

**DEPARTMENT OF LABOR**

**Employment and Training Administration**

**Notice of Availability of Funds and Solicitation for Grant Applications  
for Reintegration of Ex-Offenders – Adult Program Grants**

**Announcement Type:** Solicitation for Grant Applications (SGA)

**Funding Opportunity Number:** SGA/DFA PY-10-10

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

**Key Dates:** The closing date for receipt of applications under this announcement is **[insert date 30 days after date of publication in Federal Register]**. Applications must be received no later than 4 p.m. Eastern Time.

**Addresses:** Mailed applications must be addressed to the U.S. Department of Labor, Employment and Training Administration, Division of Federal Assistance, Attention: Latifa Jeter, Grant Officer, Reference SGA/DFA PY-10-10, 200 Constitution Avenue, NW, Room N4716, Washington, DC 20210. For complete application and submission information, including online application instructions, please refer to section IV.

**Summary:** The Employment and Training Administration (“ETA”), U.S. Department of Labor (“Department”), announces the availability of \$11.7 million dollars to serve adult ex-offenders returning to their communities. The Department expects to award approximately 10 grants of approximately \$1,170,000 each for a 27-month period of performance. Grants will be awarded to faith-based and community organizations (FBCOs) to provide pre-release and post-release services to ex-offenders returning to high-poverty,

high-crime communities. These services will include job training and employment preparation, mentoring, and assistance connecting to supportive services such as housing, substance abuse programs, and mental health treatment. Specifically, the employment component of the grant will focus on the development of employment opportunities in in-demand occupations, including emerging “green” jobs. Applicants must describe their community’s need for reentry services and the degree to which reentry is an issue; describe their program’s design to provide services to adult ex-offenders that will result in employment in in-demand industries, including “green” jobs; and provide evidence of partnerships with the criminal justice system, local Workforce Investment Boards and One-Stop Career Centers, the local public housing authority and other providers of housing services, and mental health and substance abuse treatment service providers.

This solicitation provides background information, describes the application submission requirements, outlines the process that eligible entities must use to apply for funds covered by this solicitation, and outlines the evaluation criteria used as a basis for selecting the grantees.

## **I. Funding Opportunity Description**

### **A. Background on Funding Opportunity**

Each year approximately 650,000 inmates are released from State and Federal prisons and return to their communities and families. Without assistance to make a successful transition, the majority of ex-offenders return to criminal activity. According to the U.S. Department of Justice, almost

three out of five returning ex-offenders will be charged with new crimes within three years of their release from prison and two out of five will be re-incarcerated.

Released prisoners face a myriad of challenges that contribute to their return to criminal activity, leading to re-arrest and re-incarceration.

Joblessness among ex-prisoners has been broadly linked to recidivism rates.

Statistics indicate that even before incarceration, many adult prisoners have had little to no participation in the workforce. Data from 1997 show that nearly one-third of adult prisoners were unemployed in the month before their arrest, compared to seven percent unemployment in the general population.<sup>1</sup>

Post-incarceration, employment rates only get worse—unemployment among ex-offenders has been estimated at between 25 and 40 percent. Likewise, prisoners also demonstrate low levels of educational attainment. Nineteen percent of adult State prisoners are completely illiterate and 40 percent are functionally illiterate;<sup>2</sup> over half of State parole entrants were not high school graduates and as many as eleven percent had only an eighth grade education or less.<sup>3</sup> Additionally, the high economic cost of incarceration and the loss of large numbers of potential workers in some cities and regions across the U.S. threaten our nation's global competitiveness.

Research has also documented the substance abuse and mental health issues of ex-offenders—factors that are likely to contribute to poor education levels, un-employability, and a return to criminal activity. For example, a

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<sup>1</sup> Petersilia, Joan (2003). *When Prisoners Come Home: Parole and Prisoner Reentry*. Oxford University Press, New York, NY.

<sup>2</sup> Rubinstein, 2001 as quoted in Petersilia, 2003.

<sup>3</sup> Petersilia, 2003.

study of parolees from State prisons in 1999 found that 84 percent had been using an illegal drug or abusing alcohol at the time of their offense. One-quarter had been alcohol dependent and one-quarter had been IV drug users. Fourteen percent had a mental illness and twelve percent were homeless at the time of their arrest. In some States, nearly one-quarter of parole revocations were related to drug-related violations.<sup>4</sup> Estimates of mental illness among the prison population vary. One study found that sixteen percent of State prison and local jail inmates had a mental illness, as did seven percent of Federal prisoners. Among detainees with a mental disorder, 72 percent also had a substance abuse disorder.<sup>5</sup> In a survey of prisoners, one-fourth of male adults and more than one-third of female adults reported having been treated at some time for a mental or emotional problem.<sup>6</sup> However, only one-third of adult male detainees and one-fourth of females who needed services for severe mental disorders received treatment in jail.<sup>7</sup>

In order to successfully reintegrate into the community, it is essential that ex-offenders possess the skills and support necessary to enter and compete for jobs in the labor market. FBCOs are uniquely positioned to provide the services needed to assist with the reintegration of these ex-offenders back into their communities because they can provide the resources

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<sup>4</sup> Hughes, T.A., Wilson, D.J., and Belk, A.J. (2001). *Trends in State Parole, 1990-2000*. U.S. Department of Justice, Bureau of Justice Statistics, Washington, DC.

