Past Reporting Timeliness Chart.** (For review criterion, see Section IV.B.3. Organizational Administration and Fiscal Capacity.) **ETA reserves the right to confirm this information for all applicants.**
- g) **Letters of Commitment and/or Memoranda of Understanding** to support the required program collaborations and the specific roles of each. (For more information, see Section IV.B.3 Program Collaboration and Roles.)
- h) **If the applicant listed additional partners,** Letters of Commitment and/or Memoranda of Understanding to support the additional program collaborations and the specific roles of each. (For more information, see Section IV.B.3. Program Collaboration and Roles.)
- i) **An American Community Survey data table** showing the poverty rate for each Census Tract in the targeted community in accordance with Section IV.B.3 and VIII.E.

## C. Submission Date, Times, Process and Addresses

**The closing date for receipt of applications under this announcement is May 10, 2013.**

Applications must be submitted either electronically on <http://www.grants.gov> or in hard copy by mail or in hard copy by hand delivery (**including overnight delivery**). Hard copy applications must be received at the address below no later than 4:00:00 p.m. Eastern Time on the closing date. Applications submitted on grants.gov must also be successfully submitted (as described below) no later than 4:00:00 p.m. Eastern Time on the closing date. Applicants are cautioned that applications should be submitted before the deadline to ensure that the risk of late receipt of the application is minimized. Applications sent by e-mail, telegram, or facsimile (FAX) will not be accepted.

Applicants submitting proposals in hard copy by mail or overnight delivery must submit an original signed application (including the SF-424) and one (1) “copy-ready” version free of bindings, staples or protruding tabs to ease in the reproduction of the proposal by DOL. Applicants submitting proposals in hard copy are also required to include in the hard copy submission an identical electronic copy of the proposal on compact disc (CD). If discrepancies between the hard copy submission and CD copy are identified, the application on the CD will be considered the official applicant submission for evaluation purposes. Failure to provide identical applications in hardcopy and CD format may have an impact on the overall evaluation. If an application is physically submitted by both hard copy and through <http://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 <http://www.grants.gov>.

No exceptions to the mailing and delivery requirements set forth in this notice will be granted. Further, documents submitted separately from the application, before or after the deadline, will not be accepted as part of the application.

Mailed applications must be addressed to the U.S. Department of Labor, Employment and Training Administration, Office of Grants Management, Attention: Latifa Jeter, Grant Officer, Reference SGA/DFA PY 12-09, 200 Constitution Avenue, NW, Room N4716, Washington, DC 20210. Applicants are advised that mail delivery in the Washington DC area may be delayed due to mail decontamination procedures. Hand-delivered proposals will be received at the above address. 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.

Applications that are submitted through Grants.gov must be successfully submitted at <http://www.grants.gov> no later than 4:00:00 p.m. Eastern Time on the closing date and then subsequently validated by Grants.gov. The submission and validation process is described in more detail below. The process can be complicated and time-consuming. Applicants are strongly advised to initiate the process as soon as possible and to plan for time to resolve technical problems if necessary.

The Department strongly recommends that before applicants begin to write the proposal, they should immediately initiate and complete the “Get Registered” registration steps at [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). Applicants should 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. The site also contains registration checklists to help applicants walk through the process. The Department strongly recommends that applicants download the “Organization Registration Checklist” at [http://www.grants.gov/assets/Organization\\_Steps\\_Complete\\_Registration.pdf](http://www.grants.gov/assets/Organization_Steps_Complete_Registration.pdf) and 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.

As described earlier in Section IV.B.1., applicants must have a DUNS Number and must register with the System for Award Management (SAM).

The next step in the registration process is creating a username and password with Grants.gov to become an Authorized Organizational Representative (AOR). AORs will need to know the DUNS Number of the organization for which they will be submitting applications to complete this process. To read more detailed instructions for creating a profile on Grants.gov visit: [http://www.grants.gov/applicants/org\\_step3.jsp](http://www.grants.gov/applicants/org_step3.jsp).

After creating a profile on Grants.gov, the E-Biz point of Contact (E-Biz POC) - a representative from your organization who is the contact listed for SAM – will receive an email to grant the AOR permission to submit applications on behalf of their organization. The E-Biz POC will then log in to Grants.gov and approve an individual as the AOR, thereby giving him or her permission to submit applications. To learn more about AOR Authorization visit: [http://www.grants.gov/applicants/org\\_step5.jsp](http://www.grants.gov/applicants/org_step5.jsp), or to track AOR status visit: [http://www.grants.gov/applicants/org\\_step6.jsp](http://www.grants.gov/applicants/org_step6.jsp).

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 on file will be inserted into the signature line of the application. Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the AOR; this step is often missed and it is crucial for valid submissions.

