

U.S. DEPARTMENT OF LABOR

Employment and Training Administration

Notice of Availability of Funds and Solicitation for Grant Applications for Trade Adjustment Assistance Community College and Career Training Grants Program

Announcement Type: Initial

Funding Opportunity Number: SGA/DFA PY-12-10

Catalog of Federal Domestic Assistance (CFDA) Number: 17.282

Key Dates: The closing date for receipt of applications under this announcement for:

- **Single Institution Applicants** is [insert date 60 days after date of publication of the notice in the Federal Register].
- **Consortium Applicants** is [insert date 75 days after date of publication of the notice in the 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: Steven Rietzke, Grant Officer, Reference SGA/DFA PY 12-10, 200 Constitution Avenue, NW, Room N4716, Washington, D.C. 20210. For complete application and submission information, including online application instructions, please refer to Section IV.

Executive Summary

The U.S. Department of Labor (DOL or the Department) announces the availability of approximately \$474 million in grant funds to be awarded under the Trade Adjustment Assistance Community College and Career Training (TAACCCT) grant program. This solicitation announces a third round of funding under the TAACCCT grant program. The TAACCCT grant program provides eligible institutions of higher education, as defined in section 102 of the Higher Education Act of 1965 (20 U.S.C. 1002), with funds to expand and improve their ability to deliver education and career training programs that can be completed in two years or less, and are suited for workers who are eligible for training under the Trade

Adjustment Assistance (TAA) for Workers Program (“TAA-eligible workers”) of chapter 2 of title II of the Trade Act of 1974, 19 U.S.C. 2271-2323, as well as other adults. Eligible institutions may be located in the 50 States, the District of Columbia, Puerto Rico or the U.S. territories; however, the competitiveness of institutions in the U.S. territories for this Solicitation for Grant Applications (SGA) may be impacted by their limited opportunity to serve TAA-eligible workers. The primary intent of the TAACCCT program is to meet the educational or career training needs of workers who have lost their jobs or are threatened with job loss as a result of foreign trade by funding the expansion and improvement of education and career training programs that are suited for these individuals; however, the Department expects that a wide range of individuals will benefit from the TAACCCT program once education and training programs are developed and implemented.

The Department intends to fund four-year grants to eligible institutions to develop new undergraduate education and career training program strategies or to replicate existing designs, program development methods, and/or delivery strategies that have established evidence of successful implementation. As a result of this SGA, the Department will help ensure that our nation’s higher education institutions are able to help TAA-eligible workers and other adults acquire the skills, degrees, and credentials needed for high-wage, high-skill employment while also meeting the needs of employers for skilled workers.

In accordance with requirements of the TAACCCT program, the Department intends to award at least 0.5 percent of the total amount of available funds to eligible institutions in each State, the District of Columbia, and Puerto Rico. The eligible applicants for this SGA are institutions of higher education, as defined in section 102 of the Higher Education Act of 1965 (20 U.S.C. 1002), and consortia of three or more of those eligible institutions. The Department intends to fund grants ranging from \$2,372,500 to \$2.75 million to single institution applicants, totaling up to \$150 million across 50 states, the District of Columbia, and Puerto Rico. This allows the Department to award 54-63 grants to single institutions, potentially funding more than one per state. The Department will award grants up to \$25 million to single-state or multi-state

consortium applicants, up to approximately \$324 million in total awards that propose programs that will impact TAA-eligible workers and other adults across a state, region or regions, industry sector or cluster of related industries.

A key feature of the Round 3 Solicitation is the pre-conditions for all applicants to demonstrate employer engagement, use labor market information to focus training on local economic needs and improve programs, and evaluate their programs. In addition, Single-State Consortium applicants are required to develop employment results scorecards that track outcomes for students by program, and Multi-State Consortium applicants are required to develop employment results scorecard continuous improvement plans. In addition to asking all applicants to demonstrate employer engagement, the evaluation criteria includes scoring criteria for training models that include work-based training opportunities, such as apprenticeships and paid and for-credit internships, and include partnerships with community-based organizations and other nonprofits focused on providing services to workers. For more information and updates about the TAACCCT grant program, please visit: www.doleta.gov/TAACCCT.

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I. Funding Opportunity Description

A. Program Overview (*All Applicants*)

In an increasingly competitive global economy, America's economic strength depends on the education and skills of its workers. The nation needs workers with the education and skills to succeed in fast growing, high-wage occupations. The TAACCCT program provides capacity-building grants to drive innovation and the development of model training programs at America's community colleges and universities. TAACCCT-funded programs will prepare participants for employment in high-wage, high-skill occupations by using innovative and sophisticated teaching and learning strategies that reach large

numbers of unemployed or under-employed adults. Further, the program will work to increase the number of workers who attain certificates, degrees, and other industry-recognized credentials, helping meet President Obama's college graduation goal of increasing the percentage of adults with a post-secondary credential by 2020.

The overarching goals of the TAACCCT program are to: (1) increase attainment of degrees, certifications, certificates, diplomas, and other industry-recognized credentials that match the skills needed by employers to better prepare TAA-eligible workers and other adults for high-wage, high-skill employment or re-employment in growth industry sectors; (2) introduce or replicate innovative and effective methods for designing and delivering instruction that address specific industry needs and lead to improved learning, completion, and other outcomes for TAA-eligible workers and other adults; and (3) demonstrate improved employment outcomes.

The Department is implementing TAACCCT in partnership with the U.S. Department of Education. Both agencies believe that TAACCCT will incentivize innovations that will drive fundamental changes in community college and four-year university programming. The Departments believe that the TAACCCT program plays a major role in helping America's community colleges and other higher education institutions develop programs that provide career pathways to good jobs for adult workers and meet employer needs for highly skilled workers in growth industries.

One of the key goals of the TAACCCT Round 3 solicitation is to support the design and delivery of employer sponsored work-based training models. Work-based learning models come in a variety of forms, but all typically involve some learning of skills in a classroom type setting and some opportunity to apply these skills in a practical employment setting. This combination of methods

ensures that workers not only learn academic skills, but other elements that employers often seek such as teamwork, professional communication, problem solving and other workplace skills. Some forms of work-based learning, such as apprenticeship, offer the learner the opportunity to earn money while gaining a credential, easing the economic barrier to success for many low-income students. Other forms of work-based learning, such as integrating a for-credit internship into the curriculum, may not provide students with income, but provide valuable practical education opportunities. Because work-based learning models can address a fuller range of employment competencies, graduates of these programs may be better prepared to be productive on the job, improving employers' competitiveness.

Sector strategies are one set of training models that often include work-based learning. Sector strategies, also referred to as sectoral training models target a specific industry or cluster of occupations and work to meet the workforce needs of employers in this sector while supporting workers in attaining the necessary skills. Sector strategies are often executed by intermediaries that have experience working with the sector and are able to help educational institutions and training providers in developing programs that will give workers the skills needed for the sector. In this SGA, applicants are encouraged to develop and/or scale successful sector-focused strategies that expand or improve education and training programs based on the use of real-time labor market information and that actively engage employer and industry partners. By fully engaging employers and industry associations in activities such as project planning efforts, curriculum development, and credential validation, the Department believes that TAACCCT can play a critical role in helping to build a responsive and effective workforce system by working with employer and industry associations, community-based organizations, and other potential

intermediaries to ensure training provided aligns with current industry needs.

Resources on sector strategies are provided in Appendix N.

TAACCCT represents a substantial investment in community colleges throughout the country, and the Department is interested in leveraging this investment to build the capacity of community colleges and States to collect and report employment and completion data by program of study, so that TAA-eligible workers and other prospective students have easy access to information to decide whether a program is a good fit for them and colleges can monitor the success of their programs. The Department also believes that community colleges should actively and extensively use labor market information to inform their course offerings. Providing prospective students with access to data on program outcomes and incorporating the use of labor market information into college-wide decision-making is critical to building the capacity of community colleges to respond to the needs of employers and the regional labor market. As a precondition, all consortia applicants must demonstrate through the application and by the end of the performance period how they will use local and regional labor market data to decide on course offerings, and then how they will use it to inform students' choices about course participation. Consortia applicants will be required to provide information on the steps they are taking and will take to develop processes to track student performance long-term. Consortia within a single state will be required to develop and implement a standard online scorecard before the end of the four-year performance period. Although consortia applicants crossing state lines will not be required implement these scorecards before the end of the grant, they are required to submit a plan demonstrating how their members are working to make data available on student outcomes.

With TAACCCT, the Department is interested in leveraging advanced training technologies that go beyond traditional online education and accelerate learning and credential attainment through a variety of means. This includes skillful use of technology-enabled new, emergent models of online education and workforce training, such as Massive Open Online Courses (MOOCs); prior learning assessments; and online and blended learning environments that allow larger numbers of workers to participate. Applicants are encouraged to develop online programs that build on current advances in science and technology and are scalable to large numbers of TAA-eligible workers and other adults. This will, in some cases, require collaborations between community colleges, employers, and research-intensive universities. Examples of promising practices in the online education arena include, but are not limited, to:

- Using cognitive task analysis and concept-based inventories to better design courses;
- Developing digital tutors that increase the effectiveness of learning;
- Creating effective educational software that provides competency-based instruction; and
- Using analytics to drive learning and continuous improvement of courses.

The Department hopes to foster creative and outcomes-based approaches that enhance entrepreneurship skills. Especially in regions where economic recovery has been slow or where economic opportunities are limited, the Department encourages rigorous, practical and comprehensive entrepreneurship training programs tied to industry sectors identified in the proposal. Startup accelerators and incubators can give adult job-seekers the opportunity to turn their expertise and ideas into new businesses by providing common infrastructure, training, and intensive mentoring, or access to financing

to an array of potential startups. Applicants that include entrepreneurship training are encouraged to focus on the actual experience of entrepreneurship rather than simply classroom instruction. In some instances, entrepreneurship incubators and accelerators are housed in four-year higher education institutions but offer training, mentoring, and career counseling through community colleges. The Department encourages these types of partnerships between two-year and four-year educational institutions, in addition to other areas where these entities can collaborate cited throughout this SGA. The Department also encourages applicants to propose activities related to either “generalized” entrepreneurship training as a complement to skills-based credentials, or “customized” entrepreneurship training designed for specific career pathways. Applicants might also develop creative and outcomes-based approaches that enhance the entrepreneurship skills of students.

TAACCCT grants have a strong focus on evidence-based practice and rigorous evaluation. As a result, applicants are required to retain a third-party evaluator to design and execute a rigorous evaluation of each funded project. The Department believes that successful projects can develop evidence on effective workforce education and training strategies to serve TAA-eligible and other adult workers that can be replicated broadly. In addition, the Department will conduct a national evaluation of the TAACCCT projects to inform workforce development policy and advance DOL’s mission to help the nation’s employers and workers.

Applicants may also consider engaging private sector partners or employers to use non-grant funds to run incentive prize competitions to develop education and training tools, strategies and technologies. More information is available in Appendix O.

B. TAACCCT Core Elements (*All Applicants*)

To ensure that TAACCCT projects accomplish the goals stated above in Section I.A., the Department will fund applications that address all of the following core elements in the proposal. All applicants must propose projects that address all of these core elements.

1. Core Element 1: Evidence-Based Design

The TAACCCT grant program is one of several Federal grant programs in which grantor agencies fund projects that seek to use evidence to design program strategies. TAACCCT funds the development of new strategies or the replication of existing evidence-based strategies and awards grants to eligible institutions that are committed to using data for continuous improvement of programs that provide workers with the education and skills to succeed in high-wage, high-skill occupations. The Department is committed to funding programs that are likely to improve education and employment outcomes for program participants. Grantees must share information about the effectiveness of new approaches to instruction with key stakeholders.

The Department anticipates that grants awarded in the TAACCCT program will support the development of innovative program models that can be evaluated. The Department expects that the TAACCCT program will build knowledge about program models so that, in the future, institutions can replicate practices that are effective and identify and strengthen practices in need of improvement.

As specified in Section V.A.2.i, applicants must base their program design on a level of evidence that is appropriate to the project proposed. Applicants who propose to replicate existing strategies should cite strong or moderate evidence from prior research to support the proposed program design.

Alternatively, applicants who propose to develop new, untested strategies should cite preliminary research findings, related research findings, and/or reasonable hypotheses to support the design of the program as outlined in the Department of Education's Evidence report: <http://www.ed.gov/edblogs/technology/evidence-framework>.. Refer to the Strength of Evidence Definitions in Appendix D for more information about levels of evidence.

2. Core Element 2: Stacked and Latticed Credentials

The Department is interested in providing more opportunities for TAA-eligible workers and other adults to earn a variety of post-secondary credentials that have labor market value. To that end, applicants must incorporate a variety of credentials, including certificates, certifications, diplomas, and degrees, into the proposed program design. Some of these credentials should be competency-based and attest to the mastery of specific skills and knowledge learned by students, and valued by employers. For certifications, applicants should actively engage employers and/or industry associations to identify any certifications that are either necessary for employment in the field of study or are widely used by employers for hiring and promotion purposes.

In the case of certificates, applicants should work closely with industry associations and/or employers to review programs of study and identify clusters of courses that are designed to develop competencies needed in the workplace and can be the basis of an educational certificate that is competency-based and has labor market value. Each of these credentials can be earned in sequence and build on previously-learned content, or "stacked," as students progress through their programs, allowing them to build a portfolio of credentials that can serve them well as they transition from learning to work.

In addition to stacking certificates that lead toward an undergraduate degree, programs may allow the option to "lattice" these credentials. "Latticing,"

as the name implies, allows for side-to-side credentialing. As students progress through a degree plan, earning certificates along the way, they may get to a point where they want to add or shift to another related field of study. For example, a student may be pursuing an associate's degree in nursing, but during the process decides to add an occupational therapy certificate as a related field of study.

To provide a means for an accelerated path toward credential attainment, the Department expects grantees to develop competency-based educational programs. Competency-based education is an outcomes-oriented approach that is not dependent on seat time measures of learning. Instead, student achievement of learning outcomes is assessed and certified through observational methods, such as task performance, exams, demonstrations, or other direct measures of proficiency, and credentials are awarded based on successful demonstration of competence. The emphasis of this approach is on the mastery of specific competencies as demonstrated through performance-based assessments.

Applicants are encouraged to conduct performance-based/competency-based assessments that award credit for prior learning and experiences of TAA-eligible workers and other adults who enter their program(s), including adults who have served in the Armed Services or in Registered Apprenticeship programs. Many individuals will have prior experience in the form of academic credit, non-credit or professional development certificates, apprenticeship certificates, and/or work experience, and should be provided the opportunity to demonstrate competencies to earn credit or even complete certificates. Applicants are also encouraged to use simulations and other new tools to conduct assessments which identify prior learning experiences that transfer directly to credit toward credentials, degrees, and/or future employment.

3. Core Element 3: Transferability and Articulation of Credit

The Department is interested in the transferability and articulation of academic credit that will create career pathways for TAA-eligible workers and other adults to further their education. TAACCCT programs may accomplish this through increased cooperation among institutions within and across state lines, as well as through linkages with programs, such as postsecondary career and technical education, pre-apprenticeship and apprenticeship programs, and other programs that lead to credit-bearing coursework and employment. In the case of awarding credit for completion of apprenticeship programs, applicants are encouraged to work with the Registered Apprenticeship Community College Consortium to develop credit recommendations and articulation agreements. For more information, visit http://www.doleta.gov/OA/pdf/ra_cc.pdf.

Applicants must plan to work with other two-year colleges and four-year institutions in their state to confirm transferability and develop articulation agreements for TAACCCT-funded courses and credentials, including building bridges from non-credit courses and programs to credit-bearing courses and programs within and between institutions.

For consortium applicants, consortium member institutions also must agree to accept all TAACCCT-funded courses and credentials (within the consortium) for transfer to their respective institutions, whenever feasible. To expand the reach and impact of TAACCCT-funded programs, consortia that receive funding under this SGA should work toward accepting relevant courses and certificates from programs previously-funded through TAACCCT SGA/DFA PY 10-03 (Round 1) and SGA/DFA PY 11-08 (Round 2) for transfer and articulation. See <http://www.doleta.gov/taaccct> for a list of previously-funded TAACCCT programs or <http://www.dol.gov/dol/grants/> for the Department's grant application and award database.

4. Core Element 4: Advanced Online and Technology-Enabled Learning

Applicants must incorporate online and/or technology-enabled learning strategies into their program design. Online and technology-enabled (including hybrid, or a blend of online and classroom instruction) learning strategies provide adults an opportunity to balance the competing demands of work and family with acquiring new knowledge and skills at a time, place, and/or pace that are convenient for them. Applicants should consider using technology to enable rolling and open enrollment processes, modularize content delivery, simulate assessments and training, and accelerate course delivery strategies.

In today's world of advanced educational technology and the Internet, simply delivering a program online is no longer considered innovative. New and emergent strategies are now available to colleges and universities that can improve the quality of online instruction as well as contribute to the growing amount of research on various online design models. The following is a range of online and technology-enabled options that applicants might consider in the development of their proposals.

Interactive simulations, personalized and virtual instruction, educational gaming, digital tutors, and strategies for asynchronous and real-time collaboration among learners and instructors are examples of advanced strategies that should be considered when proposing an online program. New strategies and models for online education and workforce training have emerged in the form of MOOCs, offering low-cost, broadly accessible education and training. In addition to expanding the reach of an online course, MOOCs can provide opportunities for large-scale educational research and experimentation.

To further the goal of career training and education and to encourage innovation in the development of new curricula, applicants must publicly license all curricula and training materials created or developed with the support of the

grant under a Creative Commons Attribution 3.0 License, except as provided in Section III.D.9.

The Department is also interested in large-scale projects that will have a broad and systemic impact on online higher education. As outlined in a recent U.S. [Department of Education report on educational mining and learning analytics](#)¹, now is the time to build a new infrastructure for online learning. The explosive transition from classroom to online and blended learning in higher education has provided an opportunity to make education a data-rich domain by collecting a wide variety of online student interactions. Combining technologies and approaches (e.g., predictive data analytics, feedback loops, and visualization that help predict when students are at risk of dropping out) will allow colleges to develop courses that are improved as more students use them and increase performance outcomes.

Another large-scale project would be the development of educational software that is as effective as a personal tutor. Since many of the TAA-eligible and other adults will enter TAACCCT-funded programs with extensive workplace experience, a well-designed system that allows each individual to move through material at a rate tailored to their experience will allow students to master the material much more quickly than they could in a standard course. For example, the Defense Advanced Research Projects Agency (DARPA) and the U.S. Navy have supported the development of a digital tutor to train new Navy recruits to become IT systems administrators, and the early results are very promising. After using the digital tutor for only seven weeks, Navy recruits are dramatically outperforming their peers with three years of experience who received traditional classroom-based instruction². Consortium applicants should consider the

¹ “Enhancing Teaching and Learning through Educational Data Mining and Learning Analytics – An Issue Brief. U.S. Department of Education, October 2012.

² Fletcher, J.D. (2010), Phase 1 IWAR Test Results. Institute for Defense Analysis. IDA Document D-4047.

development of digital tutor projects that can impact industry sector curricula at a national level.

All online (including hybrid) programs should consider the development of “next generation” assessments for continuous formative assessments as well as capstone, program, and other high-stakes testing. Next generation assessments place students in engaging environments (such as simulators, virtual communities, etc.) and test their ability to respond to real world challenges and obstacles. These systems can be designed to move students to new challenges only when they have demonstrated mastery of needed skills, and they can ensure retention by presenting challenges that exercise existing skills as well as demonstrating new ones. The Department encourages applicants to work with their employer partners to develop assessments that can significantly strengthen the reliability of student learning outcome measures that are important to employers. Applicants are also encouraged to leverage existing high quality, industry-based assessments linked to certifications and certificates.

Capturing the opportunities presented by online and technology-enabled learning strategies requires innovation in the way courses are designed and in the way the courses are delivered. Successful applicants could hire content experts from several different disciplines, such as subject matter, pedagogy, software design, and data management. The Department recognizes that applicants may need to contract with other consortia, technology companies and employers, learning scientists and other educational research professionals, and research universities, as necessary. In addition to developing courses and/or programs, applicants may propose technology-based infrastructure projects that aid the delivery of courses and programs and/or improve the effectiveness of the instruction they deliver.

Applicants should review the U.S. Department of Energy's National Training and Education Resource (NTER) located at http://www1.eere.energy.gov/wip/about_system.html. NTER provides open source tools to help subject matter experts create compelling, 3D interactive content quickly and easily. Applicants should also leverage other open platforms, such as the Learning Registry (www.learningregistry.org) to expand access to learning materials.

Applicants making on-line learning and technology-focused enhancements are encouraged to incorporate evidence-based technology tools with strong evidence of effectiveness into the program design and delivery.

5. Core Element 5: Strategic Alignment

Applicants must demonstrate that they performed outreach to, and gathered information on, relevant entities in the communities to be served by the project, including entities that can provide data on the characteristics and skill needs of workers receiving TAA benefits and services in the community. For purposes of the TAACCCT program, a "community" is a city, county, or other political subdivision of a State or a group of political subdivisions of a State.

In addition, the outreach will help ensure that the project complements and does not duplicate existing programs in the community. Applicants must also demonstrate evidence of outreach to ensure leveraging of existing supports and services eligible to the participant in the community. The outreach will help ensure that the project complements and does not duplicate existing programs in the community, and that plans to strategically leverage supports will further increase and ensure participant success in the classroom and the workplace. Applicants also must demonstrate that the strategies proposed in the TAACCCT project are in alignment with both the Governor's Economic Development plan

and the Workforce Investment Act – Wagner Peyser (WIA-WP) integrated state workforce plan for each of the states targeted by the project.

Finally, applicants are strongly encouraged to become aware of, and collaborate with, initiatives in the community funded by private sector and/or philanthropic entities that may align with the proposed project, as appropriate. Applicants are also encouraged to include deep and sustained partnerships with organizations whose mission is the welfare of the worker.

