

**U.S. DEPARTMENT OF LABOR**

**Employment and Training Administration**

**Notice of Availability of Funds and Solicitation for Grant Applications  
for *Reintegration of Ex-Offenders (RExO) Adult Generation 5***

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

**Funding Opportunity Number:** SGA/DFA PY-11-02

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

**Key Dates:** The closing date for receipt of applications under this announcement is **[insert date 60 days after date of publication in Federal Register]**. Applications must be received no later than 4:00 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-11-02, 200 Constitution Avenue, NW, Room N4716, Washington, DC 20210. For complete application and submission information, including online application instructions, please refer to section IV.

**Summary:**

The Employment and Training Administration (“ETA”), U.S. Department of Labor (“Department”), announces the availability of approximately \$20.6 million to serve adult ex-offenders returning to their communities. The Department expects to award approximately 17 grants of up to \$1,212,000

each for 27-months, which includes up to three months for a planning phase and a minimum of 24 months of operation. The 24 months of operation must include time to allow each participant to complete the program and have between 3-4 months of follow-up. The last cohort would complete program services 3 to 4 months prior to the end of the grant. Some participants may be receiving follow-up services while others are still receiving direct services. Any non-profit organizations with IRS 501(c)(3) status may apply for these grants to provide pre-release and post-release services to ex-offenders returning to high-poverty, high-crime communities. These services will include job training leading to credentials for in-demand industries, employment preparation, mentoring and assistance connecting to supportive services such as housing, and substance abuse programs and mental health treatment. Applicants must describe their community's need for reentry services and the degree to which reentry is an issue in their communities; describe their program's design to provide services to adult ex-offenders that will result in employment in demand industries; and provide evidence of partnerships with the criminal justice system, local One-Stop Career Centers and other workforce investments programs, the local public housing authority and other providers of housing services and mental health and substance abuse treatment service providers.

Funds awarded through this SGA are prohibited from being used for transitional jobs (PL 112-10). A "transitional job" is defined as temporary, subsidized work as a means to improve participants' employability, earnings,

and opportunities for advancement, and promote self-sufficiency and long-term success in the unsubsidized labor market.

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**

During 2010, 708,677 sentenced prisoners were released back from state and federal prisons, an increase on nearly 20 percent from 2002.<sup>1</sup> At least 95 percent of state prisoners will be released back to their communities at some point.<sup>2</sup> 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. Employment rates and earnings

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<sup>1</sup> Guerino, P.M., P.M. Harrison, and W. Sabol. *Prisoners. Prisoners in 2010*. NCJ 236096. Washington, D.C.: U.S. Department of Justice, Bureau of Justice Statistics, 2011.

<sup>2</sup> Guerino, P.M., P.M. Harrison, and W. Sabol. *Prisoners. Prisoners in 2010*. NCJ 236096. Washington, D.C.: U.S. Department of Justice, Bureau of Justice Statistics, 2011.

history of people in prisons and jails are often low before incarceration as a result of limited education experiences, low skill levels, and the prevalence of physical and mental health problems; incarceration only exacerbates these challenges.<sup>3</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>4</sup> Two in five prison and jail inmates lack a high school diploma or its equivalent.<sup>5</sup> 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. Three quarters of those returning from prisons have a history of substance use disorders. Over 70 percent of prisoners with serious mental illnesses also have a substance abuse disorder.<sup>6</sup> In 2004, 53 percent of state and 45 percent of federal prisoners met Diagnostic and Statistical Manual for Mental Disorders (DSM) criteria for drug abuse or dependence. Nearly a third of state and a quarter of federal prisoners committed their offense under the influence of drugs. Among state prisoners who were dependent on or abusing drugs, 53 percent had at least three prior sentences to probation or incarceration, compared to 32 percent of other inmates. At the time of their arrest, drug dependent or abusing state prisoners (48 percent)

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<sup>3</sup> Holtzer, H., S. Raphael, & M. Stoll. *Employment Barriers Facing Ex-Offenders*. Washington, D.C.: The Urban Institute, 2003

<sup>4</sup> Rubinstein, 2001 as quoted in Petersilia, 2003.

<sup>5</sup> Harlow, C.W. *Education and Correctional Populations*. NCJ 195670. Washington, D.C.: U.S. Department of Justice, Bureau of Justice Statistics, 2003.