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. Within two business days of application submission, Grants.gov will send the applicant two email messages to provide the status of the application’s progress through the system. The first email, sent almost immediately, 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 subsequently successfully validated will be considered. It is the sole responsibility of the applicant 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, sufficient time should be allotted for submission (two business days) 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 sufficient time is not allotted and a rejection notice is received after the due date and time, the application will not be considered.

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. DOL will attempt to open the document but will not take any additional measures in the event of problems with opening. In such cases, the non-conforming application will not be considered for funding.

We strongly advise applicants to use the various tools and documents, including Frequently Asked Questions, which are available on the “Applicant Resources” page at [http://www.grants.gov/applicants/applicant\\_faqs.jsp](http://www.grants.gov/applicants/applicant_faqs.jsp).

ETA encourages new prospective applicants to view the online tutorial, “Grant Applications 101: A Plain English Guide to ETA Competitive Grants,” available through Workforce3One at: [http://www.workforce3one.org/page/grants\\_toolkit](http://www.workforce3one.org/page/grants_toolkit).

To receive updated information about critical issues, new tips for users and other time sensitive updates as information is available, applicants may subscribe to “Grants.gov Updates” at [http://www.grants.gov/applicants/email\\_subscription\\_signup.jsp](http://www.grants.gov/applicants/email_subscription_signup.jsp).

If applicants 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 Contact Center is open 24 hours a day, seven days a week. It is closed on Federal holidays.

**Late Applications:** For applications submitted on Grants.gov, only applications that have been successfully submitted no later than 4:00:00 p.m. Eastern Time on the closing date and then successfully validated will be considered. Applicants take a significant risk by waiting to the last day to submit through Grants.gov.

Any hard copy application received after the exact date and time specified for receipt at the office designated in this notice will not be considered, unless it is received 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, applicants 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 applicable Federal cost principles. Disallowed costs are those charges to a grant that the grantor agency or its representative determines not to be allowed in accordance with the applicable Federal 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 Office of Management and Budget (OMB) Circular 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 (ICR) is required when an organization operates under more than one grant or other activity, whether Federally-assisted or not. Organizations must use the ICR supplied by the Federal Cognizant Agency. If an organization requires a new ICR or has a pending ICR, the Grant Officer will award a temporary billing rate for 90 days until a provisional rate can be issued. This rate is based on the fact that an organization has not established an ICR agreement. Within this 90 day period, the organization must submit an acceptable indirect cost proposal to their Federal Cognizant Agency to obtain a provisional ICR. (See Section IV.B.4. for more information on ICR Agreement submission requirements.)

##### 2. Administrative Costs

Under this SGA, an entity that receives a grant to carry out a project or program may not use more than 10 percent of the amount of the grant to pay administrative costs associated with the program or project. Administrative costs could be direct or indirect costs, and are defined at 20 CFR 667.220. 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 grantee'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, as specified above.

##### 3. Salary and Bonus Limitations

None of the grant funds 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 vendors providing goods and services as defined in OMB Circular A-133 (codified at 29 CFR Parts 96 and 99). See Public Laws 111-117 (Division D, Title I, section 107) and 112-10 (Division B, Title I), and Training and Employment Guidance Letter number 5-06 for further clarification:

[http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2262](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2262).

#### 4. Intellectual Property Rights

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 subgrant or contract under the grant or subgrant; and ii) any rights of copyright to which the grantee, subgrantee 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, these revenues are program income. 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. Internal use by an organization and/or personal use by an individual for non-commercial purposes is permissible. All other uses require the prior authorization of the copyright owner.”

5. Use of Grant Funds for Participant Wages, Stipends, Incentives, and Needs-Related Payments  
Grant funds may be used to pay wages and related benefits for work experiences in the public, private for-profit, or non-profit sectors where the objective assessment and Individual Career Plan indicate that work experiences are appropriate. Payments may take the form of wages or stipends. Stipends are generally provided to participants for participating in classes and training. Wages are compensation for services performed for an employer. Grantees must comply with WIA section 181 and 20 CFR 667.272 of the WIA regulations, which detail the applicable wage and labor standards. If paying participants a stipend, grantees must maintain documentation on how the amount for the stipend was set and the parameters governing its 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 are authorized to provide incentive payments to youth. WIA Sec. 129(a)(5) authorizes incentive payments to youth for recognition and achievement tied to training activities and work experiences. Incentive payments to adults are typically unallowable costs under WIA; however, activities under this SGA are authorized under Section 171(b) of WIA, which allows for demonstration and pilot projects for the purpose of developing and implementing techniques and approaches, and demonstrating the effectiveness of specialized methods, in addressing

employment and training needs. Incentive payments must be tied to the goals of the grant. The organization must have policies and procedures in place governing the award of incentives and the incentives provided under the grant must be in alignment with these organizational policies. In addition, incentive payments are generally considered miscellaneous compensation and are taxable. Please consult [www.irs.gov](http://www.irs.gov) for more information. Under this solicitation, grantees can use no more than 1.5% of the award for incentive payments.

