U.S. DEPARTMENT OF LABOR
Employment and Training Administration
Notice of Availability of Funds and Funding Opportunity Announcement
for *Training to Work 3 – Adult Reentry*
Announcement Type: Initial
Funding Opportunity Number: FOA-ETA-15-07
Catalog of Federal Domestic Assistance (CFDA) Number: 17.270
Key Dates: The closing date for receipt of applications under this Announcement is **[*insert date XX days after date of publication of the one page notice in the Federal Register*]**. Applications must be received no later than 4:00:00 p.m. Eastern Time.

Addresses: Mailed applications must be addressed to the U.S. Department of Labor, Employment and Training Administration, Office of Grants Management, Attention: Melissa Abdullah, Grant Officer, Reference FOA-ETA-15-07, 200 Constitution Avenue, NW, Room N4716, Washington, DC 20210. For complete application and submission information, including online application instructions, please refer to Section IV.

Executive Summary:
The Employment and Training Administration (ETA), U.S. Department of Labor (DOL, or the Department, or we), announces the availability of approximately $27 million in grant funds authorized by the Workforce Investment Act (WIA) and the Second Chance Act of 2007 for Training to Work 3 – Adult Reentry (T2W3).

This Training to Work 3 – Adult Reentry (T2W3) Funding Opportunity Announcement (FOA) provides the opportunity for organizations to develop and implement career pathways programs in demand sectors and occupations for men and women, including veterans, and people with disabilities, who are at least 18 years old and who are enrolled in work release programs (WRP). Additionally, grantees must provide a strategy to prioritize services to veterans that are in these WRPs. Career pathways are frameworks that help to define and map out a sequence of education, training and workforce skills training resulting in skilled workers that meet employers' needs. Career pathways link and coordinate education and training services in ways that enable workers to attain necessary credentials and, ultimately, employment. T2W3 is aligned with the Department's goal to make our Federal employment and training programs more job-driven.

Successful applicants will: 1) establish a committed Career Pathways Collaborative (CPC) led by the grantee (a nonprofit organization, such as a faith-based or community-based organization) and including representatives from the workforce system, WRP, and employers and/or industry associations.

1

The CPC leadership team will create a career pathways program(s) with identified career pathways in a demand sector(s) within their community and defined, specific roles and responsibilities for each organization; and 2) provide an integrated set of critical participant-level services, such as case management and skills training, that enable participants to enter and advance along the identified career pathways as they acquire additional skills.

ETA plans to award approximately 20 grants of up to $1,360,000 each to serve male and female ex-offenders, referred to in this FOA as returning citizens.

Applicants may only submit one application in response to this FOA. Grantees may not expend more than $8,000 per participant from these grant funds. This limit does not include leveraged funds. These grants have a performance period of operation of 39-months, which includes a planning period, implementation phase, and follow-up period. Additionally, grants will be awarded to grantees operating in areas with high-poverty and high-crime rates and have a large proportion of returning citizens that typically experience higher rates of recidivism. Priority must be given to those returning citizens that are veterans.

As a participant in the Promise Zone Initiative, DOL is cooperating with the Department of Housing and Urban Development, Department of Agriculture, and nine (9) other federal agencies to support comprehensive revitalization efforts in 20 of the highest poverty urban, rural and tribal communities across the country. Applicants that submit a certification (HUD Form 50153) signed by an authorized representative of the lead organization of a Promise Zone designated by HUD or the Department of Agriculture supporting the application will receive 2 priority consideration points. To view the list of designated Promise Zones and lead organizations please go to www.hud.gov/promisezones.

I. Funding Opportunity Description
A. Program Purpose
This Announcement solicits applications for T2W3. The purpose of this program is to assist returning citizens transition back into their communities by gaining industry-recognized credentials and securing employment.

The Department seeks to continue to emphasize programs that involve employers and industry associations in the program design, particularly in identifying the skills and credentials that meet employers' needs in their communities that participants need to acquire to enter into and continue along career pathways.