<sup>6</sup> Hammett, Roberts, & Kennedy.

were also more likely than other inmates (37 percent) to have been on probation or parole supervision.<sup>7</sup> In addition to the mental health problems, 12% of State inmates and nearly 6% of Federal inmates reported having a learning or speech disability which can impact their reintegration into the community.<sup>8</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. Non-profit organizations 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 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 these organizations have earned is invaluable. This grant will rely heavily on non-profit organizations to develop relationships and facilitate connections to rehabilitation services for program participants.<sup>9</sup>

## **B. Required Program Components**

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<sup>7</sup> Mumola, C.J. & J.C. Karberg. *Drug Use and Dependence, State and Federal Prisoners*, 2004. NCJ 21350. Washington, D.C. :U.S. Department of Justice, Bureau of Justice Statistics, 2006.

<sup>8</sup> Beck, Allen J. and Maruschak, Laura M. (1997). *Medical Problems of Inmates*. US Department of Justice, Bureau of Justice Statistics Special Report.

<sup>9</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.

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 that leads to credentials in demand industries. Grantees 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 an in demand occupation, job retention, and increasing the earning potential of ex-offenders. Grantees will offer job placement services in coordination with businesses, local One-Stop Career Centers, educational institutions, and other employment service providers. Grantees will also use services available to support employment of ex-offenders, such as the Federal Bonding program and Work Opportunity Tax Credits. Grantees will develop partnerships with various employment partners, such as individual employers, Employer Advisory Councils, Chambers of Commerce, and Neighborhood Business Councils to ensure pathways to employment for participants. Grantees must follow a timeline for participant services that allow each participant to complete the program and have between 3-4 months of follow-up. The last cohort would complete program services 3 to 4 months prior to the end of the grant.

**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 “time behind bars can lead to deterioration in a worker’s ‘human capital,’ including formal education, and on-the-job experience and even ‘soft skills’ such as punctuality or customer relations.”<sup>10</sup> In order to improve employment opportunities for ex-offenders, opportunities for educational attainment and industry-recognized credentials are essential. Grantees should conduct assessments and work with participants who may not be ready for immediate employment with opportunities for vocational and educational assistance. This may take the form of continuing education courses to improve literacy and numeracy and lead to the attainment of a high school diploma or GED, or toward the attainment of an Associate’s or Bachelor’s degree. These services may be provided by partnering with adult education agencies, community colleges or other education providers. Grantees will use these partnerships to offer opportunities for advanced vocational training with the goal of obtaining industry-recognized credentials for in demand industries in the local economy. Applicants must base their training selections on information on current employment needs, and informed by projections of job growth in their local economy. Workforce information from the Bureau of Labor Statistics (BLS), local economic development

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<sup>10</sup> Schmitt, John and Warner, Kris. (2010). *Ex-Offenders and the Labor Market*. Center for Economic Policy Research, Washington, DC.

organization and local Workforce Investment Boards (WIB) should be used to determine what types of training and related credentialing to provide. Other sources that offer local labor market projections may also be used.

**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>11</sup> Grantees must provide post-release mentoring 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 volunteer mentors assist ex-prisoners in successfully and permanently reentering their communities by providing consistent support as needed, guidance, and encouragement that helps participants in develop positive social relationships and achieve 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 and education providers, grantees are required to partner with Local Workforce Investment Boards (LWIBs) and One-Stop Career Centers. These workforce system entities

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<sup>11</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.

provide training in work readiness and soft skills, as well as opportunities for education and vocational training, and access to employer partners. Examples of partnerships with LWIBs and One-Stop 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 Grantee at the One-Stop Career Center to serve as a liaison for participants using the One-Stop Career Center.

Grantees must also partner with State or local correctional agencies, which may include state Departments of Correction, county and city jails, and probation/parole offices, to provide referrals of prisoners being released or recently released into the communities, 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. (Award Administration Information) Part C. (Reporting). 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. 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' employment advisory councils can create stronger linkages to

future employment opportunities and a better understanding of which credentials are valued by local employers.