Needs-related payments are a form of supportive services which are paid directly to participants or to other entities to cover specific items of cost incurred by the participant for allowable services that enable the individual to participate in the activity or program. See 20 CFR 663.815. Up to 1.5% of DOL grant funds may be used to provide needs-related payments 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 payment should be tied directly to the cost identified and must be 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: Applications may be withdrawn by written notice to the Grant Officer at any time before an award is made.

**V. Application Review Information**

**A. Criteria**

Procedures for assessing the technical merit of applications have been instituted to provide for an objective review of applications and to assist the applicant in understanding the standards against which each application will be judged. The evaluation criteria are based on the information required in the application as described in Section I. and Section IV.B. The evaluation criteria are described below:

Criterion	Points
1. Need and Justification for Number of Participants To Be Served (See Section IV.B.3.)	10
2. Project Design (See Section IV.B.3.) A. Diversion or Expungement (up to 10 points) B. Case Management (up to 10 points) C. Mentoring (up to 5 points) D. Education (up to 5 points) E. Training Leading to Industry Recognized Credentials for in Demand Industries and Occupations in the State and Local Area (up to 5 points) F. Service-Learning (up to 4 points) G. Workforce Activities (up to 8 points) H. Post Program-Support and Follow-Up Services (up to 3 points)	50
3. Program Collaboration and Roles (See Section IV.B.3.)	20

A. Required Program Collaboration and Roles (up to 15 points)	
B. Additional Program Collaboration and Roles (up to 5 points)	
4. Organizational Administration and Fiscal Capacity (See Section IV.B.3.)	20
TOTAL	100

**1. Need and Justification for Number of Participants to be Served (up to 10 points)**

Points will be awarded under this criterion based on the case you make in your proposal for the local need for the project and justification for the number of participants the applicant proposes to serve. The strength of the case is based on:

- A. The poverty rate of the target community; (0 or 4 points)
- B. Applicants that fail to provide the poverty rate or propose to serve a community with an average poverty rate of less than 30 percent will receive 0 points for all of Criterion 1. The average poverty rate must be based on the applicant’s submission of an American Community Survey data table showing the poverty rate. Applicants that document a poverty rate in the target community at or above the 30 percent rate will receive 4 points for this sub-criterion.
- C. Applicants that demonstrate that the crime rate of the target community is higher than the felony crime rate of the closest police precinct (or other equivalent law enforcement jurisdiction) that overlaps the target community will receive 3 points. Applicants who fail to provide the crime rate for the target area will receive 0 points; (0 or 3 points) and
- D. Applicants that demonstrate that there is a pool of eligible participants equal to or greater than the number of participants that the applicant proposes to serve in the geographic area will receive 3 points. Applicants proposing to serve more participants than were involved in the Juvenile Justice system in their target service area will receive 0 points. (0 or 3 points)

**2. Project Design (up to 50 points)**

Describe how you will address the eight project design components listed below. This criterion will be evaluated on the likely effectiveness of the project design as determined by the specific information, research, and analysis presented in support of the following:

A. Diversion or Expungement (up to 10 points)

The strength of your strategy to provide the *required* diversion or expungement program services as described in Section IV. **NOTE:** Applicants may choose to operate a diversion program, an expungement program or a combination of both programs. Applicants proposing to operate both programs should respond to both sections below. However, applicants will only receive a maximum of 10 points for this subcriterion.

If proposing to operate a diversion program:

- Describe how you will integrate behavioral modification into the program (up to 4 points);

- Describe how you will coordinate between your program staff and juvenile justice staff to ensure participant success (up to 4 points); and
- How you will track participants' progress and share that information with all relevant partners involved in supporting the program (up to 2 points)

and/or

If proposing to operate an expungement program:

- Describe how you will integrate community service into the rehabilitation feature of the request for expungement (up to 2 points);
  - Describe how you will interact with non-profit legal services providers to effectively have a participant's record expunged (up to 4 points); and
  - Describe the rehabilitation services that will be provided to these participants, including community service and/or restorative justice (up to 4 points).
- B. Describe the rehabilitation services that will be provided to these participants, including community service and/or restorative justice (up to 4 points). Case Management (up to 10 points)
- 1) The ratio of case managers to participants and how the case managers will act as advocates for program participants. (up to 2 points)
  - 2) How case managers will assist juvenile justice staff in serving participants and linking them to supportive services. (up to 3 points)
  - 3) How case managers will coordinate with other agencies and organizations to ensure that participants receive counseling as described in IV.B.3. (up to 3 points)
  - 4) How case management services will bridge active program participation to the follow-up period. (up to 2 points)
- C. Mentoring (up to 5 points)
- 1) The strategy for developing evidence-based mentoring programs. (up to 2 point)
  - 2) The strategy for recruiting adult mentors and matching them with participants; frequency of interactions, type of contact, duration of relationship; the procedures for terminating match relationships; and method of interaction with participants (up to 2 points).
  - 3) The quality and comprehensiveness of the training to be provided adult mentors and the strategy for support and supervision of mentors. (up to 1 point)
- D. Education (up to 5 points)
- 1) The educational components to be offered, including the types of educational interventions and/or supports for youth aged 17 and under and youth 18 and older. (up to 2 points)
  - 2) How the educational interventions will be integrated into training and workforce development program components. (up to 2 points)
  - 3) How these interventions will lead participants to the attainment of a secondary school diploma or other State-recognized educational credential (up to 1 point)
- E. Training Leading to Industry-Recognized Credentials in Demand Industries in the State or Local Area. (up to 5 points)
- 1) The type(s) and duration of the training programs offered that lead to credentials in demand industries. (up to 1 point)

- 2) The types of credentials that will be attained by participants as a result of completing the training. (up to 2 points)
  - 3) How training will be integrated into existing career development efforts. (up to 1 point)
  - 4) The process and resources used to identify the selected training program(s) and the justification for the selection of the training programs. (up to 1 points)
- F. Service-Learning (up to 4 points)
- 1) The length of time the applicant will request youth to commit to service-learning activities. (up to 1 point)
  - 2) A description of the service-learning activities that will engage youth in meaningful ways. (up to 1 point)
  - 3) How vocational skills will be integrated into the service-learning project. (up to 1 point)
  - 4) How the development of leadership and soft skills will be supported. (up to 1 point)
- G. Workforce Activities (up to 8 points)
- 1) The method for assisting participants in developing career goals, understanding career pathway options, and developing an Individual Career Plan. (up to 2 points)
  - 2) The delivery of the workforce development component. (up to 4 points)
  - 3) The method of connecting participants with employers. (up to 2 points)
- H. Post-Program Support and Follow-Up Services (up to 3 points)
- 1) The efforts to ensure sufficient post-program support and follow-up services for the minimum of nine months. (up to 1 point)
  - 2) The post-support and follow-up services that will be provided. (up to 1 point)
  - 3) The frequency and intervals of contact with participants during the follow-up period. (up to 1 point)

### 3. Program Collaboration and Roles (up to 20 points)

Points for Collaboration will be rated based on the comprehensiveness and completeness of the responses and the descriptions and documentation provided to support the following:

#### A. Required Program Collaboration and Roles (up to 15 Points)

Describe the extent to which the applicant has received commitments from the required organizations listed in Section IV.B.3. Letters of Commitment and/or Memoranda of Understanding must be included as attachments to the Project Narrative as documentation of required collaboration. **Note: If all of the documentation required for each of the required organizations/entities is not included as specified, the applicant will receive 0 points for this sub-criterion.**

#### B. Additional Program Collaboration and Roles (Up to 5 Points)

Describe the progress made and extent to which the applicant has received commitments from additional collaborators, including the examples listed in Section IV.B.3. To receive points, Letters of Commitment and/or Memoranda of Understanding must be included as attachments to the Project Narrative.

**4. Organizational Administration and Fiscal Capacity (up to 20 points)** The applicant must fully describe its capacity to effectively manage the administrative and fiscal aspects of the proposed project. In addressing this criterion, applicants should provide:

- A. The length of time and specific experience the organization has in operating programs for offenders (up to 3 points);
- B. The professional qualifications required of the project manager and staff that demonstrate these qualifications are sufficient to ensure proper management, including management of partner activities (up to 2 points);
- C. The organizational chart that identifies all relevant leadership, program, administrative, and advisory positions and demonstrates that the project will be implemented through a comprehensive management structure that allows for efficient and effective communication between all levels of the project and across partner organizations (up to 2 points);
- D. The applicant's procurement processes and procedures including a description of the accounting system being used that demonstrates that the applicant is equipped to meet Federal, State (if applicable), and other relevant procurement requirements (up to 3 points);
- E. The length of time and specific experience the organization has in operating programs for offenders. (up to 2 points)
- F. The Past Performance Chart described in Section IV.B.3. (up to 4 points)
  - Applicants who exceeded both of their reported project goals will receive the full 4 points for this sub-criterion.
  - Applicants who met both of their reported project goals will receive 3 points for this sub-criterion.
  - Applicants who met one project goal, but exceeded that goal, will receive 2 points for this sub-criterion.
  - Applicants who met one goal and did not exceed that goal will receive 1 point for this sub-criterion.
  - Applicants who did not meet either goal will receive 0 points for this sub-criterion.
  - If the goals, outcomes obtained, or grantor contact information is not provided in the attachment for the selected project, or if the project submitted was completed before January 1, 2009, the applicant will receive 0 points for all of criterion 4.
- G. The Performance Narrative described in Section IV.B.3. (up to 2 points)
- H. The Past Reporting Timeliness Chart described in Section IV.B.3. (up to 2 points)
  - If these dates are not provided in the attachment, applicants will receive 0 points for this sub-criterion.
  - Applicants that met both due dates will receive 2 points for this sub-criterion.
  - Applicants that met only one due date will receive 1 point for this sub-criterion.
  - Applicants that did not meet any of the due dates will receive 0 points for this sub-criterion.
  - If grantor contact information is not provided in the attachment for the selected project, the applicant will receive 0 points for all of Criterion 4.