<sup>5</sup> Ditton, P.M. (1999). *Mental Health and Treatment of Inmates and Probationers*. U.S. Department of Justice, Washington, DC.

<sup>6</sup> Harlow, C.W. (1998). *Profile of Jail Inmates, 1996*. U.S. Department of Justice, Bureau of Justice Statistics, Washington, DC.

<sup>7</sup> *Report to Congress on the Prevention and Treatment of Co-occurring Substance Abuse Disorders and Mental Disorders*. (2002). U.S. Department of Health & Human Services, Substance Abuse and Mental Health Services Administration, Washington, DC.

and infrastructure that are necessary to intervene in the lives of ex-offenders and interrupt cycles of crime and incarceration. Since collaboration and communication with public, private and nonprofit providers and policymakers are essential to helping those in resource-poor neighborhoods, the trust that FBCOs have earned is invaluable. This grant will rely heavily on FBCOs to develop relationships and facilitate connections to rehabilitation services for program participants.<sup>8</sup>

## **B. Required Program Components**

The Reintegration of Ex-Offenders – Adult (RExO – Adult) program is designed to strengthen the communities to which the majority of ex-offenders return through an employment-centered program that focuses on job opportunities and training in in-demand occupations such as those in “green” industries, incorporates mentoring, and facilitates the connection to supportive services such as housing, substance abuse programs and mental health treatment. FBCOs must provide comprehensive and coordinated services to ex-offenders in each of the three components described below.

**1. Employment opportunities to reduce recidivism.** The RExO – Adult program is an employment-centered program intended to address the needs of ex-offenders returning to communities. Employment is a critical stabilizing factor for ex-offenders and this initiative will stress job placement in in-

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<sup>8</sup> Yoon, Jamie and Nickel, Jessica. (2008). *Reentry Partnerships: A Guide for State and Faith-Based and Community Organizations*. Council of State Governments Justice Center, New York, NY.

demand industries such as “green” jobs, job retention, and increasing the earning potential of ex-offenders. FBCOs will offer job placement services in coordination with businesses, local One-Stop Career Centers, educational institutions, and other employment service providers. FBCOs will also use services available to support employment of ex-offenders, such as the Federal Bonding program and Work Opportunity Tax Credits. FBCOs should develop partnerships with various employment partners, including Employer Advisory Councils, Chambers of Commerce, Neighborhood Business Councils and individual employers to ensure a pathway to employment for participants.

2. Vocational training and educational interventions designed to improve the career pathways and earning potential of ex-offenders. Educational attainment is increasingly critical in the global economy. Many jobs will require more than a secondary degree. The Center for Economic Policy Research found that “[t]ime behind bars can lead to deterioration in a worker’s ‘human capital,’ including formal education, on-the-job experience, and even ‘soft skills’ such as punctuality or customer relations.”<sup>99</sup> In order to improve employment opportunities for ex-offenders, opportunities for educational attainment and industry-recognized certificates are essential. FBCOs should conduct assessments and work with participants to create individual development plans to connect participants that may not be ready for immediate employment with opportunities for vocational and educational assistance. This may take the form of continuing education services

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<sup>99</sup> Schmitt, John and Warner, Kris. (2010). *Ex-Offenders and the Labor Market*. Center for Economic Policy Research, Washington, DC.

(including literacy and numeracy gains toward the attainment of a high school diploma or GED, or toward the attainment of an Associate's or Bachelor's degree), provided by partnering with adult education agencies, community colleges and other education providers. Participants must also be given opportunities for training in work readiness and soft skills. As well, FBCOs should use these partnerships to offer opportunities for advanced vocational training with the goal of industry-recognized certifications, particularly in in-demand occupations in the local economy such as in "green" industries. The Department uses a broad framework for thinking about green jobs with the understanding that knowledge, skills, and abilities are transferable across industry sectors. This understanding may also be applied to the skills required for green jobs. All of these reference points – WIA, BLS, and O\*NET – provide a broad framework for defining green jobs. Applicants may use any or all of these definitions in identifying the green occupations in which they propose to provide training. Applicants may also propose their own definition of green jobs if they can support their definition with evidence.

First, WIA identifies the following seven energy efficiency and renewable energy industries in Section 171(e)(1)(B)(ii).

- The energy-efficient building, construction, and retrofit industries;
- The renewable electric power industry;

- The energy efficient and advanced drive train vehicle industry;
  - The biofuels industry;
  - The deconstruction and materials use industries;
  - The energy efficiency assessment industry serving residential, commercial, or industrial sectors; and
- Manufacturers that produce sustainable products using environmentally sustainable processes and materials.

Second, the Bureau of Labor Statistics (BLS) conducted considerable research on energy efficiency and renewable energy occupations in an effort to further refine the definition of green jobs into two broad categories:

- Jobs in businesses that produce goods or provide services that benefit the environment or conserve natural resources; and
- Jobs in which workers' duties involve making their establishment's production processes more environmentally friendly or use fewer natural resources.