The Department has determined that grant funds cannot be used to provide housing, substance abuse or mental health services. Therefore, grantees should 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. Grantees should work to develop partnerships with the following entities:

- Drug and alcohol abuse treatment centers and mental health service providers to accept referrals for 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;
  - Development of post-release plans;
  - Assistance to prisoners in obtaining documents necessary for employment upon release;
  - Education and vocational training;
  - Soft skills training;
  - Job training;
  - Mentoring and case management; and
  - Other authorized activities necessary to prepare offenders for employment or other program services after 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 services, legal aid services, mental health counseling, substance abuse treatment, and supportive services as defined in Section 101(46) of the Workforce Investment Act (WIA).
- 4) Mentoring, both during active participation and after program exit.
- 5) Follow-up services that focus on job retention, wage gains and career progress through regular contact with employers and other post-placement supportive 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 associated with the goals of the grant. See Section IV.E.5. Use of grant funds for participant.

## **II. Award Information**

### **A. Award Amount**

The Department expects to award approximately 17 grants of up to \$1,212,000 each. Any grant application with a proposed value greater than \$1,212,000 will be deemed non-responsive and will not be considered. The Department anticipates the approximate cost-per-participant to be \$3,000 with

each grantee serving approximately 400 participants during the duration of the grant. In the event additional funds become available, ETA reserves the right to use such funds to select additional grantees from applications submitted in response to this solicitation.

#### B. Period of Performance

These grants will be funded for 27-months, which includes up to three months for a planning phase and a minimum of 24 months of operation. Applicants must plan to fully expend grant funds during the period of performance while ensuring full transparency and accountability for all expenditures. The 24 months of operation includes time for follow-up services that may be on average between 3-4 months. In the Budget Narrative, discussed in Section IV.B, Part I, applicants must provide separate budgets for the planning and program services periods. Grantees must 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. Grantees must achieve planning milestones during the three-month planning phase. These milestones include the hiring of core program staff, including the Project Director, Job Developer(s), and Case Manager(s) positions. In addition, during the planning phase grantees must solidify all necessary partnerships for the successful delivery of services and initiate recruitment and outreach efforts for enrollment of participants. Completion of these milestones within the grant's planning phase will be reviewed by the

Federal Project Officer at the end of the planning phase. Grantees who do not meet milestones may be subject to corrective action.

### **III. Eligibility Information**

#### **A. Eligible Applicants**

Any non-profit organization with IRS 501(c)(3) status may apply for these grants to provide pre-release and post-release services to ex-offenders returning to high-poverty, high-crime communities. Recipients of these grants will be located in or have an existing staff presence, such as satellite offices or shared office space 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. For the purpose of this SGA, high-poverty, high-crime communities are defined as follows: high-poverty areas are those communities with poverty rates of at least 30 percent (applicants must use American Community Survey data to show in their proposals the average poverty rate of the various Census Tracts included in their target community); high-Crime communities are those communities where the felony crime rate is higher than the crime rate of the overall city (applicants should use the felony crime rate of the closest police precinct that overlaps the target community to compare to the city felony crime rate). A single application may be submitted to serve multiple sites. However, applicants must demonstrate that they have an existing organizational presence (office or office sharing agreement) in

each of the identified geographic areas to be served. The application may not be for more than \$1,212,000.

#### B. Cost-Sharing or Matching

Cost-sharing or matching are not required as a condition of this application, 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.

#### C. Other Eligibility Criteria

There are no other eligibility criteria.

#### D. 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 after 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).

## **F. Other Grant Specifications**

### 1. 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 this grant competition, we will publish the abstracts required by Section IV, Part IIIa, for all applications on the Department's public website or similar publically accessible location. Additionally, we will publish a redacted version of the Technical Proposal required by Section IV. Part II, for all those applications that are awarded grants, on the Department's website or a similar location. No other parts of or attachments to the application will be published. The Technical Proposals and Abstracts will not be published until after the grants are awarded. 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. Proprietary or confidential commercial/business information is information that is not usually disclosed outside your organization and the disclosure of which is likely to cause your organization substantial competitive harm. Personally identifiable information is 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, or other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information.<sup>12</sup>