## B. Review and Selection Process

Applications for grants under this Solicitation will be accepted after the publication of this announcement and until the specified time on the closing date. A technical review panel will carefully evaluate applications against the selection criteria. These criteria are based on the policy goals, priorities, and emphases set forth in this SGA. Up to 100 points may be awarded to an application, depending on the quality of the responses to the required information described in Section V.A. The ranked scores (which may include the mathematical normalization of review panels) will serve as the primary basis for selection of applications for funding, in conjunction

with other factors such as geographic balance; the availability of funds; and which proposals are most advantageous to the government. The panel results are advisory in nature and not binding on the Grant Officer. 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 <http://www.grants.gov>, which constitutes a binding offer by the applicant.

## **VI. Award Administration Information**

### **A. Award Notices**

All award notifications will be posted on the ETA Homepage (<http://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 proposal.

Selection of an organization as a grantee does not constitute approval of the grant application as submitted. Before the actual grant is awarded, ETA 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. DOL reserves the right to not fund any application related to this SGA.

### **B. Administrative and National Policy Requirements**

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

All grantees will be subject to all applicable Federal laws, regulations, and the applicable OMB Circulars. The grant(s) awarded under this SGA will be subject to the following administrative standards and provisions:

- a. Non-Profit Organizations – OMB Circular A-122 (Cost Principles), relocated to 2 CFR Part 230, and 29 CFR Part 95 (Administrative Requirements)
- b. Educational Institutions – OMB Circular A-21 (Cost Principles), relocated to 2 CFR Part 220, and 29 CFR Part 95 (Administrative Requirements).
- c. State, Local and Indian Tribal Governments – OMB Circular A-87 (Cost Principles), relocated to 2 CFR Part 225, and 29 CFR Part 97 (Administrative Requirements).
- d. Profit Making Commercial Firms – Federal Acquisition Regulation (FAR) – 48 CFR part 31 (Cost Principles), and 29 CFR Part 95 (Administrative Requirements).
- e. All Grant Recipients must comply with the applicable provisions of The Workforce Investment Act of 1998, Public Law No. 105-220, 112 Stat. 936 (codified as amended at 29 U.S.C. 2801 et seq.) and the applicable provisions of the regulations at 20 CFR 660 et seq. Note that 20 CFR part 667 (General Fiscal and Administrative Rules) includes unsuccessful applicant appeal information.
- f. All entities must comply with 29 CFR Part 93 (New Restrictions on Lobbying), 29 CFR Part 94 (Government wide Requirements for Drug-Free Workplace (Financial Assistance)), 29 CFR 95.13 and Part 98 (Government wide Debarment and Suspension, and drug-free workplace requirements), and, where applicable, 29 CFR Part 96 (Audit Requirements for Grants, Contracts, and Other Agreements) and 29 CFR Part 99 (Audits of States, Local Governments and Non-Profit Organizations).

- g. 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.
- h. 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.
- i. 29 CFR Part 32—Nondiscrimination on the Basis of Handicap in Programs or Activities Receiving Federal Financial Assistance.
- j. 29 CFR Part 35— Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance from the Department of Labor.
- k. 29 CFR Part 36—Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance.
- l. 29 CFR Part 37 – Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Investment Act of 1998.
- m. 29 CFR Parts 29 and 30—Labor Standards for the Registration of Apprenticeship Programs, and Equal Employment Opportunity in Apprenticeship and Training, as applicable.

## 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 Title I of the Workforce Investment Act and maintain that hiring practice even though Section 188 of the Workforce Investment Act contains a general ban on religious discrimination in employment. If a faith-based organization is awarded a grant, the organization will be provided with information on how to request such an exemption.