Linking credentials to career pathways is essential to the Department's goal of making our Federal employment and training programs more job-driven. The

Department is committed to funding systemic and sustainable efforts that include the development and adoption of career pathways models to better align the goals and funding streams of organizations that provide education, training, workforce development, and supportive services (to learn more about Implementing Career Pathways visit www.doleta.gov/performance/trainingtutorials/ppt/ta_forum_career_pathways_workshop.ppt). These grants will support a leadership team of key organizations in defining and implementing a career pathways program specifically for men and women in WRPs to improve their workforce outcomes by helping them to attain industry-recognized credentials. Investing in the skill development of individuals while they are in WRPs and transitioning back into the community helps returning citizens find work more quickly and obtain the measurable and specific skills needed to move into and continue along career pathways.

Career pathways programs provide clear sequences of coursework that leads to credentialing and potential jobs. Career pathways help individuals of varying skill levels identify and earn credentials valued by employers, enter into rewarding careers in demand sectors and occupations, and advance to increasingly higher levels of education and employment. Utilizing this approach in T2W3 will aid men and women as they navigate demand industry sectors, earn the industry-recognized credentials that employers have identified as necessary for positions within the career pathways and take advantage of additional opportunities for education and training, including work-based learning. These comprehensive education and training systems are particularly suited to meet the needs of working learners and non-traditional populations, such as returning citizens, because education and training offerings can be tailored to match each participant's needs.

For the purpose of this Announcement, the term WRP refers to:
- Residential reentry centers (RRC), formerly called halfway houses, that are operated under contract with the Bureau of Prisons (BOP);
- Monitored home confinement; and
- Work release centers (WRC), which are typically located in areas where RRCs do not exist and may include those created by intergovernmental agreements between BOP and state or local jails or those that are operated by or have a contract to operate under the authority of the local correctional facility. The WRCs allow participants to leave the jail to work or find employment for a specified period of time each day and return to the jail as their residence.

For more information on residential reentry centers go to: http://www.bop.gov/about/facilities/residential_reentry_management_centers.jsp).

This FOA is an opportunity to fully leverage and align existing complementary employment and supportive services available to returning citizens through nonprofit organizations (such as faith-and-community-based organizations), the workforce system, and WRPs in local communities. Each works closely with employers, and this project will integrate their existing employer engagement efforts. These grants provide an opportunity to articulate and test career pathways for men and women in WRPs with the goal of successfully reentering their communities. Grantees must develop and implement career pathways programs at two levels, through: 1) a committed and engaged Career Pathways Collaborative (CPC) made up of employers or industry groups and organizations that serve male and female returning citizens and are able to define career pathways in demand sector(s) based on their participants' needs, employer needs, and the needs of the local community; and 2) the actual service delivery to individual participants that puts them in and on these defined career pathways. The CPC will manage and guide the program at both a strategic and an operational level to ensure that participants are moving into and along the defined career pathways.

Career Pathways Collaborative (CPC)
Collaboration is the heart of career pathways programs and essential to making them successful. Career pathways require a host of organizations to engage, leverage, and blend resources, including employers, social service providers, the workforce system, and, of particular importance, education providers, including community colleges. To ensure each T2W3 program is successful, applicants will assemble a CPC that will serve as the primary coordinating body for the career pathways program. It will consist of a leadership team as well as a mix of additional organizations that will collaborate to deliver services that match the program design and delivery.

Leadership Team
The role of the leadership team is to develop a career pathways program, including the identification of a career pathway(s) in a demand sector(s) within their community. Successful applicants will establish a committed leadership team, or leverage an existing team, made up of four types of organizations. At a minimum, the leadership team must consist of: 1) the grantee, 2) the workforce system, 3) the WRP, and 4) employers and/or industry associations. Each member must have defined, specific roles and responsibilities. The leadership team will operate as the primary coordinating body for the career pathways program.

The nonprofit organization that is the eligible applicant will serve as the chair of the leadership team and the CPC. The leadership team is encouraged to include other local nonprofit organizations that serve this population and that will commit to providing quality participant services and demonstrate a commitment to a long-term, sustainable career pathways program.