Abstracts will be published in the form originally submitted, without any redactions. However, in order to ensure that personally identifiable information and proprietary or confidential commercial/business information is properly protected from disclosure, when DOL posts the winning Technical Proposals, applicants whose technical proposals will be posted will be asked to submit a second redacted version of their Technical Proposal, with any proprietary, confidential commercial/business, and personally identifiable information redacted. All non-public information about the applicant's staff should be removed as well. The Department will contact the applicants whose technical proposals will be published by letter or email, and provide further directions about how and when to submit the redacted version of the Technical Proposal. Submission of a redacted version of the Technical Proposal will constitute permission by the applicant for DOL make the redacted version publically available. If an applicant fails to provide a redacted version of the Technical Proposal, DOL will publish the original Technical Proposal in full, after redacting personally identifiable information. (Note that the original, unredacted version of the Technical Proposal will remain part of the complete application package, including an applicant's

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<sup>12</sup> Memorandums 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>.

proprietary and confidential information and any personally identifiable information.)

Applicants are encouraged to maximize the grant application information that will be publicly disclosed, and to exercise restraint and redact only information that is clearly proprietary, confidential commercial/business information, or capable of identifying a person. The redaction of entire pages or sections of the Technical Proposal 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. 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."

#### **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 to 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 deemed non-responsive and will not be reviewed. 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://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 SF424 form, the signature of the authorized representative on the SF-424 certifies that the organization is in compliance with the Assurances and Certifications form SF-424B (available at <http://apply07.grants.gov/apply/FormLinks?family=15> ). The SF-424B is not required to be submitted with the application. 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://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 while distinguishing between planning and program services. 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 a signed SF-424 including D-U-N-S®

Number, SF-424A, and a budget narrative will be considered non-responsive and will not be 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). An awardee 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 will not be 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 will not be reviewed.

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

**Required Attachments**

- a) An up to two-page abstract summarizing the proposed project, including but not limited to the scope of the project and proposed outcomes, 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. 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 (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) Letters of commitment from state or local criminal justice agencies and the local Workforce Investment Board and One-Stop Career Center as specified in Section V, Part A Number 3;
- d) Verification from the Internal Revenue Service (IRS) of non-profit 501(c)(3) status signed by an authorized representative of the IRS is required. ALL non-profit applicants must submit this verification even if you are a current DOL grantee and documentation are assumed to be on file.

**Applications that do not include all of the required attachments listed above will be considered non-responsive and will not be reviewed.**

**Additional Attachments**

**We recommend that applicants attach the following documents:**

**failure to provide these attachments will result in a deduction of points:**

- a) Letters of commitment and memoranda of understanding from expected partners, including housing agencies, substance abuse treatment facilities, and other letters to support the applicant's response to the evaluation criteria found in section V.;
- b) Charts documenting past grant performance and timeliness of reports as discussed in Section V;

- c) Previous grantor contact information as discussed in Section V;
- and
- d) A timeline of project activities.

**The required and additional attachments listed above do not count against the 20-page limit for the Technical Proposal.**

The attachments must be affixed as separate, clearly identified appendices to the application. Additional materials such as resumés or general letters of support or commitment will not be considered. Applicants should not send documents separately to DOL, because documents received separately will be tracked separately through a different system and will not be attached to the application for review. DOL 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.

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

The closing date for receipt of applications under this announcement is **[insert date 60 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 4:00 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

p.m. Eastern Time on the closing date. 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, Office of Grants

Management, Attention: Latifa Jeter, Grant Officer, Reference SGA/DFA PY 11-02, 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 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 4:00 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 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. Grants.gov will reject applications if the applicant's CCR 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 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 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 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 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 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 notice must be placed 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

Use of Grant Funds for Stipends, Incentives Payments, 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 service strategy indicate that work experiences are appropriate. Payments to participants may take the form of wages or stipends. Wages are compensation for services performed for an employer. Grantees that pay wages or stipends to participants for work experience must comply with 20 CFR 667.272 of the WIA regulations, which details the applicable wage and labor standards. Finally, if paying participants a stipend, grantees must maintain documentation on how the amount for the stipend was set and the parameters around its distribution.

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. Therefore, for the purpose of this SGA, grantees may use up to 1.5% of grant funds for incentive payments. Incentive Payments can be used for recognition and achievement tied to training activities and work experiences. Incentive payments must be tied to the goals of the grant. The grantee must have policies and procedures in place governing the awarding of incentive payment and the incentives provided under the grant must comply with these organizational policies.