For more information on the BLS Green Jobs Definition, please visit: <http://www.bls.gov/green/#definition>.

Lastly, the Department has funded O\*NET research, which is published in the February 2009 O\*NET report, Greening of the World of Work: Implications for O\*NET-SOC and New and Emerging Occupations ([http://www.onetcenter.org/dl\\_files/Green.pdf](http://www.onetcenter.org/dl_files/Green.pdf)) that showed there are existing green occupations that are growing in demand and those that require enhanced skills, or have activities and technologies that result in a significant change to



the work and worker requirements. O\*NET's list of green occupational sectors is quite comprehensive and includes:

- Renewable Energy Generation (including power plant operators);
- Energy Efficiency (including electrical powerline installers and repairers);
- Energy Trading;
- Research, Design, and Consulting;
- Agriculture and Forestry;
- Recycling and Waste Reduction (including solid waste and wastewater management, treatment, and reduction, and processing recycling materials);
- Transportation;
- Green Construction;
- Energy and Carbon Capture;
- Environment Protection (including Brownfield Remediation Specialists and Site Managers);
- Manufacturing; and
- Governmental and Regulatory.

All of these reference points – WIA, BLS, and O\*NET – provide a broad framework for defining green jobs.

**3. Mentoring of ex-offenders to support reintegration.** Mentoring is a key element of reentry support. Previous research and programming have shown

mentoring to be a promising practice in reducing recidivism and supporting returning offenders.<sup>10</sup> FBCOs must provide post-release mentoring as it is essential to reintegrating ex-offenders in coordination with the corrections, parole, and probation structure. Participating adult ex-offenders will be matched with appropriate mentors who will be primarily responsible for offering support and guidance to the ex-offender in the community and the workplace. For the purposes of the RExO – Adult program, mentoring is defined as a relationship over a prolonged period of time between two or more people where caring volunteer mentors assist ex-prisoners in successfully and permanently reentering their communities by providing consistent support as needed, guidance, and encouragement that impacts RExO - Adult participants in developing positive social relationships and achieving program outcomes such as job retention, family reunification and reduced recidivism.

### **C. Partnerships and Services to Support Participant Success**

In addition to partnering with employers, grantees are expected to partner with Local Workforce Investment Boards (LWIBs) and One-Stop Career Centers. These workforce system entities can provide training in work readiness and soft skills, as well as opportunities for education and vocational training, and access to employer partners. A small but growing number of One-Stop Career Centers, as described above, have a particular focus on the needs of ex-offenders. Examples of partnerships with LWIBs and One-Stop

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<sup>10</sup> Bauldry, Shawn, Djakovic, Danijela Korom, McClanahan, Wendy S., McMaken, Jennifer, and Kotloff, Laurie. (2009). *Mentoring Formerly Incarcerated Adults: Insights from the Ready4Work Reentry Initiative*. Public/Private Ventures, Philadelphia, PA.

Career Centers include memoranda of understanding for referral to supportive services, training and other opportunities provided by these entities, and co-location of staff from the FBCO grantee at the One-Stop Career Center to serve as a liaison for RExO-Adult participants using the One-Stop Career Center.

Grantees should also seek to partner with State and local correctional agencies, including State Departments of Corrections, county and city jails, and probation/parole offices, to provide referrals of prisoners being released or recently released into the communities being served with this grant, as well as to provide access to state prisons and county or city jails to serve offenders within three months of release. These agencies will also be important partners in documenting recidivism outcomes as described in Section VI.C. Past examples of collaborative partnerships have included partnering with correctional agencies that have received Second Chance Act funding to provide a seamless process of referrals and partnerships with Reentry One-Stop Career Centers, located in communities or in jails, which focus on the employment needs of soon-to-be-released prisoners and released ex-offenders. As well, many prisons use employment advisory councils that provide behind-the-fence apprenticeship opportunities for inmates and create pathways to post-release employment. Partnering with state prisons around employment advisory councils can create stronger linkages to industry-recognized certification opportunities and employment connections.

The Department has determined that grant funds cannot be used to provide housing, substance abuse or mental health services; therefore, grantees must create strong partnerships with clearly defined roles and letters of commitment to provide the supportive services needed to assist ex-offenders to successfully enter the workforce or use other funding sources to provide these services in-house. FBCOs should work to develop partnerships with the following entities:

- Drug and alcohol abuse treatment centers and mental health service providers to give referrals to program participants in need of such services. This may include partnering with Federal, State or locally funded substance abuse treatment programs, community-based mental health treatment centers or other health treatment providers that can serve ex-offenders.
- Community homeless shelters, housing authorities or other providers of short-term and emergency shelter. Housing is a key concern of ex-offenders on release from incarceration and is integral to creating the stability necessary to succeed in employment.