Applicants must align their programs with at least four types of key stakeholders in each of the communities represented: (i) Governors; (ii) employers and industry; (iii) the public workforce system; and (iv) philanthropic organizations, business-related and other non-profit organizations, community-based organizations, and labor organizations. Please note that these organizations and agencies are not eligible institutions, and therefore they cannot be grantees and must not be members of a consortium but can help develop education and training models and provide benefits not funded by these grants such as tuition assistance and wage subsidies.

i. Governors (Economic Development and WIA-WP Integrated State Workforce Plans)

Applicants must review and identify specific goals and priorities of the Governor’s Economic Development and WIA-WP integrated state workforce plans and indicate how the specific strategies included in the proposed TAACCCT project support the achievement of these goals and priorities.

ii. Employers and Industry

Applicants must involve at least one employer for each targeted industry in each site location served by the program. The employer partner must be actively engaged in identifying the

necessary skills and competencies for the program(s), and must assist with curriculum development and program design, as well as participate in one or more of the following ways: a) helping define the program strategies and goals; b) providing resources to support education/training (such as equipment, facilities, instructors, funding, internships, apprenticeships, and other work-based training opportunities, where applicable); and c) committing to hire, promote and/or retain qualified program participants. While alignment with only one employer for each targeted industry in each site location is required, the Department encourages applicants to collaborate with multiple employers and/or other organizations representing an industry sector, including existing industry sector partnerships, labor-management organizations, economic development clusters, or regional innovation clusters, to ensure that program participants will be prepared with the skills needed in the applicant's community.

Applicants are encouraged to work with employer partners to identify one or more critical, complex tasks associated with the sector occupations they have chosen for their programs, or a Cognitive Task Analysis (CTA). CTA is a set of techniques used to elicit from experts (through interviews and observations) the processes they use to complete complex tasks. A meta-analysis concluded that CTA can significantly increase the effectiveness of some forms of training. Applicants selecting this strategy are encouraged to describe plans for conducting a CTA for each sector, including a plan for incorporating the results of the analysis into the curriculum to improve learning outcomes and technical skills gained. Resources for conducting CTAs can be found in Appendix J.

As a pre-condition to be considered for TAACCCT funding, all applicants must have one or more employers which are actively engaged in the project. Single institution applicants must have one or more active employers for each targeted industry and site location. Consortium applicants are required to have one or more employers who are actively engaged in the project for each targeted industry, and that are located in each consortium member site location or could hire individuals that enroll in courses at the college if they are not located in that location.

iii. Public Workforce System

Applicants must engage and collaborate with the public workforce system, including local workforce investment boards, American Job Centers (also known as One-Stop Career Centers), or workforce system partners as defined under section 121(b)(1) of the Workforce Investment Act (WIA). Examples of suggested partners include State TAA Coordinators, adult education agencies, career and technical education agencies, and other post-secondary education agencies. This engagement could include the workforce partner identifying, assessing, and referring appropriate candidates for education and training, including TAA-eligible workers; helping applicants access and use labor market information in developing training programs and course offerings; connecting workers with employers; providing supportive services to TAACCCT participants, where appropriate; and tracking TAACCCT TAA program participants as they re-enter the workforce. Applicants must provide evidence that at least one workforce system partner(s) is committed to being involved in the project. Successful applicants will be encouraged to

work with their state and local Workforce Investment Boards to ensure that their proposed programs of study are included in appropriate eligible training provider lists.

iv. Philanthropic Organizations, Business-related and Other Non-profit Organizations, Community-based Organizations, and Labor Organizations

Philanthropic organizations, business-related and other non-profit organizations, community-based organizations, and labor organizations can be invaluable in aiding community colleges to support workers as they improve employment-related skills. Applicants must discuss how they plan to leverage the work of these organizations in areas, including but not limited to: community outreach, recruitment and screening of program participants, career counseling, wrap-around support services, and employer engagement.

These types of organizations may also have critical relationships with employers and industry. Applicants are encouraged to work with non-profit and philanthropic organizations that have long-term relationship with employers, particularly non-profit organizations that have deep knowledge of particular sectors in which community colleges are proposing training and education programs. In addition to responding to the needs of employers and improving their competitiveness, these organizations may also be adept at working with employers to improve job quality and to create career ladders that lead to high-skill jobs

6. Core Element 6: Alignment with Previously-Funded TAACCCT Projects

All applicants must research educational institutions that received funding through TAACCCT Round 1 and/or Round 2 to help decrease duplication and to strengthen the geographic reach of their projects, and should coordinate efforts where possible. Applicants must consider connecting with TAACCCT grantees that are developing and delivering content within the same targeted occupation or industry, or that have designed a technology infrastructure which enhances the teaching and learning experience. This connection could include sharing information, lessons learned, and program content; sharing technological innovations; developing transferability and articulation agreements; and working together to standardize credentials. Applicants must consider the development of new programs that complement those already operating to build a network of programming across the state, region or country. To promote better coordination, the Department encourages applicants to share widely their intent to apply for TAACCCT funds by notifying their state higher education associations and/or governing boards. By reducing duplication, applicants will be making the best use of TAACCCT funds. Duplication of previously-funded programming may be considered in the selection process. Descriptions of funded projects from Rounds 1 and 2 can be found at www.doleta.gov/taaccct.

C. Program Strategies (*All Applicants*)

In addressing the six Core Elements identified in Section I.B, the Department encourages applicants to propose strategies that build their capacity to offer innovative educational programs that meet the needs of workers and employers. Through the implementation of the TAACCCT program, the Department is taking steps to: (1) fund innovative education models that help participants access and complete training programs in a shorter timeframe; (2) promote stronger

engagement with employers, including sector-focused partnerships and work-based learning opportunities that help workers get jobs more quickly and advance along career pathways; and (3) ensure that workforce training programs have strong performance measures that are clear, transparent, and widely available to participants and that are used by community colleges to improve programming. Thus, the Department encourages applicants to propose strategies that build their capacity to implement innovative educational programs that meet the needs of workers and employers.

1. Single Institution Applicants (*Single Institution Applicants*)

The Department requires that single institution applicants address at least one of the following four options for their program strategy, ensuring projects are targeting the Department's high priority strategies in addressing the needs of workers and employers. When addressing the selected option for their program strategy, applicants must incorporate each of the six Core Elements described in Section I.B of the SGA. While some program strategies may overlap with one of the Core Elements, such as on-line learning and technology-enabled learning, applicants that choose that specific strategy must still address all six Core Elements (including on-line learning and technology-enabled learning) in addition to the selected program strategy option, for their proposed project. The four options applicants must choose from are: 1) leveraging the work of previously-funded TAACCCT projects; 2) developing or enhancing programs of study that incorporate work-based training opportunities, including on-the-job training, apprenticeship, and internships; 3) developing or enhancing innovative technology and multimedia strategies such as MOOCs and MOOC assessments; or 4) developing career pathways for adult workers.

Regardless of which option is selected, institutions are encouraged to consider appropriate and necessary infrastructure and equipment costs that will enable them to build capacity and successfully deliver the proposed programs.

a. Option One: Leverage Previously-Funded TAACCCT Projects

Under this option, the applicant must research previously funded TAACCCT projects, reach out to a grantee from Round 1 or 2, and explain how their program model builds on the work of a previously-funded grantee. By working with a previously-funded grantee, the applicant will be able to start more quickly, and the resulting project will further advance the impact of the TAACCCT program. Among other activities to enhance and build upon the work of a previously-funded grantee, the applicants may choose to implement the following, though they are not required to implement these activities:

1. Develop stackable credentials that attest to student mastery of competencies needed in the workplace and align with the existing program or programs; and/or
2. Develop stackable credentials for a different high-skill, high-wage industry using the existing program's model; and/or
3. Develop innovative online or technology-enabled learning strategies such as interactive simulations, virtual instruction, and educational gaming to complement an existing TAACCCT Round 1 or 2 projects.

b. Option Two: Work-Based Training Opportunities

Under this option, applicants will develop or enhance programs of study that incorporate work-based training opportunities, such as

registered apprenticeships, on-the-job training, internships, or other work-based training opportunities provided through partnerships with employers.

Work-based training opportunities are activities which enable participants to gain or enhance their skills while employed, or in an experience that is similar to employment. They can facilitate the hiring process by helping workers gain new skills and credentials. Individuals often lack opportunities to continue to advance in their education once they have started working. Work-based learning can provide an avenue to both increase hiring and support on-going educational and career advancement. For example, applicants could propose to use grant funds to develop the technical instruction component of registered apprenticeship programs, or could propose to develop a certificate program that prepares participants for specific positions of employment, with individuals further enhancing their skills through an internship with an area employer in which they are placed. Grant funds may not be used to pay the wages or stipends of participants in these work-based training opportunities; grantees should leverage other funding sources to pay for these costs.

Applicants can also work with employers to develop internal career ladders that are linked to the stackable certificates in the program of study, enabling individuals to advance in their careers as they earn new credentials. Examples of work-based training include, but are not limited to:

- Registered Apprenticeship, which is a unique, flexible training system that combines job-related technical instruction with structured on-the-job learning experiences. The "Earn and Learn" training model of Registered Apprenticeship provides a unique combination of structured learning with on-the-job training from an assigned mentor. For more information, visit http://www.doleta.gov/OA/pdf/ra_cc.pdf
- Cooperative agreements with employers that enable program participants to continue participating in credit-bearing education and training programs at the worksite. The agreements include release time for workers to participate on on-site (or on-line) classes, space and equipment necessary to deliver instruction, and agreements to link promotion and retention policies to the educational progress of workers.
- Internships, which are generally planned, structured learning experiences that take place in a workplace for a limited period of time. Labor standards apply in any work experience where an employee/employer relationship, as defined by the Fair Labor Standards Act (FLSA), exists. For more information on the FLSA, applicants may visit <http://www.dol.gov/whd/regs/compliance/whdfs71.htm>. Grantees have flexibility in the design and implementation of internships, however ETA suggests they include the following parameters:

- Provide an individual with monitored or supervised work or service experience in his or her expected career field where the individual has prescribed learning goals and reflects actively on what he or she is learning throughout the experience. These learning goals can include: a) academic learning, career development, and skill development, and b) the attainment of credentials in the individual's expected career field;
- Are part of structured programs where the grantee in cooperation with employers has established the criteria for determining who will participate in these programs;
- Are for a set period of time; and
- Relate to training provided through the grant, helping participants prepare for the employment opportunities on which the grant focuses.

c. Option Three: Innovative Technology Enhancements that Support Program Acceleration

This option requires the applicant to develop or enhance a program of study for online or a hybrid of online and classroom delivery that includes stackable education and/or training credentials. The program must be delivered in an accelerated format, such as MOOCs, that significantly reduces the time to completion of the credential, and should include innovative and sophisticated multimedia learning strategies, such as simulations and gaming,

and/or a continuous feedback improvement component (similar to the Carnegie Mellon Open Learning Initiative model at <http://oli.cmu.edu/>). Additionally, the program should be combined with competency-based assessments developed in partnerships with employers and industry partners.

d. Option Four: Career Pathways for Adult Workers

Under this option, applicants must propose to develop a new, or modify an existing associate's degree program for accelerated delivery to be completed in less than 2 years, and to partner with a four-year institution that will develop an accelerated bachelor's degree program that will complement the associate's degree (2+2 program). In order to accelerate the completion of a bachelor's degree, the time to complete an associate's degree should be less than two years and the accompanying program at a four-year institution should also be less than two years. Applicants should consider the role that technology and online learning can play in increasing speed to completion and increasing flexibility of these programs for adult workers wishing to continue their education and achieve higher-paying jobs. Applicants should note that subgrants are not allowable under the TAACCCT program, and should ensure any activities in proposed subcontracts are appropriate for these funding vehicles when collaborating with a four-year institution that will develop an accelerated two-year bachelor's degree program to complement the associate's degree.

2. Consortium Applicants (*Single-State Consortium and Multi-State Consortium Applicants*)

Consortium applicants may propose projects and programs of their choosing, but must address each of the six Core Elements described in Section I.B of this SGA. Strong applications will propose projects that enhance job placement and advancement opportunities for large populations of trade-impacted workers and other adults, using strategies such as:

- Developing education and training programs that address the needs of an industry sector or cluster, as opposed to a single employer in the local area, including the convening of employers or collaboration with existing sector and/or cluster initiatives;
- Expanding and improving education and training programs that are relevant to the workforce needs of regional and local employers; offering credit for occupational training; integrating industry-driven competencies; and improving direct placement into employment through the use of work-based training opportunities. For examples of work-based learning models, see the Jobs to Career Initiative at <http://jobs2careers.org/approach/work-based-learning/> and the Department of Labor's 21st Century Registered Apprenticeship Community of Practice at <https://21stcenturyapprenticeship.workforce3one.org/>.
- Developing and sharing courses that are available at a reasonable cost, offered during the day, at night, on weekends, and virtually.
- Developing online versions of courses that could be offered on a larger scale. Eligible consortia could partner with research institutions and private companies that help in the development of the online models and also provide analysis of program results. The Department is especially interested in delivery models that

allow for rigorous evaluation of how these online models compare to traditional classroom learning; Using innovative and advanced technology in the development of employer skill requirements and skill assessments, including prior learning assessment and the development of CTAs; and

- Develop and/or scale successful sector-focused strategies (For sector strategy resources refer to Appendix N).

D. Program Authority (*All Applicants*)

The authority for the TAACCCT program is found in sections 271 and 272 of the Trade Act of 1974 (19 USC 2371 and 2372). The Health Care and Education Reconciliation Act of 2010, Public Law No. 111-152, amended the Trade Act to expand the scope of the program and include the appropriation of \$2 billion for Fiscal Years (FY) 2011 – 2014 (\$500 million annually) for the TAACCCT grant program. The Trade Adjustment Assistance Extension Act of 2011, Public Law No. 112-240, by expanding the annual reporting requirement for grantees, required the Department to collect from grantees more data relating to program performance and participant outcomes, including the attainment of credentials.

E. Other Federal Agency Collaboration (*All Applicants*)

The Delta Regional Authority (DRA) is offering an additional funding opportunity for those multi-state consortium applicants located in the DRA service area. The DRA service area consists of a congressionally designated area of 252 counties or parishes within the states of Alabama, Arkansas, Illinois, Kentucky, Louisiana, Mississippi, Missouri and/or Tennessee. Applicants interested in this funding opportunity may submit a separate application with a unique DRA scope of work in accordance with U.S. Department of Agriculture regulations. The eligibility of such applicants for TAACCCT grants will not be affected by whether they apply for or receive DRA funding. The Department and DRA intend to announce

awards for both the TAACCCT grant and the DRA funding opportunity at the same time on the basis of the requirements for the respective grants. DRA is motivated by its key policy directives to: 1) leverage additional federal investments in the region; 2) create additional value for the region by targeting workforce development and training activities; and 3) to facilitate small business creation/expansion and entrepreneurial development.

DRA will make up to \$1,000,000 available through its allocation of U.S. Department of Agriculture (USDA) Rural Community Advancement Program (RCAP) funding, specifically within the Rural Business Opportunity Grant (RBOG) program found in 7 CFR Part 4284 – GRANTS. Subpart G – Rural Business Opportunity Grants for awards to TAACCCT consortium applicants within the DRA service area. Multi-state consortium applicants within the DRA service area that choose to apply for the DRA grant must submit a separate application for DRA funding directly to DRA, proposing a unique project. DRA expects to approve at least one award of up to \$1,000,000 within the DRA Region for a period of up to 2 years, for multi-state consortium applicants who apply for funding through this SGA. DRA eligible applicants will have 24 months to complete the specific activities outlined in the unique DRA scope of work. DRA participation is designed to supplement the efforts of this initiative within the DRA service area although ultimately DRA may choose to fund an organization that is not funded through this TAACCCT SGA.

DRA funds may be used to assist in the economic development of rural areas in its region by providing technical assistance for business development and economic development planning. DRA grant funds may be used for, but are not limited to, the following purposes: 1) identify, train, and provide technical assistance to prospective rural entrepreneurs; 2) establish entrepreneurship training programs and/or business support centers to help create new rural

businesses; 3) conduct local community or multi-county economic development planning aligned with labor market studies to determine industry sector focus; 4) establish educational technology curricula and programs using interactive communications technologies to develop international trade opportunities and markets; 5) conduct leadership development training of prospective rural entrepreneurs; or 6) pay reasonable fees and charges for professional services necessary to conduct the technical assistance, training, or planning functions.

Guidelines specifically pertaining to accessing DRA funding for projects within the DRA Region, including evaluation criteria, can be accessed by contacting the DRA directly at challenge@dra.gov, with the subject line reading: TAACCCT-DRA Multi-state Consortium Applicant.

II. Award Information

A. Award Type and Amount (*All Applicants*)

Funding for all applicants will be provided in the form of a grant.

Approximately \$474 million is available, which the Department intends to award to single and consortium applicants, as specified in Sections II.A.1 and II.A.2 below. The Department reserves the right to adjust the distribution of funding, and in the event that additional funds become available, the Department reserves the right to use such funds to select additional grantees from applications submitted in response to this solicitation. While the Department was initially appropriated \$500 million in TAACCCT funds for FY 2013, the total amount of funds available is now approximately \$474 million as a result of the sequestration required by the Balanced Budget and Emergency Deficit Control Act of 1985 (Pub. L. 99-177), as amended.

Section 272(b) of the Trade Act of 1974 (19 USC 2372(b)) specifies that not less than 0.5 percent of the amount appropriated for these grant awards will support eligible institutions in each State. In the case of an award to a

consortium, the amount of funds allocated to each member on each respective SF-424 application form will be attributed to the state in which the consortium member institution is located. The Department will add the amounts awarded to consortium member institutions to the amounts awarded to any single institution applicants in the state to determine whether at least \$2,372,500 in grant funds are awarded to eligible institutions in each state.

To ensure that at least one eligible institution from each of the 50 States, the District of Columbia, and Puerto Rico (see Section 247(8) of the Trade Act of 1974, 19 USC 2319(8)) receives an award, the Grant Officer will first select fundable applications that represent as many States as possible. If the Grant Officer finds that a State is not represented by a fundable application, the Grant Officer will determine whether any non-fundable applications can be made fundable by placing conditions on the grant. If the Grant Officer determines that no applications can be made fundable by placing conditions on the grant, or if there are no timely and complete applications received from an eligible institution within a given State or represented by a consortium member institution applicant, DOL will contact the State agency responsible for colleges and universities to identify, and work with, an eligible institution to submit a single institution applicant proposal.

1. Award Amount for Single Institution Applicants (*Single Institution Applicants*)

Under this SGA, DOL intends to make grant awards to eligible institutions ranging from \$2,372,500 to \$2.75 million, up to a total of \$150 million, to single institution applicants.

2. Award Amount for Consortium Applicants (*Single-State Consortium and Multi-State Consortium Applicants*)

Under this SGA, DOL intends to make 15 to 20 grant awards of up to \$25 million each to consortia of eligible institutions, up to a total of approximately \$324 million in grant awards to consortium applicants.

B. Period of Performance for All Applicants (*All Applicants*)

The period of performance is 48 months, with an anticipated start date of October 1, 2013. This performance period includes all necessary implementation and start-up activities. Applicants must plan to fully expend grant funds during the period of performance while ensuring full transparency and accountability for all expenditures. Awards made under this announcement are subject to the availability of Federal funds.

All programs must be developed and offered within the first 36 months of the period of performance, with grant funds allocated for program development and delivery expended during that time. DOL expects that grantees will begin enrolling participants in education and training programs no later than 18 months after the date of grant award. The final 12 months of the period of performance is limited to gathering information and data for reporting outcome measures and completing the requirements for the third-party evaluation; during this timeframe, grantees should not incur costs for any other activities, such as program development and instructor salaries.

III. Eligibility Information

A. Eligible Institutions (*All Applicants*)

Eligible institutions are institutions of higher education as defined in Section 102 of the Higher Education Act of 1965 (20 U.S.C. 1002) which offer programs that can be completed in not more than two years. They include public, proprietary, or other nonprofit educational institutions. Generally, such institutions of higher education include two-year and four-year colleges and universities, Historically Black Colleges and Universities, Tribally Controlled Colleges and Universities, Hispanic-serving Institutions, and Asian American and

Native American Pacific Islander-serving Institutions. Educational institutions in the U.S. territories are eligible if they offer programs that can be completed in not more than two years and are accredited by an agency or association recognized by the U.S. Department of Education. However, applications from institutions not located in the 50 States, the District of Columbia, and Puerto Rico may not be eligible for the full 10 points in Section V.A.1 because workers outside of these jurisdictions cannot be certified as TAA-eligible.

Eligible institutions previously funded under TAACCCT SGA/DFY PY 10-03 (Round 1) either as a single institution or through a consortium application may apply as a single institution or as a Lead or Member Institution in a consortium application under this SGA. Eligible institutions previously funded as a Lead Institution under either a single institution or consortium application through TAACCCT SGA/DFY PY 11-08 (Round 2) **may not** apply as a single institution or as a Lead Institution in a consortium application under this SGA, but may participate in a consortium application as a Member Institution.

Please note, for institutions funded under TAACCCT Round 1, the Department does not intend to fund the continuation of their existing TAACCCT projects, however, both TAACCCT Round 1 Grantee Institutions and other eligible applicants can propose projects that expand or enhance previously-funded TAACCCT projects in a new way, such as: enhancing a classroom-based program of study for online or hybrid delivery; adding stackable education and/or training credentials to an existing program of study; and enhancing a program of study to be delivered in an accelerated format. For applicants that propose projects that expand or enhance previously-funded TAACCCT projects in a new way, a brief but detailed description of the expansion or enhancement of the activities of these projects must be included as part of the project

description section of the abstract submitted with the application. See Section I.C.1 for information on previously funded TAACCCT grants.

Applicants must identify their institution type in Section 9 of the SF-424 Application for Federal Assistance. Eligible institutions must be accredited, as of the closing date of this SGA, by a nationally recognized accrediting agency or association that has been recognized by the U.S. Department of Education. A database of institutions that are accredited by agencies and associations recognized by the U.S. Department of Education can be found at <http://ope.ed.gov/accreditation/>. Applicants are strongly encouraged to check this Web site to confirm their eligibility, as the Department will rely solely on this database in determining an applicant's accreditation to ensure eligibility.

1. Single Institution Applicant (*Single Institution Applicants*)

Eligible single institution applicants are eligible institutions of higher education as defined in Section III.A.