Needs-related payments are payments made directly to individuals or to other entities to cover cost for specific items or services needed by a participant for allowable services that enable the individual to participate in program activities. The cost of the payment should be directly related to the item or service provided, and must be documented to support both the participant's need for the service as well as the actual transaction. Needs-based payments may be paid in the form of a stipend; but the stipends must be based on specific items of cost, not to defray expenses.

Needs-related payments fall under the definition of supportive services in WIA and are allowable payments to adults and dislocated worker participants who are enrolled in training. Needs-related payments are defined in 20 CFR 663.815 of the WIA regulations as financial assistance to participants for the purpose of enabling individuals to participate in training.

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. Grantees must have a consistent standard and policy in place on the provision of both incentive awards and needs-based 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. Evaluation Criteria

This section identifies and describes the criteria that will be used for each category to evaluate grant proposals. The evaluation criteria are described below:

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	15
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 (up to 15 points total)

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 target community, which must be at least 30 percent. The U.S. Census Bureau now has American Community Survey data available at the Census Tract level which can be found at

[www.census.gov/acs](http://www.census.gov/acs). Applicants must use American Community Survey data to show in their proposals the average 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 average poverty rate for the community to be served must be at least 30 percent. If you plan to serve multiple geographic communities, each community must have an average poverty rate of at least 30 percent. **Applicants who fail to provide the poverty rate or have an average poverty rate less than 30 percent will receive 0 points for this section;**

- the crime rate of the target community being higher than the overall city's felony crime rate. Applicants should use the felony crime rate of the closest police precinct that overlaps the target community to compare to the city felony crime rate. Applicants serving multiple communities must meet this threshold in each of the target communities. Where possible, use data at the neighborhood level rather than the county level in addressing the need for your project;
- the rate of recidivism for the area to be served as it compares to the county or state recidivism rates;
- the number of offenders returning to the area each year. Use local law enforcement data if available. If the data is not available, provide an estimated number of returning offenders and explain the basis on which the estimate was made;

- the population and unemployment rate of the community using census tract data;
- an assessment of resources currently available to serve returning ex-offenders; and
- the gaps that currently exist in services to returning ex-offenders.

**Applicants must provide all sources of data to support the information included in this section.**

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

The points for the three components of this criterion will be provided based on the comprehensiveness and likely effectiveness of the responses provided to the following:

### **Employment opportunities to reduce recidivism.** (up to 20 points)

- a strategic plan for creating employment opportunities for participants, including existing relationships with employers and the development of new relationships. Discuss how you will provide work-readiness training and job placement. 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. Include a staffing plan that indicates how many direct-service staff will be hired with grant funds to assist released prisoners to find employment and to justify the need for the staffing level.
- other methods to increase employment opportunities, including connections with existing workforce development programs and One-

Stop Career Centers. 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.

- how you will use Labor Market Information and local economic development information to determine the in-demand industries of the target community and surrounding areas and the strategies to connect participants with in-demand industries in your local economy, including working with employers and employer associations.
- the follow-up plan for retention tracking and re-placement; and the staffing plan to support participant placement. Describe how you will maintain contact with participants post-exit to track employment retention and ensure job re-placements as needed.

**Vocational training and educational interventions designed to improve the career pathways and earning potential of ex-offenders.**

(up to 15 points)

- 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. 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 that leads to industry-recognized credentials for in demand industries;

- the provision of vocational training that leads to industry-recognized credentials in demand industries and work readiness training to be offered, including a description of the credential(s); and
- the quality of the explanation of why particular training was chosen, including either experiences and outcomes of past implementation or a discussion of research demonstrating the success of the chosen training strategy. Identify the source(s) of information, such as local labor market data or information from your local economic development organization on new businesses locating to your area that was used to select this training.