#### **D. Allowable Uses of Grant Funds**

Allowable uses of grant funds for projects funded under these grants include, but are not necessarily limited to, the following activities:

- 1) Up to three months before release from incarceration, grantees can provide services, to include:

- Orientation activities for new participants;
  - Assessment activities, including risk assessment, work-readiness assessments and education placement assessments;
  - Developing post-release plans;
  - Assisting prisoners to obtain documents necessary for employment upon release;
  - Education and vocational training;
  - Job training;
  - Mentoring and case management; and
  - Any other activities necessary to prepare offenders for employment at release.
- 2) Post-release workforce development services, such as:
- Education and vocational training;
  - Job training;
  - On-the-job training;
  - Work readiness training;
  - Work experience;
  - Job placement assistance; and
  - Basic skills remediation.
- 3) Case management services, including referrals to housing assistance, mental health counseling, and substance abuse treatment, among other supportive services.
- 4) Mentoring, both during active participation and after program exit.

- 5) Follow-up services that focus efforts on job retention, wage gains and career progress through regular contact with employers and other post-placement supporting agencies, including assistance in addressing work-related problems that arise, assistance in securing better paying jobs, career development and further education, continued mentoring, and performance tracking of participant outcomes.
- 6) These funds can also be used to provide monetary incentives to participants for performance or success in meeting benchmarks, and up to 1.5% of DOL grant funds may be used to provide needs-based payments to assist participants with costs related to food or other household items, such as paying a utility bill to prevent shut-off. FBCOs must have a consistent standard and policy in place on the provision of both incentive awards and needs-based payments. Further information on the 1.5% needs-based payment policy can be found under Section IV.E.

## **II. Award Information**

### **A. Award Amount**

The Department expects to award approximately 10 grants of approximately \$1,170,000 each for a 27-month period of performance. In the event additional funds become available as a result of the FY 2011 appropriation, ETA reserves the right to use such funds to select additional grantees from applications submitted in response to this solicitation. The

Department anticipates the approximate cost-per-participant to be \$3,000 with each grantee serving approximately 195 participants in the first year of program services, after the pre-implementation planning period.

#### B. Period of Performance

These grants will be funded for a 27-month period of performance, to include up to three months of pre-implementation planning and a minimum of two full years of program services. In the Budget Narrative, discussed in Section IV.B, Part I, applicants must provide separate budgets for the planning and program services periods. Grantees should be judicious in their use of funds during the planning phase and use them specifically for planning and pre-implementation activities associated with this grant.

### **III. Eligibility Information**

#### A. Eligible Applicants

Recipients of these grants will be non-profit faith-based and community organizations (“FBCOs”) that are located in or have existing staff presence in the high-poverty, high-crime area to be served. This grant focuses on high-poverty, high-crime areas that are heavily impacted by a large proportion of ex-offenders returning each year and which experience high rates of recidivism. A single application may be submitted to serve multiple sites. However, applicants must demonstrate that they have an existing organizational presence in each of the identified geographic areas to be served. The application may not be for more than \$1,170,000, with additional

funding for multiple sites coming from other leveraged resources if DOL funding does not fully cover the cost of operating a multi-site grant. Previous recipients of RExO – Adult grants are eligible for this solicitation.

## B. Cost Sharing or Matching

Cost sharing or matching is not required, although leveraging of resources is strongly encouraged in order to maximize the impact of the grant. Applicants should describe what resources, new and existing, may support the goals of the project. While the failure to offer leveraged resources as a part of an application will not preclude consideration of the application, it will place the applicant at a competitive disadvantage against applicants that do so to the extent that an applicant's ability to provide required employment-related services and to arrange for supportive services is improved by access to resources beyond this grant.

## C. Eligible Participants

### 1. Participants Eligible to Receive Training

Individuals 18 years old and older who have been convicted as an adult and imprisoned under Federal or State law, and who have never been convicted of a sex-related offense other than prostitution, can be served with these grants. Eligible individuals can be referred from partnering criminal justice agencies and also recruited from within the target community. All individuals served by this program must be enrolled in the program within 180



days after their release from prison, jail, or a halfway house and must be returning to the target community. Services may be provided to current inmates, including residents of a halfway house, with release dates within three months of the start of services. 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.

## 2. 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 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 this SGA must consist of three separate and distinct parts: (I) a cost proposal; (II) a technical proposal; and (III) attachments to the technical proposal. Applications that do not contain all of the three parts or that fail to adhere to the instructions in this section will be considered non-responsive and will not be considered. It is the applicant's responsibility to ensure that the funding amount requested is consistent across all parts and sub-parts of the application.

**Part I. The Cost Proposal.** The Cost Proposal must include the following items:

- SF-424, "Application for Federal Assistance" (available at [http://www07.grants.gov/agencies/forms\\_repository\\_information.jsp](http://www07.grants.gov/agencies/forms_repository_information.jsp)). 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. All applicants for Federal grant and funding opportunities are required to have a Data Universal Numbering System (D-U-N-S®) number, and must supply their D-U-N-S® Number on the SF-424. The D-U-N-S® Number is a nine-digit identification number that uniquely identifies business entities. If you do not have a D-U-N-S® Number, you can get one for free through the D&B website: <http://fedgov.dnb.com/webform/displayHomePage.do>.