2. Consortium Applicant (*Single-State Consortium and Multi-State Consortium Applicants*)

Eligible consortium applicants are consortia of three or more eligible institutions of higher education as defined in Section III.A. The Department strongly encourages applicants to form consortia within a state (single-state consortia) or across state lines (multi-state consortia) that will work together to develop programs that will impact individuals across a region, state, industry sector or cluster of related industries, and leverage their collective experience to expand and improve their ability to deliver education and career training programs.

Consortium grants will be comprised of a Lead Institution as well as Member Institutions. Consortium awards will contain individual grant

awards to each institution in the consortium that in sum comprises the total consortium award. There will be one statement of work for the consortium that provides detail as to the specific roles, responsibilities, activities, and deliverables of each consortium member. Each member will have grantee responsibilities, outlined below, under the TAACCCT Consortium Award. Additionally, one institution will be designated as the Lead Institution and have additional responsibilities, as outlined below.

a. Consortium Applications

Eligible applicants who have come together as a consortium will submit one application package to the Department. The consortium application package will include the following:

- 1.** An SF-424 and SF-424A for each institution in the consortium, listing the amount requested by each respective consortium member. The sum of the amounts requested on the SF-424 and SF-424A is the total consortium award amount. List the name of the Lead Institution in the Title Field of line 13 of the SF-424 along with the project title. The Lead Institution and project title must be the same on each consortium member SF-424.
- 2.** A single integrated budget narrative for the consortium providing detail for each consortium member institution that corresponds with each line of each member's respective SF-424A.
- 3.** A single integrated Project Narrative that meets the requirements contained in this SGA for the consortium award. The Project Narrative must identify the specific roles, activities, and deliverables designated to each consortium member institution.

b. Role of Lead Institution in Consortium

The Lead Institution is responsible for submitting the grant application on behalf of the consortium. Consortium applications must identify an eligible institution in the consortium that will serve as the lead for the TAACCCT Consortium. This Lead Institution must be specified as the lead for the consortium on the SF-424 in the Title Field of line 13 and in the abstract submitted with the application. All members of the consortium must submit separate SF-424 and SF-424A's for their institution as part of the consortium application. For the purposes of this Solicitation, the Lead Institution specified on the SF-424 in Line 13 and in the project abstract included in the Application will coordinate fiscal and administrative activity for the consortium award. Fiscal and administrative activities include, but are not limited to, the following:

1. Communication

The Lead Institution will be the entity that communicates with ETA on behalf of the consortium award. Questions from Member Institutions will be transmitted to ETA via the Lead Institution.

To carry out the programmatic functions of the grant, the Lead Institution will communicate regularly with members of the consortium, and will share information and technical assistance provided by the Department or the Federal Project Officer (FPO) assigned by the Department to oversee the grant. It is important that all consortium member institutions receive information related to technical assistance or a change in policy. Consortia must develop a communication process that promotes effective and efficient communication between the Lead Institution and the member institutions. Note: All official communication from the Department will be sent to both the Lead and Member Institutions.

2. Tracking

The Lead Institution will track programmatic and fiscal progress against goals and flag problems related to achievement of programmatic and fiscal goals of the consortium projects, in accordance with appropriate systems to receive and compile outcome measures and fiscal reports. Problems will be identified and reported to the Department for review and action.

3. Combined quarterly narrative programmatic reports

The lead will submit, on behalf of the consortium, a quarterly narrative programmatic report that compiles the activities of the consortium Member Institutions, to provide a holistic picture of the consortium award as well as progress of the individual member institution grants.

4. Prior approval requests

The Lead Institution will submit to the Grant Officer all requests under the consortium award, including those of consortium Member Institutions, to acquire equipment and capital expenditures as well as requests for approval of rearrangement (renovation) and alterations, as dictated by the cost principles Codified in 2 CFR Part 220.

5. Modifications

The Lead Institution will submit all requests for modification to the consortium award statement of work. For consortium awards, there is one statement of work. If a modification is needed to any part, the appropriate Member Institution, working with the lead, will prepare a modification request. The Lead Institution will submit this request on behalf of the consortium to the Grant Officer for approval.

6. Provision of Technical Assistance and Training

The Lead Institution will provide to consortium member institutions technical assistance and training related to programmatic, fiscal, and reporting requirements including online reporting.

7. Project Evaluation.

The Lead Institution will be responsible for procurement of a single project evaluator. Additionally, all associated evaluation costs should be reflected in the budget for the Lead Institution.

Please note that the above activities do NOT fall under administrative costs as defined under the TAACCCT grants (see Section IV.E.3 of the SGA). These costs are considered programmatic in nature. Therefore, Lead Institutions may request additional programmatic funds to support implementation of these additional activities required of Lead Institutions.

Consortium members will function as co-grantees and not as sub-grantees or subcontractors. Consortium members are direct grantees, as evidenced by their grant award, and are therefore responsible for meeting all rules and regulations associated with federal grants.

If any institution identified in the application as a consortium member plans to drop out of the consortium before or after award of the grant, that Institution, along with the Lead Institution, must: 1) provide to the Grant Officer in writing a letter of intent to withdraw from the consortium and terminate the grant award; and 2) contact the Grant Officer to discuss next steps. The Department reserves the right to re-evaluate a consortium award in light of any such change in the consortium membership and may terminate all awards under the consortium if deemed appropriate. If a consortium Member Institution drops out, the funds and activities committed to in the application may not be shifted automatically to another consortium Member Institution or to a new institution; the Lead Institution must contact

the Grant Officer to discuss options for replacement grants within the consortium.

Applicants should note that there are specific submission instructions for consortium applications for the abstract (Section IV.B.4).

c. Role of Member Institutions in a Consortium

Member Institutions are those institutions who join together to become a consortium award under the TAACCCT program. Member Institutions will each submit a signed SF-424 and SF-424A as part of the consortium application. As a member of the consortium, Member Institutions delegate certain authorities to the Lead Institution for the consortium.

Those authorities include submitting the quarterly programmatic reports on their behalf, submission of prior approval and modification requests on their behalf, communication regarding the grant to the Department, and allowing the Lead Institution to track both programmatic and fiscal and administrative progress of the grant. Member Institutions will provide the Lead Institution with all information and materials needed for the Lead Institution to meet the requirements outlined in subsection (b) above.

As grantees, Member Institutions must follow all the terms and conditions of their Grant Award. Member Institutions must submit quarterly financial reports via ETA's online reporting system and annual programmatic performance reports. Additionally, Member Institutions must each submit information to usaspending.gov in compliance with the Federal Funding Accountability and Transparency Act (FFATA).

d. Consortium Management

Applicants are encouraged to collaborate with other colleges and universities to build consortia, and to align (where appropriate) with institutions that have already received TAACCCT funding. This includes

developing content across multiple institutions; developing content at one institution and allowing other institutions to use the content in their courses; and/or designating a home institution or institutions in the consortium to confer credential(s), while other institutions contribute to the program through course development and delivery. Applicants shall develop a collaboration model that reduces duplication of effort and resources where possible within the consortium.

Applicants shall describe how members will collaborate within the consortium and how consortium member activities will be tracked during the life of the grant. This includes how the Lead Institution will track programmatic, fiscal and administrative activities. While the Lead institution is not responsible for enforcing consortium member compliance with grant requirements, each institution is responsible for ensuring their individual institution is in compliance with grant requirements; additionally, the Lead Institution is required to report to ETA any concerns with programmatic, fiscal or administrative performance found as a result of tracking.

B. Allowable Activities for All Applicants (*All Applicants*)

The Department anticipates that the majority of applicants will include three specific types of allowable activities to support their work: a) hiring and/or training additional instructors or staff (including the costs of salaries and benefits) to assist in the development and/or delivery of new curricula, and in the establishment of internships, Registered Apprenticeship, or clinical/cooperative education programs at employer sites; b) purchasing or upgrading classroom supplies and equipment and/or educational technologies that will contribute to the instructional purpose in education and training courses supported by the

grant; and c) costs associated with implementing changes in the time or scheduling of courses.

Other allowable activities may include, but are not limited to, implementing and/or enhancing the information technology infrastructure used to provide education and training and related activities; developing staff and infrastructure capacity to acquire, organize, and/or analyze program data for continuous improvement and program evaluation; expanding and improving the capacity of student services that directly support the goals of the grant (for example, career guidance programs); leasing space that is used for education and training and related activities; and altering or renovating facilities (in accordance with the Federal Cost Principles at 2 CFR Part 220) that are used for education and training and related activities (which could include ensuring that the facilities comply with Federal architectural accessibility obligations that require facilities to be readily accessible to and usable by qualified individuals with disabilities).

Capital expenditures, such as equipment or capital improvements, are allowable with prior approval from the Grant Officer. A capital improvement is a type of capital expenditure as described in 2 CFR 220 part 220, App. A., J. 18(a) (1). However, capital expenditures for improvements to land are not allowable under these grants. Possible allowable capital improvements include, but are not be limited to, improvements to buildings or equipment that would materially increase their value or useful life, including the cost to put the asset or improvement in place. For buildings, this could include the cost of upgrading, installing or retrofitting a building's internal systems or utilities, such as electrical, plumbing, HVAC, and communications to accommodate training courses or equipment. This could also include structural improvements or upgrades including the relocation, modification, retrofitting or enhancement of interior load

bearing walls or interior floors to accommodate training courses or equipment. Minor alterations, renovations or rearrangements, if specific to the project, are also allowable with prior approval from the Grant Officer. Minor alterations, renovations or rearrangements may include activities and associated costs such as relocating, modifying, replacing or adding items (such as switches and outlets) related to internal environments (temperature, humidity, ventilation, and acoustics), and installation of fixed equipment (including fume hoods and audio/visual equipment).

Award of a grant under this SGA does not constitute prior approval. After grant awards are made, applicants will be required to obtain specific Grant Officer approval before acquiring equipment or proceeding with proposed capital expenditures, renovation or alteration of facilities. The Grant Officer must determine that all proposed equipment, capital improvements and/or alterations and renovation are: 1) allocable, necessary, and reasonable; 2) tied to specific grant-related deliverables and outcomes outlined in the grantee's statement of work (including capacity-building and/or training outcomes); and 3) consistent with the SGA. In their budget narrative, applicants proposing to spend grant funds on capital improvements and/or alterations and renovations as outlined in the SOW and budget narrative must demonstrate how these expenditures will support the expansion and improvement of the education and training programs that are the focus of their proposed project. Total combined costs of all capital improvements and other alterations and renovations cannot exceed 15% of the total grant award. All activities related to capital expenditures and other alterations must be completed no later than 18 months from the start of the period of performance.

Allowable costs also include the costs of program development such as using subject matter experts from industry, education, state workforce agency,

labor market and economic research entities, and other areas to inform and assist in curriculum design. It is allowable to contract with Workforce Investment Boards, American Job Centers (also known as One-Stop Career Centers), and their partners to provide staff-assisted or customized participant tracking and job placement services for individuals that will be impacted by the TAACCCT grants, and for costs related to implementing data sharing agreements. Applicants should refer to Section VI of the SGA for a list of relevant Office of Management and Budget (OMB) Circulars related to cost principles, administrative and other requirements that apply to this Solicitation.

C. Cost Sharing (*All Applicants*)

Cost sharing or matching funds are not required for this program. Applications that include any form of cost sharing or match will not receive additional consideration under the review. Cost sharing or match is not one of the application screening criteria.

D. Other Information

1. Application Screening Criteria (*All Applicants*)

Applications that contain any of the following deficiencies during the screening process that occurs after the close of the application period will be found non-responsive and will not be reviewed. The deficiencies are:

- Applicants that are not accredited, as of the closing of this SGA, by a nationally recognized agency or association that has been recognized by the U.S. Department of Education, as identified in Section III.A. A database of institutions that are accredited by bodies recognized by the U.S. Department of Education can be found at <http://ope.ed.gov/accreditation/>. If any member is found to be not accredited or otherwise ineligible in a consortium

application, the complete consortium application will be found to be non-responsive.

- Applicants that submit more than one application to serve as the Grantee Institution, either as a single eligible institution or as the Lead Institution in a consortium. In this case, both applications will be found to be non-responsive;
- Applicants that do not provide documentation satisfying the pre-conditions identified in Section III.D.1.a. for all applicants and additional pre-condition for single-state consortium applicants in Section III.D.1.b. for single-state consortium applicants (if applicable);
- Applicants that received a TAACCCT Round 2 grant award through SGA DFA/PY 11-08 as either a single institution or as the Lead Institution for a consortium, as identified in Section III.A. Both single institution applications with this deficiency and consortium applications where the Lead Institution has this deficiency will be found to be non-responsive ;
- Failure to satisfy the deadline requirements referenced in Section IV.C.;
- Applications that exceed the ceiling amount of \$2.75 million for a single institution application, or exceed \$25 million for a consortium application, as identified in Section 11.A;
- Failure to include: SF-424 including D-U-N-S® Number and SF-424A (for each eligible institution represented in the application, including each consortium member), a budget narrative, a project narrative, and attachments to the project narrative, as identified in Section IV.B.1 and IV.B.2;

- Failure to register with SAM and maintain an active account, as identified in Section IV.B.1; and
- Failure to include additional required information as an attachment and have those attachments clearly labeled reflecting the following, as identified in Section IV.B.4:
 - o Abstract;
 - o Project/Performance Site Location Form;
 - o Documentation of Employer Commitment;
 - o Organizational Chart;
 - o Program Evaluation Plan and Budget Narrative;
 - o Project/Performance Site Location(s) Form;
 - o Indirect Cost Rate Agreement; and
 - o Pre-Condition Attachments.

a. Pre-Conditions for *All Applicants*

To be considered for funding, all applicants must provide documentation that demonstrates evidence of the following institutional policy and program components.

1. Employer Engagement

All applicants are required to demonstrate the active involvement of one or more employers for each targeted industry

in each project site location. For the purposes of this SGA, an industry is defined as any of the 2-digit economic sectors identified by the North American Industrial Classification System (NAICS). Occupations are generally considered sub-sets of an industry sector(s) and applicants are only required to demonstrate employer engagement for each targeted industry in each project site location. For additional information on industries by NAICS, see Appendix A or visit <http://www.census.gov/eos/www/naics>.

To demonstrate the active involvement of employers, applicants must provide signed documentations of employer commitment -- such as signed memoranda of understanding, an organizational charter, a partnership agreement, or other types of signed agreements -- which collectively demonstrate the engagement of each employer. For example, if an applicant is proposing to serve Industry A and Industry B at Site Location 1, and Industry A, Industry B and Industry C at Site Location 2, the applicant must provide documentation of commitment signed by authorized representatives for Industry A and Industry B at Site 1, as well as for Industries, A, B, and C at Site 2. If an employer provides employment opportunities in more than one site location to be served by the grant, the employer will meet the site location requirements for multiple sites, if it meets the other criteria in the condition. Likewise, if an employer provides employment opportunities in more than one industry to be served by the grant, the employer will meet the requirement for multiple industries. At minimum, employer documentation of commitment must:

- Include the signature of an authorized representative from each of the required employer(s);
- Identify the industry(ies) targeted by the proposed project that are represented by each required employer – applicants should include one or more NAICS code for each employer, as appropriate;
- Indicate that the employer is located in the area where the college is located, or hires individuals that enroll in courses at the college;
- Describe the employer(s) role in identifying skills and competencies for the program, and how they will assist with curriculum development and program design;
- Describe how employers or groups of employers are involved in the project, including their role in providing work-based training opportunities, if applicable; and
- Identify what specific resources, such as mentors, the donation of equipment, or other contributions, are being provided by those employers to support the proposed project, if any.

2. Use of Labor Market Information (LMI Data)

All applicants are required to describe the regional labor market and the economic context in each project site location where the proposed program will operate, based on accurate and timely labor-market, workforce, demographic, and labor market intelligence gained from partnerships with business, industry, and area employer information. The geographic scope of the LMI data must match the geographic scope of the proposed project (such

as a single site or multi-state, which may include information from multiple states). Applicants do not have to produce original analyses or studies of LMI. However, they must provide an interpretation of LMI to provide context for their project proposal to meet this pre-condition. For additional information on local LMI data, applicants may consult state labor market information directors listed at <http://www.bls.gov/bls/ofolist.htm> or review the states WIA strategic plan and state economic analysis reports at <http://www.doleta.gov/Performance/results/AnnualReports/annual-report-11.cfm>.

To be considered for funding under this SGA, applicants must submit a two-page attachment clearly labeled as Labor Market Information that includes the following information:

- A description of the LMI data used in determining the needs of the TAA workers and other adult learners, including the name, source, and year of the data set or publication, as applicable;
- A description of how the data on labor market demand will be used to determine which training programs should be priorities, which programs should be modified, and any programs that can be eliminated to meet the needs of the geographic area; and
- A description of how the data will be shared with program participants either directly by colleges or through other entities such as the workforce system, non-profit organizations, or financing intermediaries to help inform career counseling and course selection.

- Applicants are invited to consult resources on how to use LMI to inform students' decisions and improve college programming.

3. Third- Party Evaluation

Each applicant must submit a summary of their evaluation plan and a separate evaluation budget narrative for an independent third-party evaluation of the proposed project, as described in Section V.C. The evaluation plan does not count against the project narrative page limit, but cannot exceed 5 pages. There is no page limit for the evaluation budget narrative. If using grants.gov for submission, these documents must be attached under the Mandatory Other Attachment section and labeled Program Evaluation Plan and Program Evaluation Budget Narrative.

b. Additional Pre-Condition for Single-State Consortium Applicants

(Single-State Applicants)

Employment Results Scorecard

Applicants applying as single institutions or multi-state consortium applicants should not provide a response to this specific pre-condition.

Single-state consortium applicants are required to provide a plan to develop and implement an employment results scorecard during the grant performance period. The purpose of the employment results scorecard is to help TAA-eligible workers, and other adult learners and prospective students identify and choose programs by providing key information on the employment outcomes of graduates of these programs of study to determine whether these programs of study may be appropriate for their career goals. The same data on aggregate student outcomes by programs of study will help institutions improve their

programming by ensuring that course offerings are aligned with labor market needs. Most importantly, in developing a scorecard workplan, institutions establish a sustainable system for tracking and reporting outcomes and using data for continuous improvement that extends beyond the period of performance of grant program.

To meet this pre-condition, Single-State Consortium applicants must submit a clearly labeled Employment Results Scorecard Workplan as an Attachment to the Project Narrative that addresses the four items below and describes a plan to implement this scorecard by the end of the grant period of performance.

(1) Performance Metrics of the Scorecard

Applicants must propose and describe the performance metrics used in the employment results scorecard. The Department recognizes that State laws and regulations differ and may sometimes affect the availability of data in the States in which consortium applicants propose to serve participants. The Department also recognizes that many applicants already have a mechanism in place for collecting and sharing this data or are participating in other initiatives to create similar reports. As a result, the Department encourages applicants to propose metrics that complement and relate to existing reporting practices, such as student repayment rates or other institutional evaluation studies over varying lengths of time.

The proposed metrics should include data on students in all of the institution's programs of study, including those enrolled in programs that are not developed or delivered through this SGA. Although the set of metrics proposed must include the six items listed below, the Department encourages applicants to propose metrics in addition to those listed below, where appropriate, and the appropriate length of time of measurement.

Applicants should note that while the metrics below are similar to grantee reporting requirements as described in Section IV.C, these metrics are not intended to be a substitute for meeting those reporting requirements.

- (1) Annual graduation rate for all students enrolled by program;
- (2) Employment rate of program completers by program;
- (3) Employment retention rate of completers, one year following program completion, by program;
- (4) Average earnings of completers, one to three years following program completion, by program; and
- (5) Transfer rate for programs that have facilitating transfers as a substantial part of their mission.

(2) Plan to Obtain and Share Data

Applicants must identify methods for obtaining the data necessary to create the employment results scorecard. This may include:

- Developing and implementing a student consent protocol to be used during collection of personally identifiable information (PII) so that data collected may be used for research and performance reporting;
- Developing data sharing agreements with the State Agency that oversees Unemployment Insurance wage records to conduct data matching and produce aggregate reports on employment outcomes and earnings by program;
- Working with relevant State agencies to explore the possibility of accessing the Wage Record Interchange System (WRIS) 2, if applicable;
- Working with relevant State agencies to utilize state longitudinal data systems to calculate aggregate transfer rates and employment outcomes by program.

- Identify the key partnerships necessary to obtain outcomes data. This may include working with the State agency that administers Unemployment Insurance, WIA, or the SLDS, and the Workforce Data Quality Initiative grants.

(3) Plan to use Data for Continuous Improvement

Applicants should describe how the data obtained for the employment results scorecard and other data will be used by consortium members to monitor program performance, improve programs, eliminate ineffective programs, and improve outcomes for underrepresented groups.

(4) Estimated Costs

Costs of the scorecard can be paid for with grant funds. Applicants should provide an estimate of the cost associated with implementation of this pre-condition. Please note that costs for this scorecard must be included together with the other grant activities on the SF-424 and SF-424A forms. The cost for this component of the grant must not exceed two percent of the total proposed budget for the grant.

c. Additional Pre-Condition for Multi-State Consortium Applicants (Multi-State Consortium Applicants)

Employment Results Scorecards Continuous Improvement Plan

Applicants applying as single institutions or single-state consortium applicants should not provide a response to this specific pre-condition.

Multi-state consortia are required to submit a plan that explains how consortium members will work toward developing an employment results scorecard as described in (b) above. The Department recognizes the extra

challenges of understanding and applying State laws across the various states to obtain and report data on employment outcomes. However, the Department believes that establishing a system to report on student outcomes, such as the employment results scorecard, will benefit TAA-eligible workers and other adult learners in the various states served by the consortium.

To meet this pre-condition, multi-state consortium applicants must submit a clearly labeled Employment Results Scorecard Continuous Improvement Workplan as an attachment to the Project Narrative that addresses the items below.

(1) Survey of Data Systems

Applicants should provide brief results of a survey of the data systems in each state served by the grant. This survey should include, at a minimum, information about the agency responsible for administering the Unemployment Insurance program or employment data for each state; existing practices applicants use to collect data on student outcomes; and a summary of regulations and other barriers to sharing aggregate data publically. Applicants should also explore the possibility of aligning or joining an existing longitudinal data study or other existing data sharing initiatives in the various states served by the consortium.