**Mentoring of ex-offenders to support reintegration.** (up to 15 points)

- the plan for developing a comprehensive mentoring component and the extent to which the strategy for mentor recruitment has been outlined. If appropriate, describe how other organizations may be involved in recruiting mentors for this project;
- 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 (up to 20 points)

The points for this criterion will be rated based on the comprehensiveness and likely effectiveness of the responses provided to the following:

- the description of a comprehensive network of existing partnerships or plans to develop partnerships with local organizations, including other organizations 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 that service provisions, including the delivery of soft skills are met 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 of, or demonstration of past experience in developing, or a demonstration of the ability to develop, integrated, committed partnerships with State or local criminal justice agencies detailing 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 opportunities to connect with prison employer advisory councils, where they exist, 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 (up to 15 points)

The points for this criterion will be rated based on the comprehensiveness and likely effectiveness of the responses provided to the following:

- Discuss the length of time and the specific experience the organization has in operating programs for ex-offenders **(up to 4 points)**.
- Performance Chart: In chart format, as an attachment to the technical proposal, all applicants must provide information on past grant performance as required by the grantor, using the category below that is applicable for your organization **(up to 4 points)**:
  - o RExO Applicants –If you have completed an ETA adult or youth RExO grant within the last four years (on or after January 1, 2008), 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) total placement in employment, post secondary education, military and advanced

skills training. **If you have not completed an ETA adult or youth RExO grant within the past four years, you must use data from a completed grant using the instructions in the category below for Non-RExO applicants.**

- o Non-RExO Applicants: If you have not completed an ETA adult or youth RExO grant within the last four years, you must provide information with respect to the grant that you completed most recently within the last four years (on or after January 1, 2008) in which you served ex-offenders. This may include a program or project that was funded by one or more foundations, or non-grant funds such as individual donations and contributions. Specifically, you must select and provide two goals required by the grantor(s) and the actual outcomes obtained.

All applicants may reference only one project that was completed within the last four years, 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 had oversight for the program referenced above and can verify the information stated by the applicant. If the individual program or

project had multiple sources of funding please provide the contact information for only one grantor. If the goals, outcomes obtained and contact information are not provided in the attachment for the selected project, the applicant will receive 0 points for this sub-criterion.

Applicants who demonstrate that they have exceeded their reported project goals will receive the full 4 points for this sub-criterion.

Applicants who met, but did not exceed, their reported project goals will receive 3 points for this sub-criterion. Applicants who met only one project goal, but exceeded that goal, will receive 2 points for this sub-criterion. Applicants who met only 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.

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

- Performance Narrative: Explain the circumstance for the project referenced above related to meeting the stated enrollment and placement goals or the reasons that prevented you from meeting those goals. Applicants should discuss the systems in place that allowed the applicant to meet its goals or for those applicants who did not meet their goals, explain how those challenges were overcome to make the project as successful as possible. If your program or project was funded by multiple sources, discuss the funding structure as it relates

to the performance of the program or project. Points will be determined based on the level of success indicated by the evidence provided. **(up to 5 points)**

- **Timely Reporting:** In chart format as an attachment to the technical proposal, all applicants must provide the two most recent grant reports due dates and the actual dates submitted for the grant project identified above in the past grant performance goals criterion. This may include a program or project that was funded by one or more foundations, or non-grant funds such as individual donations and contributions. These reports can be either program, financial or other reports required by the grant. **(up to 2 points)**

If these dates are not provided in the attachment applicants will receive 0 points for this sub-criterion. Applicants who demonstrate that they met both due dates will receive 2 points for this sub-criterion.

Applicants who demonstrate that they 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 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 the attachment for this sub-criterion.

**ETA reserves the right to confirm this information with the contact person described above for all applicants.**

## 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 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. If the verification process in V.A.4 does not confirm the applicant's information, that information may affect the selection decision. 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 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.

#### iv. Safeguarding Data Including Personally Identifiable Information

Applicant's submitting proposals in response to this SGA must recognize that confidentiality of 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. Grantees shall not extract information from data supplied by DOL/ETA for any purpose not stated in the SGA.
2. Grantees shall retain data received from DOL/ETA only for the period of time required to utilize 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 permanent deletion of electronic data.
3. Grantees shall ensure that any information used during the performance of this Grant has been obtained and is being transmitted in conformity with applicable Federal and state laws governing the confidentiality of information. Information transmitted to DOL/ETA containing sensitive information including personally identifiable

information (PII) must be encrypted using National Institute of Standards and Technology (NIST) Federal Information Processing Standards (FIPS) 140-2 validated products. The encrypted information must be encrypted in a form that would allow the receiver of the information to decrypt the information without installing additional software or tools.