### 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 OMB Circular A-122).

### c. Transparency Act Requirements

Applicants must ensure that they 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:

- All applicants, except for those excepted from the Transparency Act under subparagraphs 1, 2, and 3 below, must ensure that they have the necessary processes and systems in place to comply with the sub award and executive total compensation reporting requirements of the Transparency Act, should they receive funding.
- Upon award, applicants 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: <http://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 proposals in response to this SGA 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 a proposal, Grantees 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. All such activity conducted by ETA and/or Grantee/s will be performed in a manner consistent with applicable state and Federal laws. By submitting a grant proposal, the applicant agrees 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. 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. Grantees must not e-mail unencrypted sensitive PII to any entity, including ETA or contractors.
2. Grantees 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. Grantees must maintain such PII in accordance with the ETA standards for information security described in this TEGP and any updates to such standards provided to the grantee by ETA. Grantees who wish to obtain more information on data security should contact their Federal Project Officer.
3. Grantees shall ensure that any PII used during the performance of their grant has been obtained in conformity with applicable Federal and state laws governing the confidentiality of information.
4. Grantees further acknowledge that all PII data obtained through their ETA grant shall be stored in an area that is physically safe from access by unauthorized persons at all times and the data will be processed using grantee 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-grantee managed IT services, e.g., Yahoo mail, is strictly prohibited unless approved by ETA.
5. Grantee 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.

6. Grantees must have their policies and procedures in place under which grantee 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.
7. Grantees must not extract information from data supplied by ETA for any purpose not stated in the grant agreement.
8. 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.
9. 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.
10. PII data obtained by the grantee through a request from ETA must not be disclosed to anyone but the individual requestor except as permitted by the Grant Officer.
11. Grantees 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 the grantee is complying with the confidentiality requirements described above. In accordance with this responsibility, grantees must make records applicable to this Agreement available to authorized persons for the purpose of inspection, review, and/or audit.
12. Grantees 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, the grantee agrees that all data will be destroyed, including the degaussing of magnetic tape files and deletion of electronic data.

#### e. Record Retention

Applicants must be prepared to follow Federal guidelines on record retention, which require grantees to maintain all records pertaining to grant activities for a period of not less than three years from the time of final grant close-out.

#### 3. Other Administrative Standards and Provisions

Except as specifically provided in this SGA, DOL/ETA's acceptance of a proposal 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 Circulars require that an entity's procurement procedures must ensure that all procurement transactions are conducted, as much as practical, to provide open and free competition. If a proposal identifies a specific entity to provide services, the DOL's award does not provide the justification or basis to sole source the procurement, i.e., avoid competition.

#### 4. Special Program Requirements

#### a. Evaluation

DOL may require that a program or project participate in a formal evaluation of overall grant performance of ETA grants and require the cooperation of the grantee as a condition of award. To measure the impact of the grant program, DOL may conduct an independent evaluation of the outcomes and benefits of the projects employing evaluation methodologies which may include comparison group methods such as random assignment of individuals into treatment (service) and control groups (non-service). By accepting the grant funds, grantees of DOL/ETA sponsored programs agree to fully cooperate in any DOL sponsored evaluation and collect and make individual records on participants (including personally identifying information such as SSN), employers, and funding available to the evaluator(s) under the direction of DOL with appropriate measures to protect the confidentiality of participants. Please note that this evaluation may make use of program Management Information System (MIS) data, local administrative data on crime and recidivism, and program progress reports. We recognize that there will be limitations on this cooperation due to State confidentiality requirements on data on individual offenders. It is critical that the grantee keep this information up to date and accurate for both performance measurement and evaluation purposes.

#### b. Performance Goals

These grants will be subject to performance goals measuring their progress in meeting the goals of the grants. National goals will be set after grant award in the following areas:

- the entered employment rate;
- the retention of participants in employment in the quarter after program completion;
- percent of mentoring matches that endure for at least six months;
- attainment of industry-recognized credentials;
- the rate of record expungements if applicable; and
- the rate of successfully non-adjudicated cases closed as a result of the Diversion Program, if applicable.

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 regarding future grants with ETA.

#### c. 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

The grantee must submit a quarterly progress report 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.

### 3. Quarterly Narrative Reports

Grantees will be required to submit a Quarterly Narrative Report within 45 days after the end of each calendar year quarter. This report must summarize project activities, employment outcomes and other deliverables, and related results of the project, and should thoroughly document the training or labor market information approaches used by the grantee.

### 4. Management Information System (MIS) Reports

Organizations will be required to submit updated MIS data within 45 days after the end of each quarter based on a DOL template that will require quarterly, year-to-date, and program-to-date information on participant demographics at time of enrollment, participant services provided, and interim and long-term participant outcomes. This reporting will require post-placement follow-up and tracking of participants.