4

The leadership team will be responsible for three key activities: 1) assembling an active and engaged CPC that develops and supports the implementation of a comprehensive career pathways program with articulated, specific roles and responsibilities for each CPC member; 2) identifying and mapping-out clear career pathways in demand sectors and occupations using real-time local labor market information and active employer involvement to ensure that the training and education programs are meeting the skills needs of employers; and 3) using evidence-based research to inform the program design and delivery of participant-level services, specifically, monitoring the effectiveness of specific services and making modifications to the program as needed.

Nonprofit Organizations
A nonprofit organization, such as a faith- or community-based organization, will serve as the chair of the leadership team and the CPC, as noted above, and as the eligible applicant for this FOA and the DOL grantee, if awarded. Grantees are responsible to DOL and will coordinate all components of the program to ensure successful grant operations and outcomes for participants. The grantee is responsible for coordinating all of the activities of the leadership team in defining and implementing a career pathways program specifically for men and women in WRPs in order to improve their workforce outcomes by helping them attain industry-recognized credentials.

The grantee serves as the primary service provider due to its experience and ability in providing services to returning citizens. A successful applicant has been a service provider for hard-to-serve population such as ex-offenders and has the ability to weave the unique service needs of returning citizens together to create an integrated education and training plan. This grant will enable the grantee to offer additional services through a career pathways program(s) that is planned in partnership with the leadership team and other organizations in the CPC.

Applicants must ensure that the leadership team and additional members of the CPC are committed to providing the services and fulfilling the roles and responsibilities delineated in this FOA by providing applicable Letters of Commitment or Memoranda of Understanding (MOU) that demonstrate the organization's commitment to supporting the implementation of the project.

Workforce System
Each grantee is required to coordinate a leadership team of WRPs, employers and/or industry associations, and the workforce system, which includes Workforce Investment Boards (WIBs)[1] and American Job Centers (AJCs).

---

[1] The Workforce Innovation and Opportunity Act (WIOA) was passed on July 22, 2014, and it replaces the Workforce Investment Act. Most of the provisions of WIOA will go into effect on July 1, 2015. Under WIOA, Workforce Investment Boards are referred to as Workforce Development Boards and have different membership and certification requirements. However, for purposes of this FOA, Workforce Development Boards fulfill the same function

The workforce system helps returning citizens and other job seekers by providing job search assistance, job placement services, career guidance, skills assessments, assistance with resume writing, and valuable connections to employers. In addition, WIBs are key sources of local labor market information necessary for identifying the industry sectors in demand within local workforce areas that are most likely to hire returning citizens. Some examples of demand sectors that have successfully and consistently hired returning citizens are advanced manufacturing, skilled trades, agriculture, transportation, distribution and logistics, and a variety of service sectors; however, each leadership team will select appropriate career pathways sectors and occupations based on their own local labor market data.

Work Release Programs (WRPs)
WRPs are located in many local areas and are a bridge between life in a correctional facility and life in the community. Returning citizens in WRPs are responsible for finding and keeping regular jobs in the community and returning to the WRP during their non-work hours. They are expected to go to work every day, arrive at work on time, and complete required work tasks. For participants who have little steady job experience, a work release opportunity is invaluable. WRPs may engage employers, recruit and make referrals to jobs for returning citizens, and provide some supportive services. They may already be leveraging the services of AJCs and WIBs in their local communities.

WRPs are responsible for the accountability of their participants 24-hours-per-day, 7-days-per-week. Grantees must be able to account for their participants' location at all times in order for the WRP to approve the participants' release to participate in the grantee's program.

Employers and/or Industry Associations
Employers are critical collaborators in the development of career pathways. Most importantly, employers define the skills needed for their positions, provide work-based learning opportunities, including vocational training, internships, and registered apprenticeships, and, ultimately, offer permanent jobs as part of a career pathways program. Employers play a primary role in determining the sectors around which to build the career pathways. Employers validate labor market research and confirm the skills and credentials required for the occupations chosen. Employers also play a role in program curriculum design and instruction.

Additional Members of the Career Pathways Collaborative (CPC)
Grantees are encouraged to work with additional organizations beyond the leadership team. Below is a list of the types of organizations that could play a role in supporting the project and become members of the CPC as a member

---

as Workforce Investment Boards and either type of Board would be an acceptable representative of the workforce system.