4. Access to any information created by DOL/ETA shall 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 outlined in this SGA.
5. Grantee employees and other personnel who will have access to sensitive/confidential/proprietary/private data shall be advised of the confidential nature of the information, the safeguards required to protect the information, and the civil and criminal sanctions for noncompliance with such safeguards that are contained in Federal and state laws.
6. Prior to being able to have access to confidential data, Grantee employees and other personnel shall execute a standard document acknowledging 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 further acknowledge that all data obtained through DOL/ETA 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 DOL/ETA. Accessing, processing, and storing of DOL/ETA 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 DOL/ETA.
8. All data shall 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 FIPS 140-2 validated products. In addition, wage data may only be accessed from secure locations.
9. Data obtained by the Grantee through a request shall not be disclosed to third parties except as permitted by the Grant Officer.
10. Grantees shall permit ETA to make onsite inspections during regular business hours for the purpose of conducting audits and/or to conduct other investigations to assure that the Grantee is complying with the confidentiality requirements described above. In accordance with this responsibility, Grantees shall make records applicable to this

Agreement available to authorized persons for the purpose of inspection, review, and/or audit.

11. Grantees shall take the steps necessary to ensure the privacy of all PII obtained from participants and/or other individuals and to protect such information from disclosure to unauthorized individuals. Grantees shall maintain such PII in accordance with the DOL/ETA standards for information security provided herein, including any updates to such standards provided to the Grantee by DOL/ETA. Grantees shall report immediately to the DOL ETA Information Security Officer (ISO) any suspected or confirmed breaches or compromise of PII obtained from participants and/or other individuals.

### 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

##### A. Evaluation

DOL may require that the program or project participate in an evaluation of overall grant performance or outcomes and impacts on participants. ETA requires the grantee to cooperate with evaluation(s) 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. By accepting the grant funds, the programs or projects agree to make individual records on participants, employers and funding available to the evaluator(s) under the direction of DOL with appropriate measures to protect the confidentiality of participant as provided in Section VI B 2 iv. Please note this evaluation may make use of program MIS data, local administrative data on crime and recidivism, and program progress reports. DOL recognizes 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. Grantees will be held to nationally established performance goals. The goals will be set after the award for the following four outcome measures: 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 credentials; reduced substance abuse; proportion of enrollees in stable housing; and proportion of enrollees complying with parole conditions.

### 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, and information on employment outcomes for those individuals who have exited to date. 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 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. Grantees must agree to meet DOL reporting requirements.

3. 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, participants services provided, and interim and long-term participant outcomes. This reporting will include post-placement follow-up and tracking of participants.

### 3. 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, Office of Grants Management, at (202) 693-3437. Applicants should e-mail all technical questions to [ruggles.brinda@dol.gov](mailto:ruggles.brinda@dol.gov) and must specifically reference SGA/DFA PY-11-02, 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 through the conference calls with Federal agency partners, industry stakeholders, educators, and local practitioners. The information on resources identified can be found on Workforce3One.org at: <http://www.workforce3one.org/view/2001008333909172195/info>.

#### D. My Next Move

My Next Move, is a new online tool intended to assist all job seekers, but may be especially useful for students, young adults and other first-time workers as they explore potential careers based on their interests.

The new website allows users to search for jobs by occupation, by industry and using the O\*NET Interest Profiler, which matches an individual's interests with suitable occupations by asking 60 questions. Users can also search for jobs in three categories: careers with a "bright outlook" in growing industries, jobs that are part of the "green" economy and occupations that have a Registered Apprenticeship program.

Each occupation that a user selects has an easy-to-read, one-page profile, including information about what knowledge, skills and abilities are needed; the occupation's outlook; the level of education required; technologies used within the occupation; and other, similar jobs. In addition, each occupation page includes direct links to local salary information, training opportunities and relevant job openings.

<http://mynextmove.dol.gov>

#### E. My Skills My Future

The website enables job seekers to match their occupational skills and experience with the skills needed in other occupations. This is a self-help website to help those individuals who are in transition and want to seek out

new opportunities or looking for their next career opportunity. Along with possible education and training in those fields, it also can be used by organizations in an effort to help retain current employees.

The site also has links to job banks and job openings, specific training/education information and links to the skills required for specific jobs.

<http://myskillsmyfuture.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

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 XXXXX, in Washington, D.C. by:

XXXXX

Grant Officer, Employment and Training Administration