## **VII. Agency Contacts**

For further information about this SGA, please contact Mamie Williams, Grants Management Specialist, Division of Discretionary Federal Assistance, at (202) 693-3341. Applicants should e-mail all technical questions to [williams.mamie@dol.gov](mailto:williams.mamie@dol.gov) and must specifically reference SGA/DFA PY 12-09, 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>.

## **VIII. Other Information**

### A. Transparency

DOL is committed to conducting a transparent grant award process and publicizing information about program outcomes. Posting grant applications on public websites is a means of promoting and sharing innovative ideas. For all applications in this grant competition, we will publish the Abstracts required by Section IV.B.4., and selected information from the SF-424 for all applications on the Department's public website or similar publicly accessible location. Additionally, we will publish a version of the Project Narrative required by Section IV.B.3. for all those applications that are awarded grants, on the Department's website or a similar location. No other attachments to the application will be published. The Project Narratives and Abstracts will not be published until after the grants are announced. In addition, information about grant progress and results may also be made publicly available.

DOL recognizes that grant applications sometimes contain information that an applicant may consider proprietary or business confidential information, or may contain personally identifiable information (PII). Proprietary or business confidential information is information that is not usually disclosed outside your organization and disclosing this information is likely to cause you substantial competitive harm.

PII is any information that can be used to distinguish or trace an individual's identity, such as name, social security number, date and place of birth, mother's maiden name, or biometric records, and any other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information.<sup>1</sup>

Abstracts will be published in the form originally submitted, without any redactions. Applicants should not include any proprietary or confidential business information or PII in this summary. In the event that an applicant submits proprietary or confidential business information or PII, DOL is not liable for the posting of this information contained in the Abstract. The submission of the grant application constitutes a waiver of the applicant's objection to the posting of any proprietary or confidential business information contained in the Abstract. Additionally, the applicant is responsible for obtaining all authorizations from relevant parties for publishing all PII contained within the Abstract. In the event the Abstract contains proprietary or confidential business information or PII, the applicant is presumed to have obtained all necessary authorizations to provide this information and may be liable for any improper release of this information.

By submission of this grant application, the applicant agrees to indemnify and hold harmless the United States, the U.S. Department of Labor, its officers, employees, and agents against any liability or for any loss or damages arising from this application. By such submission of this grant application, the applicant further acknowledges having the authority to execute this release of liability.

In order to ensure that proprietary or confidential business information or PII is properly protected from disclosure when DOL posts the winning Project Narratives, applicants whose Project Narratives will be posted will be asked to submit a second redacted version of their Project Narrative, with any proprietary, confidential commercial/business, and PII redacted. All non-public information about the applicant's and consortium members' staff (if applicable) should be removed as well.

The Department will contact the applicants whose Project Narratives will be published by letter or email, and provide further directions about how and when to submit the redacted version of the Project Narrative.

Submission of a redacted version of the Project Narrative will constitute permission by the applicant for DOL to make the redacted version publicly available. We will also assume that by submitting the redacted version of the Project Narrative, the applicant has obtained the agreement to the applicant's decision about what material to redact of all persons and entities whose proprietary, confidential business information, or PII is contained in the Project Narrative. If an applicant fails to provide a redacted version of the Project Narrative within 45 days of DOL's request, DOL will publish the original Project Narrative in full, after redacting only PII. (Note that the original, unredacted version of the Project Narrative will remain part of the

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<sup>1</sup> OMB Memorandum 07-16 and 06-19. GAO Report 08-536, *Privacy: Alternatives Exist for Enhancing Protection of Personally Identifiable Information*, May 2008, <http://www.gao.gov/new.items/d08536.pdf>.

complete application package, including an applicant’s proprietary and confidential business information and any PII.)

Applicants are encouraged to maximize the grant application information that will be publicly disclosed, and to exercise restraint and redact only information that clearly is proprietary, confidential commercial/business information, or PII. The redaction of entire pages or sections of the Project Narrative is not appropriate, and will not be allowed, unless the entire portion merits such protection. Should a dispute arise about whether redactions are appropriate, DOL will follow the procedures outlined in the Department’s Freedom of Information Act (FOIA) regulations (29 CFR Part 70).

Redacted information in grant applications will be protected by DOL from public disclosure in accordance with Federal law, including the Trade Secrets Act (18 U.S.C. § 1905), FOIA, and the Privacy Act (5 U.S.C. § 552a). If DOL receives a FOIA request for your application, the procedures in DOL’s FOIA regulations for responding to requests for commercial/business information submitted to the government will be followed, as well as all FOIA exemptions and procedures. See 29 CFR § 70.26. Consequently, it is possible that application of FOIA rules may result in release of information in response to a FOIA request that an applicant redacted in its “redacted copy.”