(2) Options for Obtaining and Sharing Data

Applicants should provide a discussion of options for obtaining data on student outcomes in all states served by all consortium members. This discussion should also include feasibility study for implementation of student consent protocols across each consortium institution, likelihood and costs for obtaining data from the state agency that administers unemployment insurance, and potential for participation in longitudinal data studies, as applicable.

(3) Plan to Use Data for Continuous Improvement

Applicants should also discuss plans using an employment outcomes scorecard or other data analytics that will help consortium members monitor program performance at their institutions, improve current program offerings, and provide new programs that will provide students the skills necessary to obtain employment.

(4) Estimated Costs

Applicants should provide an estimate of the costs of implementing the continuous improvement plan across all consortium members.

2. Number of Applications Submitted (*All Applicants*)

Eligible institutions may submit one application to serve as a Grantee Institution in response to this SGA, either as a single eligible applicant or as the Lead Institution in a consortium application. However, eligible institutions may submit an application as a single eligible institution, and also serve as a member of a consortium in one or more consortium applications in which they do not serve as the Lead Institution.

3. Eligible Participants (*All Applicants*)

There are no eligibility requirements for specific populations that are eligible to be served through the TAACCCT grants that will be funded through this SGA. The intent of this SGA is to fund projects that expand and improve the ability of eligible institutions to provide education and training programs that are suitable for a diverse population of workers eligible for training under the TAA for Workers program, as well as a broad range of other adults such as women or minorities who may be underrepresented in high-demand fields. However, successful applicants must give priority of enrollment to workers eligible for training under the TAA for Workers program.

For example, in circumstances where a grant recipient must choose between two qualified candidates for enrollment, one of whom is a worker eligible for training under the TAA for Workers program, this priority of enrollment provision requires that the grant recipient give the worker eligible for training under the TAA for Workers program priority of enrollment by first providing him or her an opportunity to receive the training or educational opportunity funded through the grant. Applicants should note that Veterans receive first priority of services with TAA-eligible workers receiving second priority (refer to Section III.D.4. Veterans Priority for Participants).

4. Veterans Priority for Participants (*All Applicants*)

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.

5. Review of Grant Deliverables (*All Applicants*)

Grantees will be required to identify third-party subject matter experts to conduct reviews of the deliverables produced through the grant. Applicants should allot funds in their budgets for the independent review of their deliverables by appropriate subject matter experts. Subject matter experts are individuals with demonstrated experience in developing and/or implementing similar deliverables. These experts could include applicants' peers, such as representatives from neighboring education and training providers. The applicant must provide the Department with the results of the review and the qualifications of the reviewer(s) at the time the deliverables are provided to the Department.

6. Accessibility (*All Applicants*)

All online and technology-enabled content and courses developed under this SGA must incorporate the principles of universal design (see <http://www.cast.org/udl/>) in order to ensure that they are readily accessible to qualified individuals with disabilities. The content and courses must be in full compliance with the Americans with Disabilities Act and Sections 504 and 508 of the Rehabilitation Act of 1973, as amended, and the Web Content Accessibility Guidelines (WCAG) 2.0, Level AA (<http://www.w3.org/TR/WCAG/>).

7. Technical Standards for Digital Assets (*All Applicants*)

All digital assets within online and technology-enabled courses, including course components, tests, e-publications and applications used in course development under this SGA, should be produced to maximize interoperability, exchange and reuse. In addition, all assessments and/or other content that result in a student score or grade must conform to industry-leading e-learning open standards and specifications (for example, LR [Learning Registry], AICC [Aviation Industry Computer-Based Training Committee], LRMI [Learning Resource Metadata Initiative], IMS [Information Management Standard], PESC [Postsecondary

Electronic Standards Council], or SCORM [Shareable Content Object Reference Model]). Applicants must identify the industry standard they will use in online course development. All digital assets must be licensed for free, attributed public use and distribution under the CC BY license (as described in Section III.D.9). Additional information regarding the formats of digital assets is contained in Appendix B.

1 Leveraged Expertise (*All Applicants*)

Applicants are strongly encouraged to leverage the knowledge and resources of public and private organizations that have expertise and experience in successfully developing, implementing, and evaluating projects in the core elements described in Section I.B, and are encouraged to leverage the expertise of content experts such as cognitive scientists, human-computer interaction experts, information technologists, program evaluation experts, and others as appropriate to the development and implementation of the project. Where appropriate, applicants are strongly encouraged to leverage the knowledge of authors, publishers and providers of digital and online curricular materials and course modules, including Federally-funded program providers, community colleges, open licensed content providers, not-for-profit and commercial publishers and other types of entities. These individuals, groups and organizations can help the applicant determine if and to what extent such resources already exist and whether the applicant should adopt such existing resources rather than develop new, effectively duplicative materials, unless such adoptions would impose barriers to the free use or reuse of the materials by others. Consortium applicants are strongly encouraged to leverage expertise from content experts within the consortium in the development of online learning materials. In the implementation and adoption of materials developed under the grant, technology-based consortium projects may also connect with broad networks of education and training institutions to ensure widespread use and encourage continuous improvement of the courses and learning materials created by these projects.

Applicants may propose to procure from outside organizations or individuals goods or services that are ancillary or supportive of the applicant's project work plan. However, these activities may only be implemented through a contract, not through a sub-grant, and must follow all procurement requirements. Please refer to procurement information in Section VI.B.3 for more information. Please see Section IV.E.6 of the SGA and Appendix H for more information on the difference between a contract and a sub-grant.

2 Intellectual Property Rights (*All Applicants*)

To ensure that the Federal investment of these funds has as broad an impact as possible and to encourage innovation in the development of new learning materials, as a condition of the receipt of a TAACCCT grant, the grantee will be required to license to the public all work (except for computer software source code, discussed below) created with the support of the grant under a Creative Commons Attribution 3.0 (CCBY) license.. Work that must be licensed under the CCBY includes both new content created with the grant funds and modifications made to pre-existing, grantee-owned content using grant funds.

This license allows subsequent users to copy, distribute, transmit and adapt the copyrighted Work and requires such users to attribute the Work in the manner specified by the grantee. Notice of the license shall be affixed to the Work. For general information on CCBY, please visit <http://creativecommons.org/licenses/by/3.0>. Questions about CCBY as it applies to specific TAACCCT grant applications should be submitted to DOL to the Grants Management Specialist specified in Section VII.

Only work that is developed by the grantee with the grant funds is required to be licensed under the CCBY license. Pre-existing copyrighted materials licensed to, or purchased by the grantee from third parties, including modifications of such materials, remain subject to the intellectual property rights the grantee receives under the terms of

the particular license or purchase. In addition, works created by the grantee without grant funds do not fall under the CCBY license requirement.

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

Further, the Department requires that all computer software source code developed or created with TAACCCT funds will be released under an intellectual property license that allows others to use and build upon them. Specifically, the grantee will release all new source code developed or created with TAACCCT grant funds under an open license acceptable to either the Free Software Foundation and/or the Open Source Initiative.

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

If applicable, the following needs to be on all products developed in whole or in part with grant funds, “This workforce product was funded by a grant awarded by the U.S. Department of Labor’s Employment and Training Administration. The product was created by the grantee and does not necessarily reflect the official position of the U.S. Department of Labor. The U.S. Department of Labor makes no guarantees, warranties, or assurances of any kind, express or implied, with respect to such information, including any information on linked sites and including, but not limited to, accuracy of the information or its completeness, timeliness, usefulness, adequacy, continued availability, or ownership. This product is copyrighted by the institution that created it. Internal use by an organization and/or personal use by an individual for non-commercial purposes is permissible. All other uses require the prior authorization of the copyright owner.”

3 Grant Recipient Training (*All Applicants*)

Single Institution and Lead Institution recipients are required to participate in all ETA training activities related to grantee orientation, financial management and reporting, performance reporting, product dissemination, and other technical assistance training as appropriate during the grant period. These sessions may occur via conference calls, through virtual events such as webinars, and in-person meetings. The Lead Institution should encourage member institutions to be represented in all virtual sessions. Single institution applicants and Lead institution applicants should budget for at least two staff members to attend up to two in-person events in Washington, D.C. during the life of the grant. Consortium members may budget to attend any in-person events; however participation of consortium members at these events will be determined during the period of performance and will be dependent on conference capacity and other factors.

IV. Application and Submission Information (*All Applicants*)

A. How to Obtain an Application Package (*All Applicants*)

This SGA, found at <http://www.grants.gov> and http://www.doleta.gov/grants/find_grants.cfm, contains all of the information and links to forms needed to apply for grant funding.

B. Content and Form of Application Submission (*All Applicants*)

Proposals submitted in response to this SGA must consist of four separate and distinct parts: (1) the SF-424 “Application for Federal Assistance;” (2) Project Budget; (3) Project Narrative; and (4) attachments to the Project Narrative. It is the applicant’s responsibility to ensure that the funding amount requested is consistent across all parts and sub-parts of the application. Each member of the consortium, including the Lead Institution, must meet all the requirements for applicants detailed in this section. If selected, each consortium member institution will receive an individual grant award from ETA.

1. SF-424, “Application for Federal Assistance”

Applicants must complete the SF-424, “Application for Federal Assistance” (available at <http://apply07.grants.gov/apply/FormLinks?family=15>). Consortium applicants will submit a complete SF-424 for each member in the consortium. The sum of the consortium member SF-424s must equal the total consortium award request and must fall within the consortium award range identified in Section II.A. 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. For consortium members, the signature on the SF-424 by the authorized representative confirms the member’s acceptance of the Member and Lead Institution roles and responsibilities as specific in the SGA and also authorizes the Lead to act on behalf of the Member. As stated in block 21 of the SF-424

form, signature of the authorized representative on the SF-424 certifies that the organization is in compliance with the Assurances and Certifications form SF-424B (available at <http://apply07.grants.gov/apply/FormLinks?family=15>). The SF-424B is not required to be submitted with the application.

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>.

All applicants, including consortium members, must register with the System for Award Management (SAM) before submitting an application. Instructions for registering with SAM can be found at <https://sam.gov>. A grantee must maintain an active SAM registration with current information at all times during which it has an active Federal award or an application under consideration. To remain registered in the SAM database after the initial registration, the applicant is required to review and update the registration at least every 12 months to ensure it is current, accurate and complete. For purposes of this paragraph, the applicant is the entity that meets the eligibility criteria and has the legal authority to apply and to receive the award.

2. Project Budget (formerly known as the Cost Proposal) **(All Applicants)**

Both single institution and consortium applicants must complete the SF-424A Budget Information Form (available at <http://apply07.grants.gov/apply/FormLinks?family=15>). Consortium applicants will submit an SF-424A for each member of the consortium, including the Lead Institution, for the amount requested by that institution. In preparing the Budget Information Form, the applicant must provide a concise

narrative explanation to support the budget request, explained in detail below. For consortium awards, one single integrated budget narrative will be submitted. The budget narrative will break out the costs specific to each consortium member, based on the amounts requested in their SF-424A.

Budget Narrative: The budget narrative must provide a description of costs associated with each line item on the SF-424A. It should also include a description of leveraged resources provided (as applicable) to support grant activities. For consortium awards, the single integrated budget narrative must detail the line item costs for each consortium members associated with each line item on each respective SF-424A. The budget narrative must provide breakouts for each consortium member under each line item.

Use the following guidance for preparing the budget narrative:

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

Fringe Benefits – Provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, FICA, retirement, etc.

Travel – Specify the mileage, per diem rate, estimated number of in-state and out-of-state trips and other costs for each type of travel. Applicants should budget for at least two staff members to attend two face-to-face events in Washington, D.C. during the life of the grant.

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

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

Contractual – Identify each proposed contract and specify its purpose and estimated cost.

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

Indirect Charges – If indirect charges are included in the budget, include the approved indirect cost rate with a copy of the Indirect Cost Rate Agreement, a description of the base used to calculate indirect costs and total cost of the base, and the total indirect charges requested. See Section IV.B.4. and Section IV.E.2. for more information. Please note that indirect charges are not the same as administrative charges under the TAACCCT grants. Administrative costs for TAACCCT grants are defined at 20 CFR 667.200.

Note that the entire Federal grant amount requested (not just one year) must be included on the SF-424 and SF-424A and budget narrative. No leveraged resources should be shown on the SF-424 and SF-424A. The amount listed on the SF-424, SF-424A and budget narrative must be the same.

Please note, the funding amount included on the SF-424 will be considered the official funding amount requested if any inconsistencies are found.

3. Project Narrative for All Applicants (formerly known as the Technical Proposal) (All Applicants)

The Project Narrative must demonstrate the applicant's capability to implement the grant project in accordance with the provisions of this Solicitation. It provides a comprehensive framework and description of all aspects of the proposed project. It must be succinct, self-explanatory, and well organized so that reviewers can understand the proposed project.

For single institution applicants, the Project Narrative is limited to 30 double-spaced single-sided 8.5 x 11 inch pages with 12 point text font and 1 inch margins. For consortium applicants, the Project Narrative is limited to 45 double-spaced, single-sided, 8.5 x 11 inch pages with 12-point text font and 1 inch margins. Any materials beyond the specified page limit will not be read or considered in the application review process. Applicants must number the Project Narrative beginning with page number 1.

The following instructions provide all of the information needed to complete the Project Narrative. Applicants should carefully read and consider each section, and include all required information in their Project Narrative. Consortium applicants must identify the member institution(s) (which may include the Lead Institution) responsible for each activity or deliverable. The Project Narrative will be evaluated using the evaluation criteria identified in Section V.A. Applicants should use the same section headers identified below for each section of their Project Narrative:

A. Preparing the Project Narrative

- 1. Statement of Need (Evaluated under "Need and Purpose" in Evaluation Criteria)**

The applicant must describe how the proposal will meet the need to expand and improve the ability of eligible institutions to deliver education and career training programs to TAA-eligible workers and other adults who enter their programs in the community/communities to be served.

i. Serving the Education and Training Needs of TAA-Eligible Workers

Applicants must provide detailed evidence of how they will serve the needs of TAA-eligible workers.

- Describe the impact of foreign trade, including identifying one or more TAA Certification determinations (providing the TAA for Workers (TAW) Number, company name, and decision date) in at least one community to be served by the project, made on or after October 1, 2008; provide a narrative that describes the threat to, or the loss of, jobs associated with the identified Certification(s). TAA for Workers petition determinations may be accessed and searched electronically at: http://www.doleta.gov/tradeact/taa/taa_search_form.cfm; and if the proposed project includes a strong focus on online learning programs, explain how the programs will be made accessible to, and will serve, TAA-eligible workers, including those in communities in states that receive relatively high levels of funding under the TAA for Workers program.
- Describe partnerships with cooperating State agencies that operate the TAA for Workers program and applicable entities in the public workforce system that deliver TAA benefits to TAA-eligible workers in the States in which the applicant is located. Contact information for these agencies is available electronically at: <http://www.doleta.gov/tradeact/contacts.cfm>). Describe how these

partnerships will be leveraged to ensure that the proposed project will effectively serve TAA-eligible workers.

- Describe the education and training needs of the TAA-eligible workers in each community to be served by the project, including: the industry and/or occupations in which the TAA-eligible workers are or were employed; the current level of skills and educational attainment of the TAA-eligible workers; and the additional barriers these TAA-eligible workers may face in seeking employment and how the project will be made accessible to, and will serve, TAA-eligible workers, including those in communities in states that receive relatively high levels of funding under the TAA for Workers program.

ii. Evidence of Job Opportunities in the Targeted Industries and Occupations

Applicants must identify the specific two-digit NAICS Industry sector code(s) they are targeting and provide substantial and detailed evidence of current and future job opportunities for TAA-eligible workers and other adults in the targeted industries and specific occupations in the community/communities to be served, For the purposes of this SGA, an industry is defined as any of the 2-digit economic sectors identified by the North American Industrial Classification System (NAICS). For additional information on industries by NAICS, see Appendix A of this SGA or visit <http://www.census.gov/eos/www/naics>.

- Evidence of Employer Demand for Targeted Industries and Occupations
 - o Using accurate and timely labor-market, demographic, and economic information, describe how the targeted industries and specific occupations will yield opportunities in the community for

TAA-eligible workers and other adults who enter the program to obtain employment in high wage, high skill jobs or advance in their careers, and identify specific employers that are expected to hire grant participants within the period of performance.

- o Provide data and analysis of both current and projected employment opportunities for each targeted industry and specific occupation. The geographic scope of the LMI data must match the geographic scope of the proposed project (such as state, regional, or national in the case of online learning). This should include data on current and expected job openings with at least one employer in the community in each targeted industry, and may include commitments from employers who expect to hire program participants.
- Understanding of Skills Required in the Targeted Industries and Occupations
 - o Describe the job knowledge, skills, abilities, and credentials required to work in the targeted industries and occupations, and provide a description of how the applicant will engage with employers in the community to obtain their feedback on any content developed and delivered during the life of the project.

iii. Gap Analyses

Applicants must fully identify gaps in education and training for targeted industries and occupations, and demonstrate the need to develop or expand capacity of the institution(s) to offer training and educational

opportunities. The data provided should support the need for the education and career training programs proposed by the applicant.

- Analysis of Gaps in Existing Educational and Career Training Programs and Systems Infrastructure

- o Describe the significant gaps in existing education and career training programs, including researching previously funded TAACCCT projects, and infrastructure in each community for TAA-eligible workers and other adults, based on data collected through the community outreach process (described in Section I.B.5 and Appendix C), as well as relevant data from the applicant institution's own management information systems or other data sources. The geographic scope of the gap analysis must match the geographic scope of the proposed project (such as local, state, regional, or national).

- o Describe how the identified gaps impact the applicant's ability to effectively serve TAA-eligible and other adults seeking education or career training. Information may include, but is not limited to, evidence of:

- Limitations in the number of students successfully served or enrolled, as a result of the inability of the applicant to meet demonstrated demand for education and training in the community;
- Limitations in faculty expertise and facility infrastructure that serve as barriers to providing effective education and training programs in the community;

- Limitations in the content and quality of available courses that negatively impact the ability of the applicant to meet the needs of employers and program participants;
- Factors that contribute to program attrition, particularly among low-skilled students, and the need to address those factors to improve retention and completion rates; and
- If applicable, the need for specialized equipment, including a description of why the equipment is needed and why any currently available equipment is not sufficient to provide effective training in the targeted industries and occupations.

2. Methodology and Work Plan (Evaluated under “Approach” in Evaluation Criteria)

The applicant must describe the proposed education and training strategies, including the research and evidence on which those strategies are based, as well as how the proposed strategies incorporate the Core Elements described in Section I.B, as well as demonstrate a cohesive, well-designed approach to implement the project.

i. Evidence-Based Design

Applicants must conduct a research review to support the proposed program design, clearly describe the evidence on which the proposed education and training strategies are based, and describe how the evidence influenced the design of the program to improve education and employment outcomes. In addition, single institution applicants must identify which option (referenced in Section I.C.1) their program design will incorporate.

- Review of Evidence for Program Design

Applicants that propose to replicate existing strategies must cite strong or moderate evidence.

- o Applicants that cite strong evidence must describe how it meets the following parameters: the evidence includes more than one well-designed and well-implemented experimental study or well-designed and well-implemented quasi-experimental study; or one large, well-designed and well-implemented randomized controlled, multisite trial.
- o Applicants that cite moderate evidence must describe how it meets the following parameters: the evidence includes at least one well-designed and well-implemented experimental or quasi-experimental study, with small sample sizes or other conditions of implementation or analysis that limit generalizability; or at least one well-designed and well-implemented experimental or quasi-experimental study that does not demonstrate equivalence between the intervention and comparison groups at program entry but that has no other major flaws related to internal validity; or correlational research with strong statistical controls for selection bias and for discerning the influence of internal factors.
- o Applicants that cite preliminary evidence must describe how it meets the following parameters: the proposed practice, strategy, or program, or one similar to it, has been attempted previously, albeit on a limited scale or in a limited setting, and yielded promising results that suggest that more

formal and systematic study is warranted; and a rationale for the proposed practice, strategy, or program that is based on research findings or reasonable hypotheses, including related research or theories in education and other sectors.

- o All applicants must provide a description of the research findings, present the strongest evidence available for the particular program design, and discuss any existing evidence that is mixed or negative. All sources must be appropriately cited and each piece of evidence must be identified as strong, moderate, or preliminary (see Appendix D for a detailed description of the levels of evidence, which is also restated in the above bullets).
- Use of Evidence in Program Design
 - o Provide a description of the proposed education and training strategies and fully explain how the evidence cited in the Review of Evidence for Program Design influenced the design of the proposed program. Describe how the evidence will be incorporated into plans for program development and delivery.
 - o Indicate if the project will replicate existing evidence-based design, development, and delivery strategies (citing strong or moderate evidence) or implement innovative or new strategies (supported by preliminary research findings, related research findings, or reasonable hypotheses).

ii. Stacked and Latticed Credentials

Applicants must incorporate use of certifications, certificates, and/or diplomas into the program design, all of which must be industry-recognized and considered stackable by the applicant's own institution, as well as other institutions. Stackable credentials allow TAA-eligible workers and other program participants to build a portfolio that can serve them well regardless of whether or not they ultimately complete a full degree program.

- Industry Engagement to Identify Credentials
 - o Provide a plan to work with employers and/or industry associations (including national industry associations) to identify clusters of courses and related credentials that can be recognized as credentials valuable to employers, including employers across a state or region, or credentials that are nationally portable.
- Plans to Stack and Lattice Credentials
 - o Provide a plan to develop a series of interconnected credentials. List specific credentials that will apply to this program (both existing and planned), how these credentials are compatible with or the same as those used more broadly within the region or industry, and the proposed process (who will be involved, who must approve, etc.) for connecting these credentials.
- Prior Learning Assessment
 - o Provide a plan to assess prior learning for adults entering the program. Identify the types of assessments that will be used (such as competency-based assessments and portfolio reviews).
 - o Explain how credit for prior learning will be awarded and how the most effective and accelerated path toward credential attainment

will be determined. This should include opportunity for military personnel to assess their current level of skills gained from education, training, and experiential learning to determine gaps in their ability to achieve industry-recognized credentials.

iii. Transferability and Articulation

Applicants must incorporate credit transferability and articulation in the program design.