6

of the leadership team and/or as a provider of participant-level services. Collaboration with additional organizations is strongly encouraged, and grantees are not limited to the types of organizations listed. Applicants must submit letters of commitment or an MOU from each member that identifies the role and responsibility of each member.

- **Educational Providers and Institutions**. Grantees are encouraged to include educational organizations as members of their CPCs. They are critically important players in career pathways programs given the special needs of adult learners, particularly returning citizens who may have earned educational credentials while incarcerated and are poised to pursue post-secondary education.
  - o **Alternative Education Providers**. The letter of commitment or MOU between the grantee and education provider(s) must state how they will provide services and instruction that will help adult participants attain a high school diploma or state equivalent. Clearly describe how other collaborative organizations will be engaged to support program implementation, including their specific areas of expertise and activities for which they will be responsible. Letter(s) of Commitment or MOUs must be provided from each organization.
  - o **Post-Secondary Education Institutions**. The letter of commitment or MOU between the grantee and the post-secondary education institution must state how the institution will provide additional instruction and education for participants that lead to career advancement.
- **Housing Assistance Program Providers**. The letter of commitment or MOU between the grantee and the housing assistance program provider(s) must include referrals by the grantee to collaborating organizations and outline how they will provide assistance with securing temporary or permanent housing for program participants.
- **Mental Health Treatment Centers**. The letter of commitment or MOU between the grantee and the mental health treatment centers must include referrals by the grantee to collaborating organizations and outline how they will provide timely assessments and mental health treatment for program participants.
- **Substance Abuse Treatment Centers.** The letter of commitment or MOU between the grantee and the substance abuse treatment centers must include referrals by the grantee for eligible participants to receive counseling and substance abuse treatment services.
- **Child Support Enforcement Agencies**. The letter of commitment or MOU between the grantee and child support enforcement agencies must include how collaborations with other agencies will assist participants with issues related to non-custodial parents.
- **Legal Aid Services**. The letter of commitment or MOU between the grantee and the legal aid services must include services that are used on behalf of a participant that are related to the purposes of this grant, which include: securing driver's licenses, expunging criminal records, creating and/or modifying child support orders, helping parents in obtaining and

retaining custody of their children, and helping victims of domestic violence by obtaining protective and restraining orders.

- **Social Services Agencies**. The letter of commitment or MOU between the grantee and social services agencies must include how they will assist participants in any of the following areas: securing food, transportation, clothing, child and family services, or medical assistance, support does not have to be limited to these areas.
- **Vocational Rehabilitation Services**. The letter of commitment or MOU between the grantee and vocational rehabilitation services provider must be used to refer participants with disabilities for services that assist them with participating in training and employment programs.

Participant-Level Services

Grantees will provide an integrated set of critical participant-level services that enable male and female participants to enter and advance along career pathways as they acquire additional skills. The participant-level services include six core components needed to support successful reentry into the community and also ensure participant accountability to the WRPs. The core components are: 1) case management; 2) mentoring; 3) education; 4) training that leads to industry-recognized credentials in the grantee's state or local area; 5) workforce activities that lead to employment; and 6) follow-up services. Grantees must provide all of these core services; however, not all participants have to participate in each of these activities. Additionally, applicants must develop an integrated approach to recruiting participants and should consider co-enrollment in the workforce system to provide a greater array of services for their participants; applicants are encouraged to work with their local WIBs and consider co-enrolling participants into programs authorized under WIA or under the Workforce Innovation and Opportunity Act (WIOA), which becomes effective July 1, 2015.

Allowable Use of Grant Funds

Allowable leadership team activities and participant-level services include, but are not limited to, the following and may be performed in multiple categories of services:

Career Pathways Collaborative:
Allowable activities for the CPC include, among other things:
- Assembling a committed CPC including a leadership team and other collaborating organizations that perform function such as:
  o   Asset mapping to identify existing resources and organizations to support the program;
  o   Strategic planning to develop career pathways in a demand sector(s);
  o   Coordinating meetings with CPC members; and
  o   Resource maintenance to support a strategic planning process before, during, and after the career pathways program development, implementation, and follow-up to ensure sustainability of the CPC.