- The SF-424A Budget Information Form (available at [http://www07.grants.gov/agencies/forms\\_repository\\_information.jsp](http://www07.grants.gov/agencies/forms_repository_information.jsp)). 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.

Applicants must provide separate budget narratives for the pre-implementation and program services periods but should only submit one SF-424A. Applicants may budget for a three-month pre-implementation period and must budget for a minimum of 24 months of program services. Grantees should be judicious in their use of funds during the pre-implementation planning period and use them specifically for planning and pre-implementation activities associated with this grant. In addition, the applicant should address precisely how the administrative costs support the project

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

- 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. Applications that fail to provide an SF-424 including D-U-N-S® Number, SF-424A, and a budget narrative will be considered non-responsive and not reviewed.

- Regardless of the method of application submission, all applicants must register with the Federal Central Contractor Registry (CCR) before submitting an application. Step-by-step instructions for registering with CCR can be found at [http://www.grants.gov/applicants/org\\_step2.jsp](http://www.grants.gov/applicants/org_step2.jsp). A grantee must maintain an active CCR 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 CCR database after the initial registration, the applicant is required to review and update on an annual basis from the date of initial registration or subsequent updates its information in the CCR 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. Failure to register with the CCR before application submission will result in your application being found non-responsive and not being reviewed.

**Part II. The Technical Proposal.** The Technical Proposal must demonstrate the applicant's capability to implement the grant project in accordance with the provisions of this Solicitation. The guidelines for the content of the Technical Proposal are provided in section V of this SGA. The Technical Proposal is limited to 20 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. Applicants should number the Technical Proposal beginning with page number 1. Applications that do not include Part II, the Technical Proposal, will be considered non-responsive and not reviewed.

**Part III. Attachments to the Technical Proposal.** In addition to the Technical Proposal, the applicant must submit the following attachments:

- a) An up to two-page abstract summarizing the proposed project, which includes a brief discussion of the geographic area to be served by the grant, the sources of recruitment for participants, the training and employment opportunities to be offered, and the partnerships that will be developed;
- b) A timeline outlining project activities; and
- c) Letters of commitment from expected partners, including criminal justice agencies, housing agencies, substance abuse treatment

facilities, and the local Workforce Investment Board or One-Stop Career Center, as well as other letters of commitment as described in the Technical Proposal.

Applications that do not include the required attachments will be considered non-responsive and will not be reviewed.

Only those attachments listed above as required attachments will be excluded from the page limit. The required attachments must be affixed as separate, clearly identified appendices to the application. Additional materials such as resumes or general letters of support will not be considered.

Applicants should not send documents separately to ETA, because documents received separately will be tracked through a different system and will not be attached to the application for review. ETA will not accept general letters of support submitted by organizations or individuals that are not partners in the proposed project and that do not directly identify the specific commitment or roles of the project partners. Support letters of this nature will not be considered in the evaluation review process.

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

The closing date for receipt of applications under this announcement is **[insert date 30 days after date of publication in Federal Register]**.

Applications may be submitted electronically on <http://www.grants.gov> or in hard-copy by mail or hand delivery (**including overnight delivery**). Hard-copy applications must be received at the address below no later than 4 p.m.

Eastern Time. Applications submitted on <http://www.grants.gov> must also be successfully submitted (as described below) no later than 4:00 p.m. Eastern Time. Applications sent by e-mail, telegram, or facsimile (FAX) will not be accepted.

Applicants submitting proposals in hard-copy 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 provide 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>. Applications that do not meet the conditions set forth in this notice will be considered non-responsive. 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, Division of Federal Assistance, Attention: Latifa Jeter, Grant Officer, Reference SGA/DFA PY-10-10, 200 Constitution Avenue, NW, Room N4716, Washington, DC 20210. Applicants are advised that mail delivery in the Washington area may be delayed due to mail decontamination procedures. Hand-delivered proposals will be received at the above address. All overnight mail 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 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 the applicant begins to write the proposal, applicants 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 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 you 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 above, applicants must have a D–U–N–S® Number and must register with the Federal Central Contractor Registry (CCR).

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 D-U-N-S® 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 CCR – 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 applicant 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 you submit the application through Grants.gov, the name of your 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. 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, .xls or .pdf files. If submitted in any other format, the applicant bears the risk that compatibility or other issues will prevent us from considering the application. ETA 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 FAQs, which are available on the “Applicant Resources” page at <http://www.grants.gov/applicants/resources.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 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 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 by 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 proposal 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.

DOL grant funds must not be used to provide substance abuse treatment, housing assistance, or healthcare costs for participants. We expect grantees to use existing resources in the community and refer participants to

providers who can assist participants in meeting these needs. DOL grant funds also cannot be used to pay for food to participants except as a needs-based payment through which the participant can purchase food or by providing food baskets or vouchers for food and household items as a supportive service to enrollees. Where a grantee provides needs-based payments, the grantee must have a detailed policy in place documenting how need is assessed, in what situations such payments are provided to participants, and the criteria for eligibility to receive the payments. Payments must not exceed more than 1.5% of the grant program's total operating budget.