- Provide a plan to work with other colleges and institutions to strengthen programmatic transitions from non-credit to credit-bearing courses for TAACCCT-funded courses and credentials.
- Describe efforts to ensure seamless transitions from programs such as career and technical education, adult education, pre-apprenticeship and Registered Apprenticeship to college coursework, including transferability between other institutions, such as other TAACCCT-funded programs and consortium members, as applicable.
 - o Include the names of the institutions the applicant plans to work with and explain efforts that will be undertaken with them to standardize credentials, and describe the steps and approvals necessary for transferability to become effective, including the anticipated time these steps will take.
- Provide a plan to develop articulation strategies that support career pathways to further education between the applicant, other institutions, and non-consortium institutions, as applicable. Articulation strategies may also include conversion from non-credit programs to academic credit, as appropriate.

- o Include the names of the institutions the applicant plans to work with, and describe the steps and approvals necessary for articulation to become effective, including the anticipated time these steps will take.

iv. Online and Technology-Enabled Learning

Applicants must design their projects to make use of innovative and effective applications of technology, including online, hybrid and/or technology-enabled strategies.

- Incorporation of Technology into Program Design and Delivery
 - o Describe how technology is incorporated into the design of the program and how technology will be used in the delivery of education and training. Online and technology-enabled strategies should effectively support TAA-eligible workers and other program participants in developing new skills, enable them to collaborate with each other, and/or allow them to engage in hands-on learning or access and complete learning outside of traditional classroom settings, including at the worksite. Innovative and effective strategies related to the use of technology may include, but are not limited to:
 - Interactive simulations;
 - Personalized instruction;
 - Elements of game design;
 - MOOCs;

- Asynchronous and real-time collaboration among, as well as between, TAA-eligible workers, other program participants, and instructors;
- Providing continuous feedback to the TAA-eligible workers, other program participants, and instructors in order to automatically identify and remediate individual student learning deficits;
- Mechanisms to provide feedback to course designers and instructors so that courses may be improved as TAA-eligible workers and other program participants attend them;
- Multiple delivery points to educational programs so TAA-eligible workers and other program participants are able to learn from a worksite, a Web site, or a classroom; and
- Improvements to the infrastructure necessary for hosting online programs and MOOCs.

- Expected Impact of Technology on Program

Outcomes

- o Explain how the use of technology will positively impact program outcomes, such as accelerated completion rates, improved learning and employment outcomes, increased interaction with industry experts, expansion of institutional capacity, and increased scalability to reach broader audiences. Applicants that include technology-based infrastructure projects must describe how the infrastructure will support all proposed programs (if more than one program is proposed). Technology strategies that could lead to

strong positive impacts on program outcomes might include, but are not limited to:

- Designing programs in a format that supports accelerated learning (for example, allowing students to master a semester of work in half the usual time);
- Developing courses or modules that will have national significance (such as developing best-in-class versions of one or more of the 25 courses that enroll approximately 50% of the student population at the community college level);
- Using cutting-edge scientific knowledge from fields such as cognitive science and educational psychology with the goal of showing substantial gains in mastery (such as cognitive task analysis or early results from DARPA); and
- Taking advantage of the efficiencies of scale to be gained by producing and offering online materials, courses, and programs using open source technology, thereby decreasing development and implementation costs for future projects.

v. Strategic Alignment

Applicants must provide a complete and clear description of their alignment with state plans, as well as their involvement with employers and industry organizations, the public workforce system, and philanthropic organizations, business-related and other non-profit organizations, community-based organizations, and labor organizations.

- Coordination with Governor’s Economic Development and WIA-WP integrated state workforce plan

- o Demonstrate that the strategies in the proposed TAACCCT project are aligned with the goals and priorities of both the Governor's Economic Development and WIA-WP integrated state workforce plan for each of the states targeted through its project, which can include targeting the specific industry sectors or clusters, education and training strategies, and/or goals for credential attainment included in these plans. Identify specific goals and priorities of the Governor's Economic Development and WIA-WP state workforce plan, and indicate how the specific strategies included in the proposed TAACCCT project support the achievement of these goals and priorities.
- - o

Coordination with Employers and Industry Organizations

Describe the specific role of employers involved in the project, including evidence that the employer partner(s) are committed to being involved in the project through required documentation of commitment(s) (submitted as an attachment to the proposal). Applicants must include one or more employers for each targeted industry in each site location served by the program, consistent with employers and employer roles identified in the required documentation of employer commitment. Specify specific roles for employers and industry organizations, including:
 - Defining the program strategy and goals;
 - Identifying necessary skills and competencies, assisting with curriculum development and program design;

- Providing resources to support education/training (such as equipment, instructors, funding, internships, or other work-based learning activities);
 - Developing pathways for individuals that involve both education or training curriculum and work-based experience;
 - Developing and aligning stackable credentials with career ladders within firms and industries;
 - Developing and/or scale successful sector-focused strategies;
 - Providing apprenticeships, internships, On the Job Training (OJT), or other work-based training opportunities; and
 - Committing to hire, promote and/or retain qualified program participants.
- o If applicable, describe how participants will be provided with apprenticeships, paid internships, on-the-job training, or other paid or for-credit work-based training opportunities through partnerships with employers, including: the specific industry in which the opportunity will be offered, and the employer(s) offering the experience; the specific type of work-based training opportunity that will be provided, and a brief description of the opportunity, including its length and the funding source, such as TAA, WIA, or wages provided by an employer; the specific competencies which students will gain through the work-based training opportunity, and how education and training programs that

are developed through the grant are linked with this work based training opportunity; demonstrated commitment from the organizations providing the opportunity in a partnership agreement, letter, or other means and the number of opportunities that will be provided during the grant period.

- Coordination with the Public Workforce System
 - o Provide a plan to engage and collaborate with the public workforce system in the development and delivery of programs. Provide evidence that workforce system partner(s) are committed to be involved in the project. The public workforce system includes local workforce investment boards, American Job Centers (also known as One-Stop Career Centers), and workforce system partners as defined under section 121(b)(1) of the WIA. Examples of partners include adult education, career technical education, and state agencies that administer the TAA for Workers program. Note that the required partnership with a state agency that administers the TAA for Workers program can also meet the requirement for engagement with a public workforce system partner. Identify specific roles of the workforce system partner(s) which could include, but are not limited to, the following:
 - Identifying and referring TAA-eligible workers and other program participant candidates based on skills and other assessments to the most appropriate education and training that can lead to employment;

- Developing programmatic connections that bridge an individual's transition into an institution's credit-bearing coursework;
 - Leveraging TAA or WIA training resources to implement work based training such as OJT;
 - Connecting TAA-eligible workers and other program participants with employers;
 - Providing supportive services where appropriate; and
 - Tracking TAA-eligible workers and other program participants as they re-enter the workforce.
- Coordination with Philanthropic Organizations, Business-related and Other Non-profit Organizations, Community-based Organizations, and Labor Organizations
 - o Describe plans to collaborate with philanthropic organizations, business-related and other non-profit organizations, community-based organizations, and labor organizations, especially those engaged in sector strategies. Types of collaboration could include: incorporating tools developed by these organizations; connecting program participants to work-based training opportunities; assisting with placement opportunities; and providing supportive services, where appropriate.

vi. Alignment with Previously-Funded TAACCCT Projects

- Provide a plan to reach out to grantees from Round 1 or 2 to better coordinate efforts, help decrease duplication, share information, and expand the geographical reach of their program. Applicants may engage with grantees that are geographically nearby, and/or with

grantees across the country. Identify planned activities for coordination with other institutions and consortia, such as:

- o Sharing information, such as lessons learned and promising practices;
- o Sharing course and program content;
- o Collaborating in the development and delivery of programs and courses;
- o Developing transferability and articulation agreements;
- o Working together to develop best practices in a particular area of training or education (such as a coalition effort to foster more entrepreneurs); and
- o Leveraging the work of philanthropic or non-profit organizations that support community colleges.

vii. Project Work Plan

The applicant must present a comprehensive project work plan that follows the format described in Appendix E. For consortium applicants, the work plan must break out consortium member roles and responsibilities within each of the sections outlined below. The project work plan must demonstrate a cohesive, well-designed approach to implement the project. The applicant must also demonstrate the capacity of the single institution applicant, or Lead Institution for consortium applicants, to manage the project and the role employer partners will play in supporting these activities.

- Feasible and Realistic Activities and Timeframes
 - o Describe the activities, timeframes, deliverables, and key implementers required to implement the strategies described

in this Methodology and Work Plan section within the grant period of performance. Include timeframes for accomplishing all procurement and other necessary grant start-up activities immediately following the start of the grant period of performance.

- Understanding of Costs Associated with Project Activities
 - o Identify and describe costs associated with each major project activity in the proposed work plan, including staff costs, which must align with the proposed budget. Applicants do not need to include a cost per participant.
- Identification of Project Deliverables
 - o Identify and describe the new intellectual property (such as books, courses, modules, seminars, tutoring systems, simulations, etc.) that will be developed with grant funds, and/or describe which existing Open Educational Resources (OER) or other licensed intellectual property will be improved with grant funds. Quantify the number of deliverables provided and provide a brief description of them. Specify the expected date the deliverables will be delivered to the Department.

3. Outcomes and Outputs (Evaluated under “Project Impact” in Evaluation Criteria)

The applicant must provide outcome projections, including an effective plan to track and report all outcome measures for all program participants, and an effective plan for the use of reported data to continuously assess the effectiveness of and to improve programming. The grantee's performance in

meeting outcome projections may impact the decision by the Department to award any future grants to the grantee.

i. Analysis of Outcome Projections

Grantees will be required to report data on a number of outcome measures on an annual basis, as specified in Section VI.C. For consortium applicants, the Lead Institution should provide aggregate outcome projections for the overall project. Applicants must provide projections in their applications for the following nine outcome measures:

1. Total unique participants served;
2. Total number of participants who have completed a TAACCCT-funded program;
3. Total number of participants still retained in their program of study or another TAACCCT-funded program;
4. Total number of participants completing credit hours;
5. Total number of participants earning credentials;
6. Total number of participants enrolled in further education after grant-funded program of study completion;
7. Total number of participants employed after grant-funded program of study completion;
8. Total number of participants retained in employment after program of study completion; and
9. Total number of those participants employed at enrollment (for purposes of this reporting, “incumbent workers”) who receive a wage increase post-enrollment.

- Outcome Projections

projected to complete programs may be offset by a large number of complex, original, and innovative planned deliverables.

ii. System or Process for Tracking and Reporting Outcome Measures

Successful applicants will be required to track and report outcome measures for program participants, and must have appropriate systems in place to do so. For consortium applicants, Lead Institutions must have a system in place to receive and compile outcome measures of member institutions. Applicants should refer to Section VI.C for a description of the quarterly and annual reporting requirements for the grant. The specific outcomes and outcome definitions for all participants that will be reported are found in Appendix F.

- Existing Tracking Procedures
 - o Applicants must provide specific details about the procedures already in place for tracking students, including which outcomes are already captured through the process currently being used, and describe staffing, technology, computer applications, and other resources already available to accomplish this task. Consortium applicants should ensure they describe existing tracking procedures across consortium members.
- Plan to Address Gaps in Tracking
 - o Identify and explain any gaps between the information that is already collected and the specific outcomes on which reporting is required, and how these gaps will be bridged. Provide a specific plan for staffing, technology, partnerships, computer

application purchases, or other resources that the applicant plans to procure in order to meet this requirement.

Consortium applicants should ensure their plans to address gaps in tracking across consortium members.

- o Applicants should describe how they are currently able to access state data systems to track student employment outcomes, or explain how access to state longitudinal data systems will be strengthened to track students' employment outcomes after exit or completion. This may include working with the State Directory of New Hires, the State Labor Market Information LMI or Research entities (that supports the Census Bureau's Local Employment Dynamic program), the State Workforce Agency (SWA) that is responsible for tracking and reporting outcomes on TAA for Workers program participants using the Trade Act Participant Record (http://www.doleta.gov/Performance/pfdocs/12050392_TAPR_Revision_Track_Changes_Draft_T EGL_Change_112909.pdf), or other federally-supported administrative record data collection efforts. This may also include working with the SWA to access employment data available in unemployment wage records. For example, if the applicant does not have an existing relationship with its state's agency responsible for collecting wage record information to verify employment, then the process that will be used to obtain employment outcome information, which may include establishing data sharing

agreement(s) to access administrative records containing this information, should be described.

iii. Using Data for Continuous Improvement

The applicant must describe its approach for using the data it collects and reports on all program participants to continuously assess the effectiveness of and improve programming.

- Plan for Formal Data Reviews
 - o Describe the process or procedure that will be used to formally review the data within the structure of the applicant educational institution, working with partners as applicable. Include information on the frequency with which data reviews will occur; the staff members, including partners, who will take part in the reviews and what each adds to the review process; how decisions will be made about adjustments or improvements; how progress or improvement in programming will be assessed; and how this information will be shared amongst consortium members, as applicable.
- Sustainability Plan
 - o Describe how data will be used to determine which strategies and activities were effective, and explain how the applicant will integrate these strategies and activities into program(s) for continued success. In addition, describe how relationships will be sustained with employer partners throughout the duration of the program and beyond.

4. Organizational Profile and Project Management (Evaluated under “Organizational Capacity and Project Management” in Evaluation Criteria)

The applicant must fully describe its capacity (and if applicable, the capacity of its consortium members) to effectively manage the programmatic, fiscal, and administrative aspects of the project, as well as its plan for sustaining the proposed program(s).

- Describe the professional qualifications that will be required of the full-time project manager. Explain why these qualifications are sufficient to ensure that performance reporting, fiscal reporting, and procurement are conducted in accordance with grant requirements. Provide a reasonable timeframe for hiring the project manager if one is not already identified, and describe plans to assign an interim project manager if required. If planning to hire a project manager, provide a plan to appoint an interim project manager by October 1, 2013 who will serve until the new project manager is hired. Consortium applicants must identify how the Lead Institution will track the programmatic, fiscal, and administrative progress of consortium members, and provide them with technical assistance and training related to programmatic, fiscal, and reporting requirements. Consortium applicants must also describe the roles of consortium member institutions in managing their own programmatic, fiscal, and administrative aspects of the project, as applicable.
 - o Describe the professional qualifications that will be required of the fiscal, administrative management, and marketing staff. Explain why these qualifications are sufficient to ensure proper performance reporting, fiscal reporting, procurement management, and marketing activities. Provide a reasonable timeframe for hiring these individuals if they are not already on

staff. For consortium awards, the description must encompass the Lead Institution, as well as member institutions.

- Management Structures
 - o Describe a management structure that enables efficient and effective communication between project staff and organizations at all levels of the project including amongst consortium members as applicable. Provide an organizational chart that identifies all relevant leadership, program, administrative, and advisory positions (including positions, if applicable, within consortium member organizations). For consortium applicants, describe how consortium members will collaborate throughout the life of the project. The organizational chart must be included as an attachment as described in Section IV.B.4. This attachment does not count against the page limit for the Project Narrative.
- Systems and Processes
 - o Explain how the proposed project will use systems and processes that enable timely and accurate financial and performance reporting, and allow for expedient procurement procedures that comply with Federal, state (if applicable), and other relevant laws and requirements, including across consortium members, as applicable.
 - o State whether reports (program and financial) for the most recent grant(s) from ETA or other sources have been submitted on time, and describe the grants management

practices used to complete grant activities within the period of performance.

- o Describe the procurement processes, systems, and procedures of the applicant (and, if applicable, those of consortium members).

4. Attachments to the Project Narrative (*All Applicants*)

In addition to the Project Narrative, regardless of the method of application submission (grants.gov or hard copy), the applicant must submit attachments. All attachments must be affixed in a separate section marked "Attachments." The required attachments will vary depending on whether the applicant is an individual or consortium applicant. Only those attachments listed below as required attachments will be excluded from the page limit for the project narrative. The required attachments must be affixed as separate, clearly identified appendices to the application. Additional materials such as resumés or general letters of support will not be read or considered. Applicants must submit their application in one package because documents received separately will be tracked separately and will not be attached to the application for review. Applicants are now limited to using the following characters in all attachment file names. Valid file names may only include the following UTF-8 characters: A-Z, a-z, 0-9, underscore (_), hyphen (-), space, period. **Please refer to Appendixes K, L, and M for SGA Checklists provided for the purpose of assisting applicants in the self review process prior to submission.**

The following attachments must be submitted by all applicants:

- 1. Abstract:** All applicants must submit an abstract of up to three pages summarizing the proposed project, including, but not limited to, the scope of the project and proposed outcomes. The abstract will serve as a summary of the grant and will be shared publicly. The abstract must follow the format found in Appendix G. If using grants.gov for submission, this document must be attached under the Mandatory Other Attachment section and labeled Abstract. For consortium applicants, the abstract must clearly identify which consortium member will serve as the Lead Institution for the consortium award, the total consortium award amount, as well as identify all consortium members.
- 2. Documentation of Employer Commitment:** All applicants must submit documentation of employer(s) commitment that includes signatures from the employer(s) as required in Section 1.B.5 of the SGA, and describes their role and responsibility in the project. This documentation does not eliminate the need to follow the procurement requirements specified at 29 CFR 95.40 – 48 where the parties enter into a contract for supplies or services. If using <http://www.grants.gov> for submission, this document must be attached under the Mandatory Other Attachment section and labeled Documentation of Employer Commitment.
- 3. Organizational Chart:** All applicants must provide an organizational chart that identifies all relevant leadership, program, administrative, and advisory positions (including positions within consortium member institutions) for the project. For consortium applications, the Lead Institution must collaborate with the member institutions to provide one or more organizational charts, as appropriate. If using grants.gov for submission, this document must be

attached under the Mandatory Other Attachment section and labeled Organizational Chart.

- 4. Program Evaluation Plan and Budget Narrative:** All applicants must submit a program evaluation plan and separate evaluation budget narrative for an independent third-party evaluation of the proposed project, as described in Section V.C. The project evaluation plan does not count against the project narrative page limit, but cannot exceed 5 pages. There is no page limit for the evaluation budget narrative. If using grants.gov for submission, these documents must be attached under the Mandatory Other Attachment section and labeled Program Evaluation Plan and Program Evaluation Budget Narrative.
- 5. Project/Performance Site Location(s) Form:** All applicants must submit a Project/Performance Site Location(s) Form (available at <http://apply07.grants.gov/apply/FormLinks?family=15>). Please note that consortium applicants must submit one form that specifies site locations for each institution in the consortium. 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.
- 6. Indirect Cost Rate Agreement:** If the applicant is requesting indirect charges, attach the most recent Indirect Cost Rate Agreement approved by the applicant's cognizant Federal agency. For consortium applicants, each consortium member institution that plans to claim indirect costs must submit their most recent Indirect Cost Rate Agreement approved by their cognizant

Federal agency. (For more information, see Section IV.B.2. and Section IV.E.2.)

7. Pre-Conditions Documentation Attachments (see Section III.D.1 for detailed requirements and Appendices K, L and M): *(All Applicants)*

a. Single Institution Applicants:

- i. Documentation of Employer Engagement;
- ii. One-Page LMI Attachment; and
- iii. Program Evaluation Plan and Budget Narrative.

b. Single-State Consortium Applicants:

- i. Documentation of Employer Engagement;
- ii. One-Page LMI Attachment;
- iii. Program Evaluation Plan and Budget Narrative; and
- iv. Employment Results Scorecard Workplan.

c. Multi-State Consortium Applicants:

- i. Documentation of Employer Engagement;
- ii. One-Page LMI Attachment;
- iii. Program Evaluation Plan and Budget Narrative; and
- iv. Employment Results Scorecard and Continuous Improvement Work Plan.

C. Submission Date, Times, Process and Addresses for: *(All Applicants)*

Single Institution Applicants: The closing date for receipt of applications under this announcement is **[insert date 60 days after date of publication of the notice in the Federal Register]**.

Consortium Applicants: The closing date for receipt of applications under this announcement is **[insert date 75 days after date of publication of the notice in the Federal Register]**.

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

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

If an application is physically submitted by both hard copy and through <http://www.grants.gov>, a letter must accompany the hard-copy application stating which application to review. If no letter accompanies the hard copy, we will review the copy submitted through <http://www.grants.gov>.

Applications that do not meet the conditions set forth in this notice will be considered non-responsive. No exceptions to the mailing and delivery requirements set forth in this notice will be granted. Further, documents submitted separately from the application, before or after the deadline, will not be accepted as part of the application.

Mailed applications must be addressed to the U.S. Department of Labor, Employment and Training Administration, Division of Federal Assistance, Attention:

Steven Rietzke, Grant Officer, Reference SGA/DFA PY 12-10, 200 Constitution Avenue, NW, Room N4716, Washington, DC 20210. Applicants are advised that mail delivery in the Washington DC area may be delayed due to mail decontamination procedures. Hand-delivered proposals will be received at the above address. All overnight delivery submissions will be considered to be hand-delivered and must be received at the designated place by the specified closing date and time.

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

The Department strongly recommends that before applicants, including all consortium member institutions, begin to write the proposal, they should immediately initiate and complete the "Get Registered" registration steps at http://www.grants.gov/applicants/get_registered.jsp. Applicants should read through the registration process carefully before registering. These steps may take as much as four weeks to complete, and this time should be factored into plans for timely electronic submission in order to avoid unexpected delays that could result in the rejection of an application. The site also contains registration checklists to help applicants walk through the process. The Department strongly recommends that applicants download the "Organization Registration Checklist" at http://www.grants.gov/assets/Organization_Steps_Complete_Registration.pdf and prepare the information requested before beginning the registration process. Reviewing and assembling required information before beginning the registration process will alleviate last minute searches for required information and save time.

As described earlier in Section IV.B.1., applicants (including all consortium member institutions) must have a D-U-N-S® Number and must register with the System for Award Management (SAM). The next step in the registration process is creating a username and password with Grants.gov to become an Authorized Organizational Representative (AOR). For consortium applicants, only the Lead Institution will need to become an 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.