- Identifying and mapping-out clear career pathways in demand sectors, which could include:
  - Securing real-time labor market information data collection to identify demand sector(s);
  - Convening employers and industry associations to understand their specific workforce needs in the identified demand sector(s) and occupation(s); and
  - Analyzing industry competency models to identify knowledge, skills, and abilities for the demand sector(s) and create occupational career pathways with this information.
- Using evidence-based research to inform program design and implementation, which could include:
  - Translating evidence-based research into practice and service delivery;
  - Supporting a continuous improvement process that may include assessments, staff feedback, customer feedback, and other mechanisms for capturing real-time program data; and
  - Examining and re-working policies across the CPC to enable greater blended funding and service delivery alignment.

Participant-Level Services:
Allowable participant-level services include, among other things:
- <u>Case Management</u>
  - Assistance with the development of Individual Career Plans (ICPs) for participants and career guidance and development, including applying for post-secondary education and financial aid;
  - Assistance with obtaining supportive services, such as transportation stipends or emergency assistance payments;
  - Payment for legal services related to the purposes of this grant, which include: securing driver's licenses, expunging criminal records, creating and/or modifying child support orders, helping parents in obtaining and retaining custody of their children, and helping victims of domestic violence by obtaining protective and restraining orders; and
  - Referrals to the following services:
    - Housing programs that provide temporary or permanent housing;
    - Mental health counseling;
    - Vocational rehabilitation services needed to assist persons with disabilities;
    - Parenting classes and services to assist with successful family reunification; and
    - Substance abuse treatment services.

NOTE: Grantees may not directly provide assistance with substance abuse treatment, housing services, or mental health treatment services. Such assistance may be provided only through referrals.

- Mentoring Individuals and Groups
  - o Individual and group mentoring; and
  - o Group mentoring models such as Job Clubs that provide assistance, networking, and peer support for job seekers.

NOTE: The Department encourages collaborating with Second Chance Act (SCA) grantees that have been awarded funds for mentoring programs where possible and with other organizations that focus on mentoring to defray the costs. A listing of Second Chance Act Mentoring Grantees can be accessed at http://csgjusticecenter.org/nrrc/second-chance-act-mentoring-grant-program.

- Education
  - o Alternative secondary school services and career awareness classes that develop lifelong career pathways;
  - o Language instruction programs and services and information in appropriate languages for participants with limited English proficiency;
  - o Basic skills instruction and remedial education; and
  - o Tutoring and/or preparation for state high school equivalency tests.

- Training that Leads to Industry-Recognized Credentials in State or Local Areas
  - o Vocational skills training;
  - o Wages in an On-the-Job Training (OJT) framework; and
  - o Registered Apprenticeships.

- Workforce Activities that Lead to Employment
  - o Job placement;
  - o Development of cognitive and soft skills that participants will need to succeed in future jobs and that support one or more workplace competency;
  - o Paid and unpaid work experiences, including community service activities that offer the returning citizen the opportunity to work within the his/her community;
  - o Payment of stipends to participants based on their performance in the program to recognize achievements/milestones;
  - o Payment of employment and retention bonuses to participants based on progress reached in the employment, education, and/or training components of the grant program;
  - o Assistance in addressing work-related problems that arise, such as conflict and anger management; and

- o Assistance in securing higher-paying employment, including non-traditional jobs for women.

- • <u>Follow-up Services</u>
  - o Tracking of progress made by participants in employment and training after program exit; and
  - o Assisting participants in planning and implementing next steps that lead to upward mobility.

B. Program Authority

This program is authorized by Section 171, Pilot and Demonstration Projects, of the Workforce Investment Act (WIA)[2] , and Section 212 of the Second Chance Act of 2007.

II. Award Information

A. Award Type and Amount

Funding will be provided in the form of a grant. Approximately $27 million is expected to be available to fund approximately 20 grants. You may apply for a ceiling amount of up to $1,360,000. Awards made under this Announcement are subject to the availability of Federal funds. In the event that additional funds become available, we reserve the right to use such funds to select additional grantees from applications submitted in response to this Announcement.