#### 1. Indirect Costs

As specified in 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

#### 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

Under Public Law 109-234, none of the funds appropriated in Public Law 109-149 or prior Acts under the heading "Employment and Training Administration" that are available for expenditure on or after June 15, 2006, may be used by a recipient or sub-recipient 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, except as provided for in section 101 of Public Law 109-149. Public Laws 111-8 and 111-117 contain the same limitation on funds appropriated under each of these Laws. This limitation applies to grants funded under this SGA. The salary and bonus 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 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 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.”

**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. Evaluation Criteria**

This section identifies and describes the criteria that will be used to evaluate proposals. Points will be awarded as follows:

Criterion	Points
1. Need in the Area to Be Served	15
2. Project Design and Service Strategy	50
3. Partnerships and Services to Support Participant Success	20
4. Organizational Experience and	15

Administrative Capacity	
TOTAL	100

The components listed above make up the Technical Proposal (along with the additional requirements listed in Section IV, Part B).

1. NEED IN THE AREA TO BE SERVED (15 points)

Grantees must provide the following information to meet this criterion.

Identify the community that you propose to serve through your grant and describe its need for this Federal support. Demonstrate how your community can benefit from Federal assistance due to being an area of high crime and high poverty that is heavily impacted by high numbers of returning prisoners and high rates of recidivism. In order to identify the community as high-poverty, applicants should demonstrate a poverty rate of at least 30 percent for the target community. The U.S. Census Bureau now has American Community Survey data available at the Census Tract level. Applicants must use American Community Survey data to show in their proposals the cumulative poverty rate of the various Census Tracts included in their target community. Individual Census Tracts within the proposed target community may have poverty rates of less than 30 percent, but the cumulative poverty rate for the community to be served must be over 30 percent. In order to demonstrate that the target community is a high-crime community, applicants must demonstrate that the felony crime rate in the police precinct that most closely overlaps with the community to be served is higher than the overall

city's felony crime rate. Use local law enforcement data to show the number of ex-offenders returning to the community each year and the recidivism rate for the community and how this compares with the county or State as a whole. Use the census tract data to also show the population of the community and its unemployment rate. Where possible, use data at the neighborhood level rather than the county level in addressing the need for your project.

The points under this criterion will be based on the evidence that the applicant provides of the need for this project in the area the applicant will be serving. Make the best case for why the local area needs this grant. Provide the sources of all data. Describe what resources are currently available to serve ex-offenders returning to the community and what gaps currently exist in these services.

Proposals will be evaluated under this criterion as follows:

Up to 15 points will be awarded under this criterion based on the case the applicant makes in the proposal for the local need for the project. The strength of the case is based on:

- the poverty rate of the community;
- the crime rate of the community;
- the rate of recidivism for the area to be served;
- the number of offenders returning to the area each year, where such data is available. If the data is not available, provide an estimated

number of returning offenders and please explain the basis on which the estimate was made.

- the population and unemployment rate of the community;
- the assessment of resources currently available to serve returning ex-offenders; and
- the current gaps in supportive services available to ex-offenders.

## 2. PROJECT DESIGN AND SERVICE STRATEGY (50 points total)

Grantees must provide the following information to meet this criterion.

Describe how the applicant will implement each of the required project components of the grant announcement.

- **Employment opportunities to reduce recidivism.** (20 points)

Describe how you will use funds available under this grant to increase the employment opportunities of ex-offenders. Discuss how you will provide work-readiness training, job placement, and post-placement support. Provide details of how you will create an employment plan for individual participants. Indicate the expected amount of time that participants will be actively served in your program. Also describe how you will work with employers to identify and create job openings for released prisoners, including how One-Stop Career Centers and other workforce development agencies may be used to create employment opportunities. Describe how you will maintain contact with participants post-exit to track employment retention and ensure

job re-placements as needed. Describe how you will use labor market information to connect participants with jobs in high-growth, in-demand industries, particularly those most likely to hire ex-offenders. Describe any existing or planned connections to other DOL-funded workforce development projects in the service area. Be sure to include a staffing plan that indicates how many direct-service staff will be hired with these grant funds to assist released prisoners to find employment and to justify the need for the staffing level.

- **Vocational training and educational interventions designed to improve the career pathways and earning potential of ex-offenders.** (15 points) Describe how you will use assessments to identify the potential for increasing educational attainment of participants, either through the attainment of a high school diploma or GED or through post-secondary education or vocational training. Describe particular vocational training, including “green” industry training, that will be offered to participants and how the training will lead to employment. Provide details of any opportunities to partner with community colleges, vocational training providers, and prison employment advisory councils for continuing education, vocational training and work readiness training.
- **Mentoring of ex-offenders to support reintegration.** (15 points) Discuss your plans for providing mentors to released prisoners. Describe any experience that you have in operating mentoring

programs or how you will develop this capacity. Describe how the mentoring component will be structured, administered and staffed. Describe how you will recruit mentors. If appropriate, describe how other FBCOs may be involved in recruiting mentors for this project. Describe what training you will provide to mentors and the method you will use to match mentors to participants. Discuss who you will target for recruitment as mentors and how these mentors will be supervised and supported.