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

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

When a registered applicant submits an application with Grants.gov, an electronic time stamp is generated within the system when the application is successfully received by Grants.gov. Within two business days of application submission, Grants.gov will send the applicant two email messages to provide the status of the application's

progress through the system. The first email, sent almost immediately, will contain a tracking number and will confirm receipt of the application by Grants.gov. The second email will indicate the application has either been successfully validated or has been rejected due to errors. Grants.gov will reject applications if the applicant's registration in SAM is expired. Only applications that have been successfully submitted by the deadline and subsequently successfully validated will be considered. It is the sole responsibility of the applicant to ensure a timely submission. While it is not required that an application be successfully validated before the deadline for submission, it is prudent to reserve time before the deadline in case it is necessary to resubmit an application that has not been successfully validated. Therefore, sufficient time should be allotted for submission (two business days) and, if applicable, additional time to address errors and receive validation upon resubmission (an additional two business days for each ensuing submission). It is important to note that if sufficient time is not allotted and a rejection notice is received after the due date and time, the application will not be considered.

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

We strongly advise applicants to use the various tools and documents, including 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.

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.

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

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

Any hard copy application received after the exact date and time specified for receipt at the office designated in this notice will not be considered, unless it is received before awards are made, it was properly addressed, and it was: (a) sent by U.S. Postal Service mail, postmarked no 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 (*All Applicants*)

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

E. Funding Restrictions (*All Applicants*)

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. Unallowable Activities

Unallowable activities include the use of grant funds to pay the costs of a participant’s tuition (including scholarships), books, fees, and other personal expenditures; incentive payments for participants such as performance-based cash bonuses; WIA supportive services; wages of participants (including the wages of students participating in co-operative education programs, Registered Apprenticeship, on-the-job training, work-based training, or internships) and stipends for wage replacement of participants; the purchase of real property; and construction. Applicants should ensure they do not propose the unallowable activities listed above. Some of these activities may duplicate services and benefits provided to TAA-eligible workers, adults who receive Unemployment Insurance or adults who participate in WIA programs. For example, TAA-eligible participants in TAACCCT-funded programs are entitled to TAA benefits, including tuition and related necessary and approved expenses such as books, tools,

academic fees, travel or transportation expenses, and subsistence expenses.

Applicants may not use grant funds to supplant other funding sources they are currently using to fund existing activities.

2. Indirect Costs

As specified in Office of Management and Budget (OMB) Circular Cost Principles, indirect costs are those that have been incurred for common or joint objectives and cannot be readily identified with a particular final cost objective. An indirect cost rate (ICR) is required when an organization operates under more than one grant or other activity, whether Federally-assisted or not. Organizations must use the ICR supplied by the Federal Cognizant Agency. If an organization requires a new ICR or has a pending ICR, the Grant Officer will award a temporary billing rate for 90 days until a provisional rate can be issued. This rate is based on the fact that an organization has not established an ICR agreement. Within this 90 day period, the organization must submit an acceptable indirect cost proposal to their Federal Cognizant Agency to obtain a provisional ICR. (See Section IV.B.4. for more information on ICR Agreement submission requirements.) Please note that Indirect Costs are not the same as administrative costs, referenced in Section IV.E.3 below.

3. Administrative Costs

Under this SGA, a single institution applicant 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. For consortium awards, each member institution (including the Lead Institution) may not spend more than 10 percent of their grant award amount, identified on the SF-424 and their Grant Award. Administrative costs, defined at 20 CFR 667.220, may be direct or indirect costs, and are not the same as indirect costs. Administrative costs do not need to be identified separately from program costs on the SF-424A Budget Information Form. However, they must be tracked through the 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.

4. Salary and Bonus Limitations

None of the grant funds may be used by a recipient (single institution, consortium lead, or member institution) of such funds to pay the salary and bonuses of an individual, either as direct costs or indirect costs, at a rate in excess of Executive Level II. This limitation does not apply to vendors providing goods and services as defined in OMB Circular A-133 (codified at 29 CFR Parts 96 and 99). See Public Laws 111-117 (Division D, Title I, section 107) and 112-10 (Division B, Title I), and TEGL No. 5-06 for further clarification:

http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2262.

5. Use of Grant Funds for Participant Wages

Organizations that receive grants through this SGA may not use grant funds to pay for the wages of participants. Further, the provision of stipends to training enrollees for the purposes of wage replacement is not an allowable cost under this SGA. Grantees may use leveraged resources to pay for the costs of participant wages and stipends.

6. Use of Funds for Supportive Services

Grantees, including member institutions in a consortium, may not use grant funds to provide supportive services to individuals who are served through these grants. Supportive services include services such as transportation, child-care, dependent care, housing, and needs-related payments that are necessary to enable an individual to participate in training activities funded through this grant. However, grant funds may be used to expand and improve the capacity of student services (for example, career guidance programs, campus-wide tutoring services, etc.) through activities such as hiring and/or training staff, and developing or procuring online systems (such as course management systems) as part of the project.

7. Prohibition on Use of Funds for Sub-grants

Grantees do not have authority under the TAACCCT program to award sub-grants; sub-grantees carry out one or more major programmatic functions to directly meet the project's goals. Therefore, there are no sub-grantees under these grants. However, grantees do have the authority to award subcontracts under this program. A grantee enters into a subcontract to procure goods and/or services that are ancillary or supportive to the grantee's operation of the project. A subcontract is defined as an agreement, purchase order, or any legal instrument issued to a third party (the subcontractor) calling for the performance of a defined piece of work or production and/or delivery of specified goods and services. The determination of whether a grantee has entered into a subcontract

relationship or a sub-grantee relationship with another organization is determined primarily with reference to the general purpose, programmatic functions, and responsibilities that the grantee gives to the other organization along with grant funds. These three elements should be closely examined, together with the usual characteristics (terms and performance standards, scope of work, etc.). As a reference tool in determining whether an agreement is a sub-grant or a subcontract, see Appendix H. The table in Appendix H is for reference only and does not limit the Grant Officer's right to review and disallow improper transactions. Additionally, applicants can review the definition of sub-recipient and vendor in OMB Circular A-133 Section 210.

Subcontracts must be awarded in accordance with 29 CFR 95.40-48 and are subject to audit, in accordance with the requirements of 29 CFR 95.26 (d). Grantees are responsible for ensuring that all subcontractors are eligible for participation in Federal assistance programs and all procurement requirements at 29 CFR 95.40-48 are met. Applicants should note that consortium members will function as co-grantees, not as sub-grantees or subcontractors.

4 Application Review Information (*All Applicants*)

A. Criteria for All Applicants

Procedures for assessing the technical merit of applications have been instituted to provide for an objective review of applications and to assist the applicant in understanding the standards against which each application will be judged. The evaluation criteria are based on the information required in the application as described in Section I. and Section IV.B. Specifically, each criterion provides an evaluation of the corresponding information found in Section IV.B.3. The evaluation criteria are described below:

Criterion	Points
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1. Need and Purpose (Evaluation of Statement of Need)	20
2. Approach (Evaluation of Methodology and Workplan)	50
3. Project Impact (Evaluation of Outcomes and Outputs)	15
4. Organizational Capacity (Evaluation of Organizational Profile and Project Management)	12
5. Budget and Budget Justification (Evaluation of SF-424A and Budget Narrative)	3
TOTAL	100

1. Need and Purpose (20 points)

Reviewers will award points based on the extent to which applicants demonstrate a clear and strong need to expand and improve the ability of eligible institutions to deliver education and career training programs to TAA-eligible workers and other adults who enter their programs in the community/communities to be served.

Points for this section will be based on the following sub-criteria:

i. Serving the Education and Training Needs of TAA-Eligible Workers (10 points)

- The extent to which the applicant demonstrates the impact of foreign trade in at least one community to be served, and for projects that include a strong online learning program(s), the extent to which the applicant demonstrates how these programs will be made accessible to and will serve TAA-eligible workers. (4 points)

- The extent to which the applicant demonstrates the strength of the partnerships with applicable TAA Agencies in the community/communities to be served. (3 points); and
- The degree to which the applicant demonstrates a thorough understanding of the education and training needs of TAA-eligible workers in the community/communities to be served, including: the industry and/or occupations in which the TAA-eligible workers are or were employed; the current level of skills and educational attainment of the TAA-eligible workers; and the additional barriers these TAA-eligible workers may face in seeking employment. (3 points)

ii. Evidence Need of Job Opportunities in the Targeted Industries and Occupations (5 points)

- The extent to which the labor market information provided by the applicant is accurate and timely, matches the geographical scope of the project, and indicates a projected demand for job opportunities in each targeted industry and occupation in the community/communities to be served. (3 points); and
- The extent to which the applicant demonstrates an understanding of skills, abilities, and credentials required in the targeted industries and occupations and how the applicant will engage with employers in the community to obtain feedback on any content developed and delivered during the life of the project, and are part of a sector strategy where it demonstrates a strong understanding of sector skill needs across multiple employers. (2 points)

iii. Gap Analyses (5 points)

- The comprehensiveness of the gap analyses in existing education and career training programs (including researching previously funded

TAACCCT projects) and infrastructure in each community to be served, and the degree to which the applicant demonstrates that the lack of capacity impacts their ability to serve TAA-eligible and other adults seeking education or career training in the community/communities to be served. (5 points)

2. Approach (50 points)

Reviewers will award points based on the extent to which applicants demonstrate a complete and clear understanding of the proposed education and training strategies, including the research and evidence on which those strategies are based, as well as demonstrate how the proposed strategies incorporate the Core Elements described in Section I.B. In addition, applicants must demonstrate a cohesive, well-designed approach to implement the project. Points for this section will be based on the following sub-criteria:

i. Evidence-Based Design (8 points)

- The extent to which the applicant provides appropriate evidence for the program design. Single institution applicants must identify which option (identified in Section I.C.1) their program design will incorporate. (3 points); and
- The extent to which the applicant provides a description of the proposed education and training strategies and fully demonstrates how the evidence will be embedded in the design and delivery of the program, including identifying if the project will replicate existing evidence-based design, development, or delivery strategies or implement innovative or new strategies. (3 points)
- The strength and description of the evidence cited for the specific strategies chosen by the applicant. (2 Points)

- o Applicants that cite and describe strong or moderate evidence will receive 2 points.
- o Applicants that cite and describe preliminary evidence will receive 1 point.
- o Applicants that do not cite and describe strong, moderate, or preliminary evidence will receive 0 points.

ii. Stacked and Latticed Credentials (6 points)

- The extent to which the applicant demonstrates substantive plans to engage employers and/or industry associations to identify courses for new or existing credentials or that prepare students to earn relevant certification exams. (2 points);
- The extent to which the applicant demonstrates feasible plans to develop interconnecting credentials that can be stacked and latticed and that are linked to career ladders within business and/or industry. (2 points); and
- The extent to which the applicant demonstrates feasible plans to incorporate Prior Learning Assessment strategies into the proposed program(s). (2 points)

iii. Transferability and Articulation (6 points)

- The extent to which the applicant plans to strengthen transitions from non-credit to credit-bearing credentials. (2 points);
- The extent to which the applicant plans to establish transferability of credit between institutions, including other TAACCCT-funded programs and consortium members, as applicable. (2 points); and
- The extent to which the applicant establishes articulation agreements between the applicant, other institutions, and non-consortium member

institutions including agreements that allow Registered Apprenticeship programs to provide training in partnership with the applicant, as applicable. (2 points)

iv. Online and Technology-Enabled Learning (5 points)

- The degree to which the applicant incorporates advanced technology into the program design and delivery in innovative and effective ways, such as cognitive task analysis, digital tutors, and other promising technology interventions. (3 points); and
- The extent to which the applicant proposes to use technology strategies to positively impact program outcomes. (2 points)

v. Strategic Alignment (12 points)

- The extent to which the applicant demonstrates that the strategies in the proposed TAACCCT project are aligned with the goals and priorities of both the Governor's Economic Development and WIA-WP integrated state workforce plan for each of the states targeted through its project. (2 points);
- The extent to which the applicant demonstrates substantive involvement of employers in the project, including evidence that the partner(s) are committed to being involved in the project, as outlined in the documentation of employer commitment. (3 points);
- The extent to which the applicant fully demonstrates how participants will be provided with apprenticeships, internships, OJT, or other paid or for-credit work-based training opportunities through partnerships with employers and the level of commitment from the organizations providing the opportunity in a partnership agreement, letter, or other means. (3 points);

- The level of collaboration between the applicant and the public workforce system, including evidence that the partner(s) are committed to being involved in the project in a partnership agreement, letter, or other means. (2 points); and
- The extent to which the applicant intends to incorporate projects and tools developed by philanthropic organizations, business-related and other non-profit organizations, community-based organizations, and labor organizations that can have a positive impact on the project, with a demonstrated capacity in the focus area of the project. (2 points)

vi. Alignment with Previously-Funded TAACCCT Projects (3 points)

- The extent to which the applicant's project incorporates previously-funded TAACCCT projects, to help decrease duplication and extend the geographical reach of the TAACCCT program. Applicants should identify research efforts of these projects, which may include outreach to grantees, in response to this criterion. (3 points)

vii. Project Workplan (10 points)

- The comprehensiveness of the project work plan that includes feasible and realistic activities and timeframes, identifies key implementers (including specific consortium members if applicable), and clearly specifies the roles of employers, public workforce system, other partners, and individual consortium members, as applicable. (5 points);
- The completeness with which the applicant identifies and describes the costs associated with all project activities, consistent with costs identified in the proposed budget. (2 points); and

- The extent to which the applicant provides a complete accounting of expected project deliverables, including new intellectual property, and expected dates for delivery to the Department. Consortium applicants must break out the deliverables expected by consortium member, as outlined in Section IV.3.a.vii. (3 points)

3. Project Impact (15 points)

Reviewers will award points based on how well applicants demonstrate that the expected outcomes are appropriate for the strategic approach proposed.

Applicants must also demonstrate their commitment to collect, report, and effectively use outcome data to continually improve and inform program design.

For consortium applicants, the Lead Institution should provide aggregate outcome projections for the overall project.

i. Analysis of Outcome Projections (5 points)

- The extent to which the applicant provides numerical projections on an annual basis for each of the required nine outcome measures that reflect the program's expected impact on participants. (2 points);
- The degree to which the applicant provides a logical and realistic explanation of how the targets were derived and how they fit into the overall grant implementation timeline. (2 points); and
- The degree to which the applicant demonstrates a reasonable mix of proposed outcomes versus other deliverables. (1 point)

ii. System or Process for Tracking and Reporting Outcome Measures (5 points)

- The extent to which the applicant describes existing or planned tracking procedures and systems (including staffing, technology, computer applications, and other resources) that are sufficient to

effectively track and report the required outcome metrics. (3 points);

and

- The comprehensiveness of the applicant's plan to identify and address gaps in tracking procedures, as well as amongst consortium members as applicable, including how access to the state longitudinal system will be strengthened to track student's employment outcomes after exit or completion. (2 points)

iii. Using Data for Continuous Improvement (5 points)

- The extent to which the applicant describes processes or procedures that will enable it to review participant and outcome data regularly, share data among partners and consortium members (if applicable) in a timely fashion, and use data effectively to continuously improve programming. (3 points); and
- The extent to which the applicant demonstrates a sustainability plan to use data to determine which strategies and activities were effective, including how strategies, activities, and employer partnerships will be integrated into the program throughout the duration of the program and beyond (2 points).

4. Organizational Capacity and Project Management (12 Points)

- The level to which the applicant demonstrates capacity to manage the project with qualified staff and a qualified project manager, including a reasonable timeframe for hiring the project manager if one is not already identified, and describes plans to assign an interim project manager if required. For consortium applicants, this includes the Lead as well as Member Institutions. Additionally, consortium applicants will be rated on the extent to which the Lead Institution demonstrates that it can effectively track the programmatic, fiscal, and administrative progress of consortium members. (5 points);

- The extent to which the applicant describes how efficient and effective communication will take place between staff at all levels of the project, including amongst consortium members as applicable. (4 points); and
- The extent to which the applicant demonstrates that it will use systems and processes that enable timely and accurate financial and performance reporting, identifies previous experience in submitting reports on time, and describes the procurement processes, systems, and procedures of the applicant (and, if applicable, those of consortium members). (3 points)

5. Budget and Budget Justification (3 points)

- The extent to which the applicant's Budget Narrative: 1) provides a complete description of costs associated with each line item on the SF-424A (as described in Section IV.B.2) in sufficient detail to justify the total cost for each line item; and 2) demonstrates that the budget is justified and reasonable given the scope of work of the project, including adequate staff personnel devoted to the project to support achieving project objectives. (3 points)

A. Review and Selection Process (*All Applicants*)

Up to 100 points may be awarded to an application, depending on the quality of the responses to the required information described in Section IV.B.3.

The ranked scores will serve as a primary basis for selection of applications for funding, along with the requirement that not less than 0.5 percent of the amount appropriated for these grant awards, will support eligible institutions in each State, in conjunction with other factors such as the estimated number of TAA-certified workers in the targeted geographic areas. Additional factors that may be considered include: geographical balance, the availability of funds, balance across industries and programs in an effort to limit duplication, quality of evaluation proposals, and which proposals are most advantageous to the government. The panel results are advisory in nature and not

binding on the Grant Officer. The Grant Officer may consider any information that comes to his/her attention. The government may elect to award the grant(s) with or without discussions with the applicant. Should a grant be awarded without discussions, the award will be based on the applicant's signature on the SF-424, including electronic signature via E-Authentication on <http://www.grants.gov>, which constitutes a binding offer by the applicant.

B. Program Evaluation Component (*All Applicants*)

Applicants are required to retain a third-party evaluator who will design and execute a rigorous evaluation of each funded project. In addition, the Department will conduct a separate national evaluation of the TAACCCT project to inform workforce development policy and advance the Department's mission to help the nation's workers and employers. All applications must include an evaluation budget and 5 page summary of their evaluation plan. The costs of the evaluation can be paid for using grant funds. For consortium applicants, there should be a single project evaluation.

The third-party evaluation contractor must oversee the design of the evaluation, the implementation of the evaluation of the impact/outcomes analysis as well as the implementation analysis, the data collection, and analysis of data.

Successful applicants must plan to submit a final evaluation report, due to the Department at the end of the grant period of performance, and at least one interim report to include an evaluation design and on evaluation findings-to-date at a time determined by the applicant. Applicants must include their proposed timeline for transmitting these reports on the first page of the summary of the evaluation plan. The materials described in this section will be evaluated by DOL separately from the main Project Narrative, as described below.

The applicant must submit: (1) a Summary of their Evaluation Plan, and (2) an Evaluation Budget Narrative. Applicants must include these materials as a separate attachment to the application.

1. Summary Evaluation Plan

The evaluation summary must include: 1) a participant impact or outcomes assessment; and 2) a program implementation assessment. Randomized control trials are encouraged; however, non-experimental designs may be proposed as long as they meet evidence standards and provide a convincing argument for how the alternative design (e.g., quasi-experimental designs such as regression discontinuity) would allow for drawing causal inferences about the effect of the program. Further information on methodological designs is available in Appendix I.

Applicants must indicate their ability to transmit personally identifiable data to their third-party evaluators, including name, Social Security Number, and date of birth of program participants and individuals in the control or comparison groups, using a secure data system. The evaluation plan summary included in the grant application does not count against the page limits for the Project Narrative, but must not exceed 5 pages. Please note that if an applicant is awarded a grant, a more detailed evaluation plan must be submitted to ETA. The evaluation plan summary must include the following:

a. Participant Impact or Outcomes

The applicant must include in the summary their plan for rigorously evaluating the participant outcomes or impacts, including a complete description of the study methodology, data collection methods, data source(s), and sample size. The applicant must explain how the methodology proposed is the most rigorous for the participant outcomes or impacts, given the number of participants (including TAA-eligible

workers) the project intends to serve. The applicant must also explain how the anticipated follow-up data will be successfully collected from participants and the control/comparison group. Applicants must identify the chosen methodology for the impact/outcomes assessment on the first page of the summary evaluation plan. Depending on which methodology is chosen, the applicant must provide the following explanations in the program evaluation plan:

For random assignment methodology, the applicant must explain how the recruitment plan will yield a sufficient number of qualified applicants (both program and controls) to produce valid estimates of these key outcomes: program completion, credential attainment, placement into employment, and employment retention (Outcomes # 2, 5, 7, and 8 in Appendix F), as well as average earnings for those who retain employment, how random assignment will be performed, what procedures will be in place to ensure the compliance to random assignment (i.e., that all eligible individuals that apply and who are randomly assigned to treatment receive it and those who were assigned to the control do not receive the treatment), and what procedures will be in place to ensure the fidelity of implementation (i.e., that the features of the intervention occurred in the treatment condition as intended and did not occur in the control condition). Please note that TAA-eligible individuals and veterans may not be randomly assigned.

- Applicants proposing a comparison group(s) (non-experimental) methodology must explain the source and size of the comparison group(s) and how individuals will be assigned to be in the comparison group. If matching across groups is used (e.g., demographics, pretest scores, level of education), the statistical techniques for matching should

be described, including an explanation of how these techniques are appropriate for the sample size. Applicants should also discuss the procedures that will be in place to ensure the fidelity of implementation (i.e., that the features of the intervention occurred in the treatment condition as intended and did not occur in the comparison condition).

b. Program Implementation Analysis

The applicant must include in their evaluation summary a plan for implementation analysis component of the evaluation, which includes how all of the research questions listed below will be addressed. The program evaluation plan must explain how the third-party evaluator will: 1) analyze the steps taken by the institution to create and run the training program; 2) assess the operational strengths and weaknesses of the project after the implementation; and 3) suggest how it might be strengthened within appropriate timing as not to interfere with the impact/outcomes analysis. Specifically, the evaluation plan summary should include strategies or approaches for addressing the following questions, including identification of the data source(s) that will be utilized to address these:

1. How was the particular curriculum selected, used, or created?
2. How programs and program design were improved or expanded using grant funds? What delivery methods were offered? What was the program administrative structure? What support services and other services were offered?
3. Did the grantees conduct an in-depth assessment of participant's abilities, skills and interests to select participants into the grant program? What assessment tools and process were used? Who conducted the assessment? How were the assessment results used? Were the assessment results useful in determining the appropriate program and

course sequence for participants? Was career guidance provided and if so, through what methods?