Applicants must **not** exceed $8,000 cost-per-participant (CPP) which includes all administrative, planning, and follow-up costs. The CPP does not include leveraged funds. The CPP is calculated by dividing the total grant award by the number of participants to be enrolled. Grantees will be held accountable for the number of participants identified to be served in their application. If the number of participants identified by the applicant is greater than the minimum identified in this Announcement, the applicant must serve the number of participants identified in the application. Applicants requesting the maximum $1,360,000 must serve at least 170 participants.

B. Period of Performance

The period of performance is 39 months with an anticipated start date of July 1, 2015. This performance period includes all necessary implementation and start-up activities.

The period of performance must include the following:

---

[2] The Workforce Innovation and Opportunity Act ("WIOA", Public Law 113-128) was signed into law on July 22, 2014. Most provisions of WIOA become effective July 1, 2015. Grants awarded under this FOA are authorized by the Workforce Investment Act of 1998 (WIA), and the terms of the WIA will apply to these grants for the life of the grants. The performance measures for these grants are comparable to the WIA common measures.

- A planning period of up to six months (grantees that do not use the entire planning period may add the unused time to their follow-up periods or end their programs early);
- A program performance period of 24 months; and
- A minimum of nine months of follow-up services provided to each participant.

To ensure that grantees are prepared to begin program implementation, the Federal Project Officer (FPO) will evaluate the completion of specific milestones within the grant's planning phase. The Department may subject grantees who do not meet these milestones to corrective action. The application to the FOA serves as the Statement of Work. Grantees will be held accountable for providing sufficient details about the three key activities of the CPC leadership team, as well as the six core components of participant-level services to ensure successful implementation by the grantee. The following milestones must be achieved during the planning period:
- Hire core program staff, including the Project Director/Manager, Fiscal Director/Manager, and other key positions;
- Establish and hold regular planning meetings of the CPC to ensure the career pathways program is ready to successfully deliver services;
- Certify that the career pathways program has training programs that are in demand sectors within their communities and are ready for participants to immediately enroll into;
- Initiate recruitment and outreach efforts for the enrollment of participants; and
- All MOUs and service delivery contracts must be signed and in place during this planning phase.

III. Eligibility Information
A. Eligible Applicants
Eligible applicants include:
- Nonprofit Organization with IRS 501(c)(3) Status. Proof of 501(c)(3) status should be included as an attachment to the application (see Section IV.B.4 for more information). Applicants must also be located in an urbanized area or urban cluster, as defined by the U.S. Census Bureau.

B. Cost Sharing or Matching
Cost sharing or matching funds are not required for this program. Please note that any resources contributed to the project are considered leveraged resources and do not constitute cost sharing or matching funds. More information on leveraged resources may be found in Section IV.B.2. Applications that include any form of cost sharing or match will not receive additional consideration during the review process. Cost sharing or match is not one of the application screening criteria.

C. Other Information

1. Application Screening Criteria

You should use the checklist below as a guide when preparing your application package to ensure that the application has met all of the screening criteria. Note that this checklist is only an aid for applicants and should <u>not</u> be included in the application package. We urge you to use this checklist to ensure that your application contains all required items. If your application does not meet all of the screening criteria, it will not move forward through the merit review process and will not be considered for funding.

Application Requirement	Instructions	Complete? Y/N
The deadline submission requirements are met	Section IV.C	
If submitted through Grants.gov, the components of the application are saved in any of the specified formats and are not corrupt. (We will attempt to open the document, but will not take any additional measures in the event of problems with opening.)	Section IV.C.	
Application does not exceed the ceiling amount of $1,360,000	Section II.A	
Application does not exceed the $8,000 cost-per participant limitation.	Section II.A	
Applicant has registered with SAM and maintains an active account	Section IV.B.1	
Signed SF-424, Application for Federal Assistance	Section IV.B.1	
Signed SF-424 includes a DUNS Number	Section IV.B.1	
SF-424A, Budget Information Form	Section IV.B.2	
Budget Narrative	Section IV.B.2	
Project Narrative	Section IV.B.3	
Abstract	Section IV.B.4	

2. Number of Applications To Be Submitted

An organization may only submit one application. Multiple applications from an organization are not allowed. If multiple applications are received, the most recent application submitted will be accepted. If the most recent application is disqualified for any reason, we will <u>not</u> replace it with an earlier application. A single application may be submitted to serve multiple sites. However, each site must meet the definition an urbanized area or urban cluster, as defined by the U.S. Census Bureau.