Proposals will be evaluated under this criterion as follows:

The points for the Employment Opportunities component will be rated by the panel based on the extent to which the applicant describes:

- a strategic plan for creating employment opportunities for participants, including existing relationships with employers and the development of new relationships;
- other methods to increase employment opportunities, including connections with existing workforce development programs and One-Stop Career Centers;
- the use of Labor Market Information to determine the in-demand occupations of the target community and surrounding areas;
- strategies to connect participants with in-demand occupations, including the degree to which the applicant will connect participants to “green” industry jobs;

- the follow-up plan for retention tracking and re-placement; and
- the staffing plan to support participant placement.

The points for the Vocational Training and Educational Interventions component will be rated by the panel based on:

- the extent to which community colleges and other vocational training providers are included as partners and service providers;
- the incorporation of educational opportunities, including GED attainment and post-secondary education; and
- the vocational training and work readiness training to be offered, including the degree to which there is a green training component.

The points for the Mentoring component will be rated by the panel based on:

- the plan for developing a comprehensive mentoring component;
- the extent to which the strategy for mentor recruitment has been outlined;
- the description of the method for matching mentors to participants;
- the quality and comprehensiveness of the training to be provided to mentors and the strategy for support and supervision of mentors; and
- the level of experience of the program in operating mentoring programs.

### 3. PARTNERSHIPS AND SERVICES TO SUPPORT PARTICIPANT SUCCESS (20 points)

Describe partnerships in place to provide both transitional housing and permanent housing to released prisoners. Provide examples of local partnerships that you have developed or will develop to secure substance abuse treatment and supportive services for released prisoners. Also describe any additional local partnerships that may be in place, including those for physical and mental health services, child support enforcement assistance, transportation assistance or other supportive services. Describe how your program will coordinate services provided by One-Stop Career Centers and other workforce investment programs to ensure that they are being provided to the ex-offenders you are serving and to improve and increase the coordination and delivery of services to ex-offenders, which may include the co-location of staff or other explicit partnership agreements. Describe your plans for working with State, county or local criminal justice agencies, including probation and parole systems, in operating your program. Describe your plans for obtaining referrals from these agencies and in gaining entrance to prisons and jails to recruit and serve offenders up to three months prior to their release. Where they exist, describe the types of training offered pre-release through employment advisory councils or other means. Describe how you plan to coordinate with parole and probation in providing post-release services for ex-offenders. Describe past experience and/or contracts in which you worked with the criminal justice agency in your state or county. Describe how you will partner collaboratively with the State or local criminal justice agency to meet the expected outcomes of this grant, including receiving on-



going updates regarding participant recidivism from the criminal justice agency.

Applicants may submit letters of commitment detailing the role of partners, duration of the commitment, and any additional resources being committed, but are not required to do so.

Proposals will be evaluated under this criterion as follows:

The points for this criterion will be rated by the panel based on the quality of the responses and the evidence provided to the following:

- the description of a comprehensive network of existing partnerships or plans to develop partnerships with local organizations, including other FBCOs and other State or local government agencies, to provide alcohol and drug abuse treatment, physical and mental health services, housing and transportation assistance, and other necessary supportive services;
- a comprehensive description of how the applicant will partner with One-Stop Career Centers and other workforce investment programs to ensure service provision and increase collaboration and delivery of workforce services to ex-offenders, including opportunities for co-location of staff or other explicit partnership agreements;
- the existence or development of integrated, committed partnerships with State, county and local criminal justice agencies and probation and parole systems to provide access to pre-release offenders, referrals

of participants post-release, and information on recidivism outcomes, as well as the description of any opportunity, where they exist, to connect with prison employer advisory councils for increased vocational training opportunities and post-release employment pathways; and

- the way in which partners will be cohesively incorporated into the overall service strategy of the RExO – Adult grant project.

#### 4. ORGANIZATIONAL EXPERIENCE AND ADMINISTRATIVE CAPACITY (15 points)

Describe your organization and its qualifications for serving as the grantee in this initiative. Describe how long your organization has been in existence in the area to be served. Describe previous programs the organization has provided in the area to be served. Discuss the experience of the organization or individual staff in operating reentry and employment programs, including the results of those programs (in terms of performance outcomes). Describe the qualifications of key staff persons of your organization who may work on this project and their specific experience relating to this project. Also describe previous experience of the organization in operating grants from either Federal or non-Federal sources. Describe the fiscal controls in place in your organization. Also describe how your organization will plan for program sustainability to allow it to continue serving ex-offenders once the Federal grant funds have been expended.

Proposals will be evaluated under this criterion as follows:

The points for this criterion will be rated by the panel based on:

- the years and quality of the experience of the organization or relevant staff in working with ex-offenders and employment programming;
- the performance outcomes for previously served participants; and
- the quality of the plan for sustainability for the program once Federal grant funds are expended.