4. What contributions did each of the partners (employers, workforce system, other training providers and educators, philanthropic organizations, and others as applicable) make in terms of: 1) program design, 2) curriculum development, 3) recruitment, 4) training, 5) placement, 6) program management, 7) leveraging of resources, and 8) commitment to program sustainability? What factors contributed to partners' involvement or lack of involvement in the program? Which contributions from partners were most critical to the success of the grant program? Which contributions from partners had less of an impact?

c. Selection of Third-Party Evaluator

The applicant must either identify the third-party evaluation contractor or clearly describe the process for selecting and procuring the services of a third-party evaluator prior to enrolling participants in TAACCCT-funded programs, including the levels of capacity and expertise required of the selected organization(s) to conduct rigorous evaluations of the proposed strategy. Applicants must also indicate the date by which a third-party evaluation team will be selected. ETA suggests that the applicant identify the evaluation contractor at the time of application, if possible. For applicants that do not identify the evaluation contractor at the time of application, the evaluation plan should detail the process for selecting the evaluator. All applicants should complete the procurement of their third-party evaluator expeditiously once the grant period of performance starts.

The third-party evaluation team must have no financial interest in the outcome of the evaluation, may not have been involved in the

development or deliver/distribution of the project, and must have the demonstrated ability to conduct evaluation studies.

2. Program Evaluation Budget Narrative

The Evaluation Budget Narrative is a supplementary budget narrative, which is separate and apart from the overall project budget narrative described in Section IV.B.2. The evaluation budget narrative should provide a description of the costs associated with funding the proposed program evaluation component. All costs included in the supplementary budget narrative should be reasonable and appropriate to the project timeline and deliverables. Please note that that costs for this evaluation must be included together with the other grant activities on the main SF-424 and SF-424A forms. As part of the evaluation budget, include costs for the third-party evaluator to attend at least one in-person conference in Washington DC during the evaluation (note, this is in addition to applicants budgeting for at least two staff members to attend up to two in-person events in Washington, D.C. during the life of the grant, as referenced in Section III. D.10). The cost for the program evaluation must not exceed ten percent of the total proposed budget for the grant. For consortium applicants, all associated evaluation costs should be reflected in the budget for the Lead Institution.

VI. Award Administration Information (*All Applicants*)

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 (including single institution, consortium lead and consortium member institutions) 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, as applicable:

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

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

c. State, Local and Indian Tribal Governments – OMB Circular A–87 (Cost Principles), relocated to 2 CFR Part 225, and 29 CFR Part 97 (Administrative Requirements).

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

e. All Grant Recipients must comply with the applicable provisions of The

Workforce Investment Act of 1998, Public Law No. 105-220, 112 Stat. 936 (codified as amended at 29 U.S.C. 2801 et seq.) and the applicable provisions of the regulations at 20 CFR 660 et seq.

f. All entities must comply with 29 CFR Part 93 (New Restrictions on Lobbying), 29 CFR Part 94 (Government wide Requirements for Drug-Free Workplace (Financial Assistance)), 29 CFR 95.13 and Part 98 (Government wide Debarment and Suspension, and drug-free workplace requirements), and, where applicable, 29 CFR Part 96 (Audit Requirements for Grants, Contracts, and Other Agreements) and 29 CFR Part 99 (Audits of States, Local Governments and Non-Profit Organizations).

g. 29 CFR Part 2, subpart D—Equal Treatment in Department of Labor Programs for Religious Organizations, Protection of Religious Liberty of Department of Labor Social Service Providers and Beneficiaries.

h. 29 CFR Part 31—Nondiscrimination in Federally Assisted Programs of the Department of Labor—Effectuation of Title VI of the Civil Rights Act of 1964.

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

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

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

2. Other Legal Requirements:

a. Religious Activities

The Department notes that the Religious Freedom Restoration Act (RFRA), 42

U.S.C. Section 2000bb, applies to all Federal law and its implementation. If an applicant organization is a faith-based organization that makes hiring decisions on the basis of religious belief, it may be entitled to receive Federal financial assistance under Title I of the Workforce Investment Act and maintain that hiring practice even though Section 188 of the Workforce Investment Act contains a general ban on religious discrimination in employment. If a faith-based organization is awarded a grant, the organization will be provided with information on how to request such an exemption.

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

In accordance with Section 18 of the Lobbying Disclosure Act of 1995 (Public Law 104-65) (2 U.S.C. 1611), non-profit entities incorporated under Internal Revenue Service Code Section 501(c) (4) that engage in lobbying activities are not eligible to receive Federal funds and grants. No activity, including awareness-raising and advocacy activities, may include fundraising for, or lobbying of, U.S. Federal, State or Local Governments (see OMB Circular A-122).

c. Transparency Act Requirements

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

- All applicants, except for those excepted from the Transparency Act under 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. This includes each member of consortium applications.

- Upon award, applicants will receive detailed information on the reporting requirements of the Transparency Act, as described in 2 CFR Part 170, which can be found at the following website:

<http://edocket.access.gpo.gov/2010/pdf/2010-22705.pdf>

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

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

d. Safeguarding Data Including Personally Identifiable Information (PII)

Applicants submitting proposals in response to this SGA must recognize that confidentiality of PII and other sensitive data is of paramount importance to the Department of Labor and must be observed except where disclosure is allowed by the prior written approval of the Grant Officer or by court order. By submitting a proposal, Grantees are assuring that all data exchanges conducted through or during the course of performance of this grant will be conducted in a manner consistent with applicable Federal law. All such activity conducted by ETA and/or Grantee/s will be performed in a manner consistent with applicable state and Federal laws.

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

1. To ensure that such PII is not transmitted to unauthorized users, all PII and other sensitive data transmitted via e-mail or stored on CD-ROMs, DVDs, thumb drives, etc., must be encrypted using a Federal Information Processing Standards (FIPS) 140-2 compliant and National Institute of Standards and Technology (NIST) validated cryptographic module. Grantees must not e-mail unencrypted sensitive PII to any entity, including ETA or contractors.
2. Grantees must take the steps necessary to ensure the privacy of all PII obtained from participants and/or other individuals and to protect such information from unauthorized disclosure. Grantees must maintain such PII in accordance with the ETA standards for information security described in this SGA and any updates to such standards provided to the grantee by ETA. Grantees who wish to obtain more information on data security should contact their FPO.
3. Grantees shall ensure that any PII used during the performance of their grant has been obtained in conformity with applicable Federal and state laws governing the confidentiality of information.
4. Grantees further acknowledge that all PII data obtained through their ETA grant shall be stored in an area that is physically safe from access by unauthorized persons at all times and the data will be processed using grantee issued equipment, managed information technology (IT) services, and designated locations approved by ETA. Accessing, processing, and storing of ETA grant PII data on personally owned equipment, at off-site locations (e.g., employee's home), and non-grantee managed IT services (e.g., Yahoo mail), is strictly prohibited unless approved by ETA.
5. Grantee employees and other personnel who will have access to PII data must be advised of the confidential nature of the information, the safeguards required to protect the information, and that there are civil and criminal sanctions for

noncompliance with such safeguards that are contained in Federal and state laws.

6. Grantees must have their policies and procedures in place under which grantee employees and other personnel, before being granted access to PII, acknowledge their understanding of the confidential nature of the data and the safeguards with which they must comply in their handling of such data as well as the fact that they may be liable to civil and criminal sanctions for improper disclosure.
7. Grantees must not extract information from data supplied by ETA for any purpose not stated in the grant agreement.
8. Access to any PII created by the ETA grant must be restricted to only those employees of the grant recipient who need it in their official capacity to perform duties in connection with the scope of work in the grant agreement.
9. All PII data must be processed in a manner that will protect the confidentiality of the records/documents and is designed to prevent unauthorized persons from retrieving such records by computer, remote terminal, or any other means. Data may be downloaded to, or maintained on, mobile or portable devices only if the data are encrypted using NIST validated software products based on FIPS 140-2 encryption. In addition, wage data may only be accessed from secure locations and in accordance with Federal and state laws.
10. PII data obtained by the grantee through a request from ETA must not be disclosed to anyone but the individual requestor except as permitted by the Grant Officer.
11. Grantees must permit ETA to make onsite inspections during regular business hours for the purpose of conducting audits and/or conducting other investigations to assure that the grantee is complying with the confidentiality requirements described above. In accordance with this responsibility, grantees must make

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

12. Grantees must retain data received from ETA only for the period of time required to use it for assessment and other purposes, or to satisfy applicable Federal records retention requirements, if any. Thereafter, the grantee agrees that all data will be destroyed, including the degaussing of magnetic tape files and deletion of electronic data.

e. Record Retention

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

3. Other Administrative Standards and Provisions

Except as specifically provided in this SGA, DOL/ETA's acceptance of a proposal and an award of Federal funds to sponsor any programs(s) does not provide a waiver of any grant requirements and/or procedures. For example, the OMB Circulars require that an entity's procurement procedures must ensure that all procurement transactions are conducted, as much as practical, to provide open and free competition.

4. Special Program Requirements

a. Required Participation in a National Evaluation by DOL

The Department will evaluate program results across all projects funded with this grant to assess the implementation and effectiveness of various models and approaches, including analyzing the impact of training programs on individuals' employment outcomes. Grantees are required to participate fully in a national evaluation. By accepting grant funds, grantees must agree to participate in such a national evaluation should they be selected. In anticipation of the national evaluation, grantees must maintain individual level participant data, including PII and training programs and courses. Grantees must also maintain any data

collected on control or comparison group individuals included in their third party evaluation of impacts and/or outcomes (as specified in Section V.C.).

This requirement is separate from the third-party evaluation described in Section V.C and the third-party review of deliverables described in Section III.D.5. The national evaluation will be conducted by an independent evaluator with separate funding from the Department.

b. Performance Goals

Please note that applicants will be held to outcomes provided and failure to meet those outcomes may result in technical assistance or other intervention by ETA, and may also have a significant impact on decisions regarding future grants with ETA.

C. Reporting (*All Applicants*)

Grantees must agree to meet DOL reporting requirements. Quarterly financial reports, quarterly progress reports, and annual performance report data must be submitted by the grantee electronically. For consortium grants, certain reports, specified below, will be compiled by the Lead Institution and submitted by the Lead Institution on behalf of the consortium. For other reports, each consortium member institution, including the Lead Institution, must submit the report directly to ETA. 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. All TAACCCT grantees, including single institutions, consortium lead

institutions, and consortium member institutions must submit individual quarterly financial reports.

2. Quarterly Progress 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, such as capacity building, best practices, and key challenges and issues. The quarterly report will follow the format for grantees under the TAACCCT Grant Program, “Annual and Quarterly Program Reporting Forms & Instructions,” OMB Control Number 1205-0489, Expiration: 03/31/2015.

For consortium grants, the Lead Institution will compile submissions from each Member Institution and submit the quarterly report on behalf of the consortium.

Every fourth quarterly progress report will also serve as an annual narrative summary. To meet the reporting requirements in 29 CFR 95.51, in consortium grants, for the fourth quarterly progress report/annual narrative summary, Member Institutions will submit their individual narrative summary report to the Lead for compilation as well as to their Federal Project Officer. The last quarterly progress report that grantees submit will serve as the grant’s Final Performance Report. This report must provide both quarterly and cumulative information on the grant activities. It must summarize project activities, employment outcomes and other deliverables, and related results of the project, and must thoroughly document the training or labor market information approaches used by the grantee. DOL will provide grantees with formal guidance about the data and other information that is required to be collected and

reported on either a regular basis or special request basis. Additionally, DOL will conduct training related to these reporting requirements.

3. Annual Performance Report

Every fourth quarter during the period of performance, within 45 days after the end of that calendar quarter, grantees must submit an annual performance report. The grantee must submit a quarterly progress report within 45 days after the end of each calendar year quarter. The report must include annual aggregate data regarding program participants. In addition, grantees must provide narrative information about the innovative achievements of their grant to date and services provided to TAA-eligible individuals.

The annual report will follow the format for grantees under the TAACCCT Grant Program, "Annual and Quarterly Program Reporting Forms & Instructions," OMB Control Number 1205-0489, Expiration: 03/31/2015.

For consortium grants, the Lead Institution will compile submissions from each Member Institution and submit the annual report on behalf of the consortium.

The last Annual Performance Report that grantees submit will serve as the grant's Final Performance Report. This report should provide both annual and cumulative information on the grant's activities.

Failure to report in a timely and accurate manner during the implementation period of any grant awarded may impact the decision by DOL/ETA to award any future grants to the grantee.

VII. Agency Contacts **(All Applicants)**

For further information about this SGA, please contact Melissa Abdullah, Grants Management Specialist, Division of Federal Assistance, at (202) 693-3346. Applicants should e-mail all technical questions to abdullah.melissa@dol.gov and must specifically reference SGA/DFA PY 12-10, and along with question(s), include a contact name, fax and phone number. This announcement is being made available on the ETA Web site at <http://www.doleta.gov/grants> and at <http://www.grants.gov>.

VIII. Other Information **(All Applicants)**

A. Transparency

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

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

PII is any information that can be used to distinguish or trace an individual's identity, such as name, social security number, date and place of birth, mother's maiden name, or biometric records, and any other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information.³

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

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

In order to ensure that proprietary or confidential business information or PII is properly protected from disclosure when DOL posts the winning Project Narratives, applicants whose Project Narratives will be posted will be asked to submit a second redacted version of their Project Narrative, with any proprietary, confidential

³ OMB Memorandum 07-16 and 06-19. GAO Report 08-536, *Privacy: Alternatives Exist for Enhancing Protection of Personally Identifiable Information*, May 2008, <http://www.gao.gov/new.items/d08536.pdf>.

commercial/business, and PII redacted. All non-public information about the applicant's and consortium members' staff (if applicable) should be removed as well.

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

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

Applicants are encouraged to maximize the grant application information that will be publicly disclosed, and to exercise restraint and redact only information that clearly is proprietary, confidential commercial/business information, or PII. The redaction of entire pages or sections of the Project Narrative is not appropriate, and will not be allowed, unless the entire portion merits such protection. Should a dispute arise about whether redactions are appropriate, DOL will follow the procedures outlined in the Department's Freedom of Information Act (FOIA) regulations (29 CFR Part 70). Redacted information in grant applications will be protected by DOL from public disclosure in accordance with Federal law, including the Trade Secrets Act (18 U.S.C. § 1905), FOIA, and the Privacy Act (5 U.S.C. § 552a). If DOL receives a FOIA request for your application, the procedures in DOL's FOIA regulations for responding to requests for

commercial/business information submitted to the government will be followed, as well as all FOIA exemptions and procedures. See 29 CFR § 70.26. Consequently, it is possible that application of FOIA rules may result in release of information in response to a FOIA request that an applicant redacted in its “redacted copy.”

B. Web-Based Resources

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

C. Industry Competency Models and Career Clusters

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

Career Clusters and Industry Competency Models both identify foundational and technical competencies, but their efforts are not duplicative. The Career Clusters link to specific career pathways in sixteen career cluster areas and place greater emphasis on elements needed for curriculum performance objectives; measurement criteria; scope

and sequence of courses in a program of study; and development of assessments.

Information about the sixteen career cluster areas can be found by accessing:

www.careerclusters.org.

D. Workforce3One Resources

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>.

1. 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.
2. ETA has created *Workforce System Strategies* to make it easier for the public workforce system and its partners to identify effective strategies and support improved customer outcomes. The collection highlights strategies informed by a wide range of evidence such as experimental studies and implementation evaluations, as well as supporting resources such as toolkits. ETA encourages applicants to review these resources by visiting <http://strategies.workforce3one.org/>.
3. ETA has created a technical assistance portal at <https://etareporting.workforce3one.org/page/financial> that contains online training and resources for fiscal and administrative issues. Online trainings available include but are not limited to Introduction to Grant Applications and Forms, indirect Costs, Federal Cost Principles, and accrual accounting.

E. Regional Educational Laboratories:

Applicants are encouraged to contact the Regional Educational Laboratory (REL) in their respective states to discuss needs related to research and evidence. The RELs may be able to assist with issues related to data analysis and research. RELs work largely in

partnership with groups of stakeholders who share a common interest or concern. These groups are known as research alliances and RELs work with their alliances to provide assistance with data analysis, to plan research agendas, and to develop research projects. Interested applicants should talk with their REL about the possibility of forming a research alliance that could serve the needs of multiple institutions while building knowledge of use to the broader community. More information about the RELs can be found at: <http://ies.ed.gov/ncee/edlabs/>.

IX. OMB Information Collection (*All Applicants*)

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

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 20 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments about the burden estimated or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, to the attention of the Departmental Clearance Officer, 200 Constitution Avenue NW, Room N1301, Washington, DC 20210. Comments may also be emailed to DOL_PRA_PUBLIC@dol.gov. PLEASE DO NOT RETURN THE COMPLETED APPLICATION TO THIS ADDRESS. SEND IT TO THE SPONSORING AGENCY AS SPECIFIED IN THIS SOLICITATION.

This information is being collected for the purpose of awarding a grant. The information collected through this "Solicitation for Grant Applications" will be used by the Department of Labor to ensure that grants are awarded to the applicants best suited to perform the

functions of the grant. Submission of this information is required in order for the applicant to be considered for award of a grant.

Signed _____, in Washington, D.C. by:

Steven Rietzke

Grant Officer, Employment and Training Administration

Appendix A: North American Industrial Classification System (NAICS) 2-digit Economic Sectors

Sector	Description
11	Agriculture, Forestry, Fishing and Hunting
21	Mining, Quarrying, and Oil and Gas Extraction
22	Utilities
23	Construction
31-33	Manufacturing
42	Wholesale Trade
44-45	Retail Trade
48-49	Transportation and Warehousing
51	Information
52	Finance and Insurance
53	Real Estate and Rental and Leasing
54	Professional, Scientific, and Technical Services
55	Management of Companies and Enterprises
56	Administrative and Support and Waste Management and Remediation Services
61	Educational Services
62	Health Care and Social Assistance
71	Arts, Entertainment, and Recreation
72	Accommodation and Food Services
81	Other Services (except Public Administration)
92	Public Administration

NAICS is a 2- through 6-digit hierarchical classification system, offering five levels of detail. Each digit in the code is part of a series of progressively narrower categories, and the more digits in the code signify greater classification detail.

The first two digits designate the economic sector, the third digit designates the subsector, the fourth digit designates the industry group, the fifth digit designates the NAICS industry, and the sixth digit designates the national industry. The 5-digit NAICS code is the level at which there is comparability in code and definitions for most of the NAICS sectors across the three countries participating in NAICS (the United States, Canada, and Mexico). The 6-digit level allows for the United States, Canada, and Mexico each to have country-specific detail. A complete and valid NAICS code contains six digits.

Appendix B: Recommended Formats for Digital Assets

Digital file formats

To enable others to easily access and work with all TAACCCT-funded, CCBY-licensed content, content should be made available in a file format that allows anyone to natively and directly edit the content. Content may be made available in multiple formats, but at least one of these formats must be openly editable by providing the original file format used to create the content. The type of file format varies by type of media:

- **For documents:** Openly editable formats include original Microsoft Office files (e.g., doc, .docx, .ppt, etc) and other editable document files. An example of a closed document format is a PDF, since files with the .pdf extension do not allow edits.
- **For images:** Source files should be shared for images (e.g. Adobe Photoshop), video clips, or Flash (such as FLA).
- **For video:** Common video formats include MP4 (H.264), MOV, OGM, WEBM, FLV, and AVI
- **For audio:** Common audio formats include MP3, OGG, FLAC, and WAV, Theora and MP4. For audio-only files, exporting to OGG Vorbis and MP3 is recommended. Include high-resolution versions of videos where possible.

Packaging formats for course level resources

Many TAACCCT grantees will deploy courses through a Learning Management System. To maximize interoperability of courses between different learning systems, grantees should submit course package files to the Department (including all assessments and/or other content that result in a student score or grade) in conformity with industry-leading e-learning open standards and specifications (for example, LR [Learning Registry], AICC [Aviation Industry Computer-Based Training Committee], LRMI [Learning Resource Metadata Initiative], IMS [Information Management Standard], PESC [Postsecondary Electronic Standards Council], or SCORM [Shareable Content Object Reference Model]).

Meta data for describing the resource

Meta data are "tags" attached to digital resources that make it easier to publish, discover and reuse educational content. These tags allow learning systems to accurately generate data on how resources are used by educators in diverse learning environments across the Web. TAACCCT grantees may tag their resources using the Learning Resource Metadata Initiative (LRMI).

Appendix C: Outreach Organizations

In collecting the information described in Sections I.B.5 and V.A.1.iii, applicants must reach out to and use data from the following organizations, to the extent appropriate to the program being proposed:

- Employers and industry associations, including small- and medium-sized firms, and if applicable, representing emerging industries;
- Local, county, and/or State government agencies, including the State workforce agency that administers the TAA for Workers program;
- Local Workforce Investment Boards (WIBs) established under Section 117 of the Workforce Investment Act of 1998 (29 U.S.C. 2832);
- Labor organizations, including State and local labor federations and labor-management initiatives, representing workers in the community;
- Local educational agencies, and other relevant educational entities, such as career and technical education and adult education programs serving the community;

Applicants are strongly encouraged to reach out to and use data from the following organizations:

- Community-based organizations that may provide supportive services and play a role in outreach to ensure the diversity of the targeted population;
- Sponsors of Registered Apprenticeship programs;
- State workforce agency labor market information and/or economic research entities;
- Economic development agencies;
- Small business development organizations; and
- Existing federally- or state-funded consortia, such as regional cluster consortia, that are organized by related sector or regional focus and that may inform the applicant's activities.

In addition, applicants should consider aligning or building upon other Federal investments such as:

- 1) Department of Health and Human Services Health Professions Opportunity Grants (http://www.hhs.gov/news/press/2010pres/09d/state_charts.html) and Innovative Strategies to Increasing Self Sufficiency; and
- 2) National Science Foundation's Advanced Technological Education grants (http://www.nsf.gov/awards/award_visualization.jsp?org=NSF&pims_id=5464&ProgEleCode=7412&RestrictActive=on&BooleanElement=true&BooleanRef=true&from=fund#showAwardDollars=true).