#### B. Web-Based Resources

DOL maintains a number of web-based resources that may be of assistance to applicants. For example, the CareerOneStop portal (<http://www.careeronestop.org>), which provides national and state career information on occupations; the Occupational Information Network (O\*NET) Online (<http://online.onetcenter.org>), which provides occupational competency profiles; and America's Service Locator (<http://www.servicelocator.org>), which provides a directory of our nation's One-Stop Career Centers.

#### C. 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 <http://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.

Career Clusters and Industry Competency Models both identify foundational and technical competencies, but their efforts are not duplicative. The Career Clusters link to specific career pathways in sixteen career cluster areas and place greater emphasis on elements needed for curriculum performance objectives, measurement criteria; scope and sequence of courses in a program of study, and development of assessments. Information about the 16 career cluster areas can be found by accessing: [www.careerclusters.org](http://www.careerclusters.org).

#### D. Workforce3One Resources

1. Information on resources can be found on Workforce3One.org at:

<http://www.workforce3one.org>.

2. ETA encourages applicants to view the online tutorial, “Grant Applications 101: A Plain English Guide to ETA Competitive Grants,” available through Workforce3One at:

[http://www.workforce3one.org/page/grants\\_toolkit](http://www.workforce3one.org/page/grants_toolkit).

E. Directions for using the American Community Survey Data to Identify Target Areas for High-Crime/High-Poverty Communities:

1. Begin at the Census Bureau web site at <http://www.census.gov>.
2. Click on <**DATA**> at the bar at the top of the web site and then select <**American Community Survey**>, the 5<sup>th</sup> choice.
3. On the right side of the American Community Survey home page, look under <**Data by Topics**> and choose <**Poverty**>, the 13<sup>th</sup> choice.
4. On the left side of page click on <**Geographies**>. Within the **Select Geographies** drop-down box you will see four tabs; **List, Name, Address** and **Map**.
5. Click on <**Map**>. A map of the United States will come up.
6. On the map of the United States, click on the desired state. A map of the state will appear.
7. To the left of the map, click on <**Boundaries and Features**> and then select the 5<sup>th</sup> choice, <**2011 Census Tracts**>. Make sure to click both boxes, then click on <**Update**> at the bottom of the drop-down box. If 2011 Census Tract is not available, select the most current data available for the target community/ies.
8. Next click on the <**Find a Location**> tab to the left of the map and enter the name of the city you want to serve in the box. Then click on <**Go**>.
9. A list appears with the city you wanted included in the list. Click on your selected city.
10. A map of your city with all the appropriate census tracts will be displayed. You will probably need to enlarge the map by clicking on the “+” at the top of the scroll bar on the left of the map to make the census tract numbers legible. Use the “+” on the scroll bar and **not** the “+” in the blue border above the map.
11. To pan around the map, use the arrow keys above the scroll bar.
12. Under the <**Select Geographies**> tab to the left of the map, click on the down arrow and select the 6<sup>th</sup> option, <**Census Tracts**>.
13. Next, locate the blue rectangle box and click on the “.”, the first choice. Your cursor now becomes a pointer.
14. Move your pointer over the map and click on each desired census tract(s) to be included in your targeted service delivery area.
15. The selected census tracts are now listed to the left of the map. To remove a census tract from the list, click on the blue **X**.
16. When you are satisfied with your selections, click on <**Add to Your Selections**>.
17. Next, click on <**Topics**> located to the left of the map. There will be a Dialogue Box pop up. Just click on the <**X**> to close the Dialogue Box.
18. At the top of the table, look for the tab <**Refine Your Search Results**> and under the heading **Topic or Table Name**, type <**5-Year**> in the box. Then click on the 4<sup>th</sup> option in the drop-down box <**2011 ACS 5-Year Estimates**> or the 5-year estimate applicable to the target community/ies, and click <**Go**>.

19. Click on the first data entry listed, **Poverty Status in the Last 12 Months** 2011 ACS 5-Year Estimates, ID # S1701, or the data applicable to the target community/ies.
20. A table will display the poverty data for the Census Tracts that you selected. Use only the first row of data showing overall poverty numbers for each Census Tract. Use the first column, the total population of the Census Tract and the third column, the number below poverty. Use the directional arrows on the table to move from Census Tract to Census Tract. Do not look at the poverty rate of each Census Tract. Rather, divide the total number in poverty in all of the Census Tracts by the total population of all of the Census Tracts to compute the poverty rate of the entire target community.

## **IX. OMB Information Collection**

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

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. PLEASE DO NOT RETURN THE COMPLETED APPLICATION TO THIS ADDRESS. SEND IT TO THE SPONSORING AGENCY AS SPECIFIED IN THIS SOLICITATION.

This information is being collected for the purpose of awarding a grant. The information collected through this “Solicitation for Grant Applications” 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.

Signed April 1, 2013 in Washington, D.C. by:  
Latifa Jeter  
Grant Officer, Employment and Training Administration