B. Review and Selection Process

Applications for grants under this Solicitation will be accepted after the publication of this announcement and until 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, Part A. The ranked scores will serve as the primary basis for selection of applications for funding, in conjunction with other factors such as urban, rural, and 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:

i. Non-Profit Organizations – OMB Circular A–122 (Cost Principles), relocated to 2 CFR Part 230, and 29 CFR Part 95 (Administrative Requirements)

ii. Educational Institutions – OMB Circular A–21 (Cost Principles), relocated to 2 CFR Part 220, and 29 CFR Part 95 (Administrative Requirements).

iii. 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).

iv. Profit Making Commercial Firms – Federal Acquisition Regulation (FAR) – 48 CFR part 31 (Cost Principles), and 29 CFR Part 95 (Administrative Requirements).

v. 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.

vi. All entities must comply with 29 CFR Part 93 (New Restrictions on Lobbying), 29 CFR Part 94 (Governmentwide Requirements for Drug-Free Workplace (Financial Assistance)), 29 CFR 95.13 and Part 98 (Governmentwide 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).

vii. 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.

viii. 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.

ix. 29 CFR Part 32—Nondiscrimination on the Basis of Handicap in Programs or Activities Receiving Federal Financial Assistance.

x. 29 CFR Part 35— Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance from the Department of Labor.

xi. 29 CFR Part 36—Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance.

xii. 29 CFR Part 37 – Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Investment Act of 1998.

xiii. 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:

### i. 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 your 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 you are awarded a grant, you will be provided with information on how to request such an exemption.

ii. 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).

iii. Transparency Act Requirements

Applicants must ensure that it has 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 sub-paragraphs 1, 2, and 3 below, must ensure that they have the necessary processes and systems in place to comply with the subaward and executive total compensation reporting requirements of the Transparency Act, should they receive funding.

- Upon award, 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.

### 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, unless the activity is regarded as the primary work of an official partner to the application.

#### 4. Special Program Requirements

##### i. Evaluation

DOL may require that the program or project participate in an evaluation of overall performance of ETA grants. Grantees are required to cooperate in any evaluation as a condition of award.

#### C. Reporting

Grantees will be held to nationally established performance goals. The four outcome measures are: entered employment rate, employment retention rate, average earnings, and recidivism rate. In addition, grantees will report on a number of leading indicators that will serve as predictors of success. Leading indicators will include: enrollment rate; percentage of enrollees participating in mentoring; participation in education, training, and workforce preparation; attainment of degrees and certificates; reduced substance abuse; proportion of enrollees in stable housing; and proportion of enrollees complying with parole conditions.

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. Grantees will be required to submit updated aggregate level 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 performance outcomes. This reporting will require post-placement follow-up and tracking of participants.

A government-procured Web-based Management Information System (MIS) will be provided to all grantees. Grantees will be required to have industry-standard computer hardware and high-speed Internet access in order to use the MIS system. Grant funds may be used with the prior approval of the Grant

Officer to upgrade computer hardware and Internet access to enable projects to use the MIS system. The report must include quarterly information about grant activities. The last quarterly progress report that grantees submit will serve as the grant's Final Performance Report. This report should 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 should thoroughly document the training or labor market information approaches used by the grantee. DOL may require additional data elements to be collected and reported on either a regular basis or special request basis. DOL will provide grantees with formal guidance about the data and other information that is required to be collected. Grantees must agree to meet DOL reporting requirements.

### 3. Quarterly Narrative Reports

The grantee must submit a quarterly narrative report to the designated Federal Project Officer within 45 days after the end of each quarter, providing a detailed account of activities undertaken during that quarter. The quarterly narrative report should be in descriptive form and must include:

- (i) In-depth information on accomplishments, including project success stories, upcoming grant activities, and promising approaches and processes.
- (ii) Progress toward performance outcomes, including updates on product, curricula, and training development.

### 4. 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.

## **VII. Agency Contacts**

For further information about this SGA, please contact Brinda Ruggles, Grants Management Specialist, Division of Federal Assistance, at (202) 693-. Applicants should e-mail all technical questions to [ruggles.brinda@dol.gov](mailto:ruggles.brinda@dol.gov) and must specifically reference SGA/DFA PY 10-10, and along with question(s), include a contact name, fax and phone number.

This announcement is being made available on the ETA Web site at <http://www.doleta.gov/grants> and at <http://www.grants.gov>.

## **VIII. Additional Resources of Interest to Applicants**

### **A. 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.

## B. Industry Competency Models and Career Clusters

ETA supports an Industry Competency Model Initiative to promote an understanding of the skill sets and competencies that are essential to an educated and skilled workforce. A competency model is a collection of competencies that, taken together, define successful performance in a particular work setting. Competency models serve as a starting point for the design and implementation of workforce and talent development programs. To learn about the industry-validated models visit the Competency Model Clearinghouse (CMC) at <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 sixteen career cluster areas can be found by accessing [www.careerclusters.org](http://www.careerclusters.org).

## C. Workforce3One Resources

1. ETA encourages applicants to view the information gathered from Federal agency partners, industry stakeholders, educators, and local practitioners on workforce development and education. The information on resources identified 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).

## **IX. Other Information**

OMB Information Collection No. 1225 - 0086

Expires November 30, 2012

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 applicant 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 this grant.

Signed \_\_\_\_\_ in Washington, D.C. by:

Grant Officer, Employment and Training Administration