Finally, applicants should consider alignment with systems of higher education, workforce development, career technical education, adult education, and Registered Apprenticeship in an effort to support the development of sustainable career pathways.

Appendix D: Strength of Evidence Definitions

STRENGTH OF EVIDENCE	STRONG	MODERATE	PRELIMINARY
<p>Prior Research Studies Supporting Effectiveness or Efficacy of the Proposed Practice, Strategy, or Program</p>	<p>(1) More than one well-designed and well-implemented experimental study or well-designed and well-implemented quasi-experimental study; or</p> <p>(2) One large, well-designed and well-implemented randomized controlled, multisite trial.</p>	<p>(1) At least one well-designed and well-implemented experimental or quasi-experimental study, with small sample sizes or other conditions of implementation or analysis that limit generalizability; or</p> <p>(2) At least one well-designed and well-implemented experimental or quasi-experimental study that does not demonstrate equivalence between the intervention and comparison groups at program entry but that has no other major flaws related to internal validity; or</p> <p>(3) Correlational research with strong statistical controls for selection bias and for discerning the influence of internal factors.</p>	<p>(1) Evidence that the proposed practice, strategy, or program, or one similar to it, has been attempted previously, albeit on a limited scale or in a limited setting, and yielded promising results that suggest that more formal and systematic study is warranted; and</p> <p>(2) A rationale for the proposed practice, strategy, or program that is based on research findings or reasonable hypotheses, including related research or theories in education and other sectors.</p>
<p>Internal Validity (i.e. Strength of Causal Conclusions) and External Validity (Generalizability)</p>	<p>High internal validity and high external validity</p>	<p>High internal validity and moderate external validity; or, Moderate internal validity and high external validity</p>	<p>Theory and reported practice suggest the potential for efficacy for at least some participants and settings</p>

Appendix E: Project Work Plan Format

PROGRAM OF STUDY or OTHER ACTIVITY:						
		Implementer(s)	Costs		Time	
Activity #1			Strategy Total:	\$	Start Date:	
			Equipment:	\$	End Date:	
			Year 1:	\$	Milestones:	
			Year 2:	\$		
			Year 3:	\$		
			Year 4:	\$		
Deliverable #1			Strategy Total:	\$	Start Date:	
			Equipment:	\$	End Date:	
			Year 1:	\$	Milestones:	
			Year 2:	\$		
			Year 3:	\$		
			Year 4:	\$		

Please Note:

- Applicants may replicate this chart in order to submit information on all activities and deliverables proposed during the period of performance.
- Applicants should provide the name of the institution engaged in each activity or producing each deliverable, including any partner organizations or institutions and consortium members, if applicable.

Appendix F: Sample Outcomes Measures Table

	Outcome Measure	Targets for all Participants	
1	Total Unique Participants Served Cumulative total number of individuals entering any of the grant-funded programs offered	Year 1: Year 2: Year 3:	Total:
2	Total Number of Participants Completing a TAACCCT-Funded Program of Study Number of unique participants having earned all of the credit hours (formal award units) needed for the award of a degree or certificate in any grant-funded program	Year 1: Year 2: Year 3:	Total:
3	Total Number of Participants Still Retained in Their Program of Study or Other TAACCCT-Funded Program Number of unique participants enrolled who did not complete and are still enrolled in a grant-funded program of study	Year 1: Year 2: Year 3:	Total:
4	Total Number of Participants Completing Credit Hours Total number of students enrolled that have completed any number of credit hours to date	Year 1: Year 2: Year 3:	Total:
5	Total Number of Participants Earning Credentials Total number of participants completing degrees and certificates in grant-funded programs of study	Year 1: Year 2: Year 3:	Total:
6	Total Number of Participants Enrolled in Further Education After TAACCCT-funded Program of Study Completion Total number of students who complete a grant-funded program of study and enter another program of study	Year 1: Year 2: Year 3:	Total:
7	Total Number of Participants Employed After TAACCCT-funded Program of Study Completion Total number of students (non-incumbent workers only) who completed a grant-funded program of study entering employment in the quarter after the quarter of program exit	Year 1: Year 2: Year 3: Year 4 (follow-up only):	Total:
8	Total Number of Participants Retained in Employment After Program of Study Completion Total number of students (non-incumbent workers only) who completed a grant-funded program of study and who entered employment in the quarter after the quarter of program exit who retain employment in the second and third quarters after program exit	Year 1: Year 2: Year 3: Year 4 (follow-up only):	Total:
9	Total Number of Those Participants Employed at Enrollment Who Received a Wage Increase Post-Enrollment Total number of students who are incumbent workers and who enrolled in a grant-funded program of study who received an increase in wages after enrollment	Year 1: Year 2: Year 3: Year 4 (follow-up only):	Total:

Please Note:

- Applicants should provide targets in raw numbers; percentages or other types of data projections are not acceptable.
- Applicants should provide targets for each year of the grant and for the total grant period. The figure provided for the total should equal the sum of the projections for each year.
- A participant is any individual who 1) meets the criteria that grantees used to identify who “participants” are in their statements of work (SOW); and 2) who enters or enrolls in a “grant-funded” program that was developed, delivered, offered, or improved in whole or in part by grant funds, or a course that is part of such a program, and who attends the program or course more than once. Students that try out a course during the “add/drop period” at the beginning of a semester and don’t remain enrolled after the “add/drop” period is over would not be counted as participants.
- A program of study is broadly defined as an educational program for which a degree or certificate is granted.

Appendix G: Abstract Format

Project Abstract

1. **Applicant Name:** Anytown USA Community College (consortium applicant)

2. **Applicant City/State:** Anytown, Any State

3. **Consortium Member(s) and Consortium Member State(s) OR Single Institution Project**

Option:

- [Consortium Institution Example]: Jane Doe Community College; Differenttown, Different State
- [Single Institution Example] Option #1: Leveraging Previously-Funded TAACCCT Projects

4. **Areas Served by Grant (by city, county, and state):**

- **State:** Any State. **Counties:** Any County, Any Other County, and Yet Another County. **Cities:** Anytown, The Town Next Door, The Town Up the Road.
- **State:** Different State. **Counties:** Different County, Same County. **Cities:** Differenttown, Othertown.
- **State:** Another State. **Counties:** Another County. **Cities:** Anothertown.

5. **Total Funding Level Requested:** \$8,999,999

6. **Sub-Total Requested Funding Amount by Consortium Member (as applicable):**

- Anytown USA Community College: \$4,000,000
- Jane Doe Community College: \$2,999,999
- John Doe University: \$2,000,000

7. **Project Name:** Partnership for TACTical Engagement (PTE)

8. **Project Description and List of Credentials to be Developed and Awarded:**

9. **Populations to be Served:** TAA-eligible workers and long-term unemployed

10. **Targeted Industry(s):** Information Technology

11. Employer Partner(s): Anytown IT Solutions, Inc.; YourSpace Online; Joe’s IT Shop; and National Health Centers.

12. Public Workforce System Partner(s): Anytown Workforce Investment Board, Anothertown One-Stop Career Center, and Differenttown Adult Education Center.

13. Other Key Partner(s): Round 1 TAACCCT Grantee

14. Public Contact Information: Steven Baird, Director of Grant Programs, Anytown USA Community College, (800)555-1234, baird.steven@anytownCC.edu.

15. Percentage of OER Program Materials Developed vs. Percentage of Licensed or Purchased Program Materials: Approximately 90% of program materials will be developed as open educational resources, and the remaining 10% will be licensed or purchased.

16. Data Tags (up to 25, see table below): accelerated learning, certificate attainment, game design, job placement, on-the-job training, open educational resources, stackable credentials, and web-based training.

Standard Keywords/Data Tags

- | | | | |
|----------------------------------|-----------------------------------|--------------------------------|---------------------------------|
| • Accelerate Progress | • Degree Attainment | • Learning Communities | • Real-time Online Interactions |
| • Accelerated Learning | • Developmental Education | • Mentoring | • Registered Apprenticeships |
| • Achievement Rates | • Digital Materials | • Mobile Devices | • Retention Strategies |
| • Assessment Technology | • Dual Degrees | • Modular Curriculum | • SCORM |
| • Basic Skills | • Earn and Learn | • On-the-Job training | • Self-paced Learning |
| • Blended Learning | • Employer Partnership | • Online Community of Practice | • Simulations |
| • Block scheduling | • Enhanced Course Articulation | • Online Teaching/Learning | • Skill Assessments |
| • Career Pathways | • Enhanced Student Services | • Open Educational Resources | • Stackable Credentials |
| • Certificate Attainment | • Game Design | • Paid Internships | • Technology Enabled Learning |
| • Civic and Community Engagement | • Industry-Driven Competencies | • Retention | • Virtual Environments |
| • Cognitive Tutors | • Industry-Recognized Credentials | • Personalized Instruction | • Web-based Training |
| • Competency-based Training | • Job Placement | | |
| • Contextualized Learning | | | |

Note: In the event none of the above are a sufficiently precise descriptor applicants should include alternate keyword/tags of their own choosing, not to exceed three words per tag and 28 characters for each keyword/tag.

Appendix H: Definitions and Usual Characteristics of Sub-grants vs. Subcontracts

DEFINITIONS	Sub-grants	Subcontracts
General Purpose*	An agreement that provides for the transfer of money or property to accomplish a public purpose of support or stimulation through the grant, as authorized under statute.	Legal contract in which the purpose is to provide supplies and/or services.
Focus*	Carries out one or more major programmatic functions in support of the goals of the grant.	Does not support the goals of the grant directly; instead the subcontractor provides supplies and/or services that are ancillary or supportive to the operation of the grant.
Recipient Responsibility*	Has responsibility for programmatic decision making, adherence to applicable Federal program compliance requirements, and is able to determine which participants are eligible to receive Federal financial assistance.	Provides supplies and/or services for use by the prime grantee that are supportive to the operation of the grant. Subcontractor is subject to procurement regulations, but not programmatic compliance requirements and does not have decision-making authority pertaining to the grant.
USUAL CHARACTERISTICS	Sub-grants	Subcontracts
Terms and Performance Standards	Less rigorous to their terms and conditions than contracts. Performance is measured against whether the objectives of the Federal grant are met.	More rigorous to their terms and conditions. Performance is measured against the delivery of goods and services. The terms will define the deliverables and indicate when they are due.
Monitoring	Less regulated. If the task is not accomplished, there may be fewer legal and financial ramifications.	More heavily regulated and more likely to carry substantial legal or financial risk.
Scope of work	Scope of work, deliverables, and delivery schedule are more flexible and easier to amend when changes are necessary.	Scope of work may be less flexible and more difficult to amend. Firm delivery schedule with deliverables subject to rigorous inspection.
Payment Schedule	Fund usually drawn down by recipient or paid in lump sum. Payments are based on budgeted amounts rather than the unit cost of services.	Payment is usually made by invoice only after goods are delivered and services rendered. Advances are made under specific, limited circumstances. Payment is related to goods delivered or services rendered.

*The distinction between sub-grants vs. subcontracts should be made primarily based on these three definitions. Even if an agreement has some or many of the “usual characteristics” of a sub-grant, project managers and auditors should closely examine its purpose, focus, and recipient responsibilities (using the definitions provided above) before determining whether it meets the definition of a sub-grant or subcontract.

Appendix I: Framework of Evaluation Methodologies

Please use the chart below to help determine the type of evaluation you should plan and for which you should submit a proposal and justify your selection on the basis of the characteristics below. It is not possible to compile a complete table of evaluation options and recommendations for each possible combination of circumstances that can arise, however, the chart below should be used as an outline of what DOL considers an appropriate level of evaluation given various proposed project characteristics.

Evaluation Type/Method	Recommended or Ideal Method Used for TAACCCT Project Characteristics
<p>Outcome/Impact evaluation: Random-assignment</p> <p>An analysis of the labor market outcomes (levels and changes) of participants that assesses the impacts of the training once participants complete it. In random-assignment, participants are assigned randomly either to receive the grant-funded training or to receive different training or no training.</p>	<ul style="list-style-type: none"> • Plans to enroll a large number of participants during the period of performance • Low number of TAA eligible participants (who cannot be randomly assigned) • Plans to start training participants early in the grant period of performance • Offers or is partnered with other institutions that offer the programs of study under both grant-funded and non-grant-funded options
<p>Outcome/impact evaluation: Comparison Cohort</p> <p>A quasi-experimental analysis of the labor market outcomes (levels and changes) of participants that assesses the impacts of the training once participants complete it. Participants in grant-funded training are compared to participants receiving different training on the basis of one or more characteristics, but participants are not randomly-assigned.</p>	<ul style="list-style-type: none"> • Plans to enroll a moderate to high number of participants • Moderate to high number of TAA eligible participants (making random-assignment not a viable method for selection) • Plans to start training participants after the first eighteen months of the grant • Offers or is partnered with other institutions that offer the programs of study under both grant-funded and non-grant-funded options or has a recent valid cohort of students for the same programs of study who were not grant funded that can be compared with students who will be enrolled in grant-funded programs

Information for this chart is derived in part from the publication *Improving the Evaluation of DOLETA Pilot and Demonstration Projects - A Guide for Practitioners* by Stephen Bell (2001, The Urban Institute).

Appendix J: Resources for Cognitive Task Analysis (CTA)

Working Minds: A Practitioner's Guide to Cognitive Task Analysis

Crandall, Klein, and Hoffman
Bradford Books
2006

Cognitive Task Analysis

Richard E. Clark, David F. Feldon, Jeroen J. G. van Merriënboer, Kenneth Yates and Sean Early
October 14, 2006

http://www.cogtech.usc.edu/publications/clark_etal_cognitive_task_analysis_chapter.pdf

Applied Cognitive Task Analysis (Acta): A Practitioner's Toolkit For Understanding Cognitive Task Demands

LAURA G. MILITELLO and ROBERT J. B. HUTTON
1998

<http://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=5&ved=0CF0QFjAE&url=http%3A%2F%2Fciteseerx.ist.psu.edu%2Fviewdoc%2Fdownload%3Fdoi%3D10.1.1.89.4503%26rep%3Drep1%26type%3Dpdf&ei=xLkSUaTUOYTW2gWupYHgDg&usg=AFQjCNGJm2eE6bvpQOfUagJ9efvMZeyEXA&bvm=bv.41934586.d.b2l>

Cognitive Task Analysis

WBI Evaluation Group, 2007

http://siteresources.worldbank.org/WBI/Resources/213798-1194538727144/3Final-Cog_Task_Analysis.pdf

Appendix K: TAACCCT SGA Checklist – Single Institution Applicants

Single Institution Applicants

The following checklist has been prepared to assist **single institution applicants** to ensure that their application is complete prior to submission. Single institution applicants are those eligible institutions that are applying for grants of \$2,372,500 to \$2.75 million. This checklist will help applicants to track the required items to include in the application package. Please be aware that all materials must be received by the application deadline.

Application Package (Section IV.B, pg. xx)

- SF-424 Application for Federal Assistance
- SF-424A Budget Information Form
- Budget Narrative

Attachments to the Project Narrative (Section IV.B.4, pg. xx)

- Abstract (Required format is provided in Appendix G)
- Project/Performance Site Location(s) Form
- Documentation of Employer Commitment (*Note: This attachment also satisfies the Pre-Condition Documentation requirement identified below*)
- Organizational Chart
- Program Evaluation Plan (*Note: This attachment also satisfies the Pre-Condition Documentation requirement identified below*)
- Program Evaluation Budget Narrative (*Note: This attachment also satisfies the Pre-Condition Documentation requirement identified below*)
- Indirect Cost Rate Agreement

Pre-Condition Documentation (Section IV.B.4, pg. xx)

- Documentation of Employer Engagement
- Labor Market Information (LMI) (1-Page)
- Program Evaluation Plan and Budget Narrative

Disclaimer Note: This checklist is provided for the sole purpose of assisting applicants in the self review process prior to submission. Applicants should refer to the SGA as the instrument of instruction and to complete the application process. This checklist is NOT an official portion of the SGA and should in no way be considered a replacement for the instructions contained within the SGA.

Appendix L: TAACCCT SGA Checklist – Multi-State Consortium Applicants

Multi-State Consortium Applicants

The following checklist has been prepared to assist **multi-state consortium applicants** to ensure that their application is complete prior to submission. Multi-state consortium applicants are those consortia of eligible institutions located in more than one State, which are applying together for grants of up to \$25 million. This checklist will help applicants to track the required items to include in the application package. Please be aware that all materials must be received by the application deadline.

Application Package (Section IV.B, pg. xx)

- SF-424 Application for Federal Assistance
- SF-424A Budget Information Form
- Budget Narrative

Attachments to the Project Narrative (Section IV.B.4, pg. xx)

- Abstract (*Required format is provided in Appendix G*)
- Project/Performance Site Location(s) Form
- Documentation of Employer Commitment (*Note: This attachment also satisfies the Pre-Condition Documentation requirement identified below*)
- Organizational Chart
- Program Evaluation Plan (*Note: This attachment also satisfies the Pre-Condition Documentation requirement identified below*)
- Program Evaluation Budget Narrative (*Note: This attachment also satisfies the Pre-Condition Documentation requirement identified below*)
- Indirect Cost Rate Agreement

Pre-Condition Documentation (Section IV.B.4, pg. xx)

- Documentation of Employer Engagement
- Labor Market Information (LMI) (2-Page)
- Program Evaluation Plan and Budget Narrative
- Employment Results Scorecard and Continuous Improvement Work Plan

Disclaimer Note: This checklist is provided for the sole purpose of assisting applicants in the self review process prior to submission. Applicants should refer to the SGA as the instrument of instruction and to complete the application process. This checklist is NOT an official portion of the SGA and should in no way be considered a replacement for the instructions contained within the SGA.

Appendix M: TAACCCT SGA Checklist – Single-State Consortium Applicants

Single-State Consortium Applicants

The following checklist has been prepared to assist **single-state consortium applicants** to ensure that their application is complete prior to submission. Single-state consortium applicants are those consortia of eligible institutions, located in one State, that are applying together for grants of up to \$25 million. This checklist will help applicants to track the required items to include in the application package. Please be aware that all materials must be received by the application deadline.

Application Package (Section IV.B, pg. xx)

- SF-424 Application for Federal Assistance
- SF-424A Budget Information Form
- Budget Narrative

Attachments to the Project Narrative (Section IV.B.4, pg. xx)

- Abstract (*Required format is provided in Appendix G*)
- Project/Performance Site Location(s) Form
- Documentation of Employer Commitment (*Note: This attachment also satisfies the Pre-Condition Documentation requirement identified below*)
- Organizational Chart
- Program Evaluation Plan (*Note: This attachment also satisfies the Pre-Condition Documentation requirement identified below*)
- Program Evaluation Budget Narrative (*Note: This attachment also satisfies the Pre-Condition Documentation requirement identified below*)
- Indirect Cost Rate Agreement

Pre-Condition Documentation (Section IV.B.4, pg. xx)

- Documentation of Employer Engagement
- Labor Market Information (LMI) (1-Page)
- Program Evaluation Plan and Budget Narrative
- Employment Results Scorecard Workplan

Disclaimer Note: This checklist is provided for the sole purpose of assisting applicants in the self review process prior to submission. Applicants should refer to the SGA as the instrument of instruction and to complete the application process. This checklist is NOT an official portion of

the SGA and should in no way be considered a replacement for the instructions contained within the SGA.

Appendix N: References for Sector Strategies

Introduction to the Health Profession Opportunity Grants (HPOG) Program and First Year Implementation and Outcomes *Practice Brief*

Theresa Anderson, Jamie Hall, and Teresa Derrick-Mills

The Urban Institute and Abt Associates

2013

Website: http://www.acf.hhs.gov/sites/default/files/opre/opre_report.pdf

Sectoral Strategies for Low-Income Workers: Lessons from the Field

Maureen Conway, Amy Blair, Steve L. Dawson and Linda Dworak-Muñoz

Workforce Strategies Initiative: The Aspen Institute

2007

Training Policy in Brief: An Overview of Federal Workplace Development Policies

Kermit Kaleba and Rachel Gragg

National Skills Coalition

2011

Website: http://www.nationalskillscoalition.org/assets/reports-/tpib_2011.pdf

Training Tomorrow's Workforce: Community College and Apprenticeship as Collaborative Routes to Rewarding Careers

Robert Lerman

Center for American Progress

2009

Tuning into Local Labor Markets: Findings from the Sectoral Employment Impact Study

Sheila Maguire, Joshua Freely, Carol Clymer, Maureen Conway, and Deena Schwartz

Public/Private Ventures

2010

The Challenge of Repeating Success in a Changing World: Final Report on the Center for Employment Training Replication Sites

Cynthia Miller, Johannes M Bos, Kristin E. Porter, Fannie M. Tseng, and Yasuyo Abe

MDRC

2005

Evaluation of the Sectoral Employment Demonstration Program

Nancy M Pindus, Carolyn O'Brien, Maureen Conway, Conaway Haskins, and Ida Rademacher

The Urban Institute

2004

An Effective Assessment and Cost-Benefit Analysis of Registered Apprenticeship in 10 States

Debbie Reed, Albert Yung-Hsu Liu, Rebecca Kleinman, Annalisa Mastri, Davin Reed, Samina Sattar, and Jessica Ziegler
Mathematica Policy Research
2012

Website: http://wdr.doleta.gov/research/FullText_Documents/ETAOP_2012_10.pdf

Benefits of a Sector-Based Approach

Sunny Schwartz and Johan Uvin
Research and Evaluation Brief 2, 3: 1-4
2004

Appendix O: Non-Grant Funded Incentive Prize Competitions

Applicants may consider engaging private sector partners or employers to use non-grant funds to run incentive prize competitions to develop education and training tools, strategies and technologies. In incentive prize competitions, the prize purse is only paid by the prize administrator upon proof of improved learning outcomes. Well-designed incentive prize competition can yield a high return on the dollar by increasing the opportunities for innovation and expanding the number of people and organizations devoted to developing solutions for key issues. Applicants may also consider engaging philanthropists, private-sector partners, or employers to use non-grant funds for funding incentive prize purses or administrative activities. Grant funds may not be used to administer or award prizes.