3. Eligible Participants
a) Participants Eligible to Receive Training
   Any male or female individual, including veterans, may participate in a
   project funded under these grants if the individual:
   - is at least 18 years old on the date of enrollment;
   - has been convicted as an adult and imprisoned under Federal or state
     law but never been convicted of a sexual offense other than
     prostitution; and
   - is enrolled in a WRP with a release date scheduled within nine months
     of enrollment in the program; participants can remain in the program
     after release from the WRP.

   NOTE: Male participants age 18 or older are required to register for
   selective service before services can be provided. If they turn 18 while
   participating, they must be registered at that time. Training and
   Employment Guidance Letter (TEGL) 11-11, Change 2 clarifies the
   implementation of the Selective Service registration requirements of
   Section 189(h) of the Workforce Investment Act (WIA) of 1998 for
   grantees funded or authorized by Title I of WIA, located at
   http://wdr.doleta.gov/directives/attach/TEGL/TEGL_11-11_change2.pdf.
   Grantees have the discretion to enroll individuals convicted of violent
   offenses. However, the grantee must have a clear and consistent written
   enrollment policy that addresses how enrollment of program participants
   will be treated. Grantees may choose to have a more rigorous risk
   assessment for violent offenders and should note where this will be
   factored into enrollment eligibility.

   Grantees may, at their discretion, use the Resource Allocation and
   Service-Matching Tool as a means for assessing the participant's risk of
   reincarceration and job readiness. More information on this type of
   assessment tool can be found in Section VIII. E, Reentry Resources.

b) Veterans' Priority for Participants
   38 U.S.C. 4215 requires grantees to provide priority of service to 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.

IV. Application and Submission Information
A. How to Obtain an Application Package
This FOA, found at 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. Applicants should note that hyperlinks to portions of the FOA are included in various parts of the Announcement. Applicants are required to comply with all parts of the FOA, including those parts found at the hyperlinks.

B. Content and Form of Application Submission
Applications submitted in response to this FOA 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 your responsibility to ensure that the funding amount requested is consistent across all parts and sub-parts of the application.

1. SF-424, "Application for Federal Assistance"
You must complete the SF-424, "Application for Federal Assistance" (available at http://apply07.grants.gov/apply/FormLinks?family=15). The SF-424 must clearly identify the applicant and must be signed by an individual with authority to enter into a grant agreement. Upon confirmation of an award, the individual signing the SF-424 on behalf of the applicant is considered the Authorized Representative of the applicant. As stated in block 21 of the SF-424 form, signature of the Authorized Representative on the SF-424 certifies that the organization is in compliance with the Assurances and Certifications form SF-424B (available at http://apply07.grants.gov/apply/FormLinks?family=15). The SF-424B is not required to be submitted with the application.

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

As a condition to the award of financial assistance from the Department of Labor under Title I of the Workforce Investment Act of 1998 (WIA)[3], the grant applicant assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws: Section 188 of the WIA, which prohibits discrimination against all individuals in the United

---

[3] As noted above in footnote 2, grants awarded under this FOA are authorized by the Workforce Investment Act of 1998 (WIA), and the terms of the WIA will apply to these grants for the life of the grants.

15

States on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIA Title I—financially assisted program or activity; Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the bases of race, color and national origin; Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities; The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs. The grant applicant also assures that it will comply with 29 CFR part 37 and all other regulations implementing the laws listed above. This assurance applies to the grant applicant's operation of the WIA Title I-financially assisted program or activity, and to all agreements the grant applicant makes to carry out the WIA Title I-financially assisted program or activity. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance.

Requirement for DUNS Number
All applicants for Federal grant and funding opportunities are required to have a DUNS number, and must supply their DUNS Number on the SF-424.   The DUNS Number is a nine-digit identification number that uniquely identifies business entities. If you do not have a DUNS Number, you can get one for free through the D&B website: http://fedgov.dnb.com/webform/displayHomePage.do. As authorized under 2 CFR 25, grant recipients authorized to make subawards must be aware of the following requirements related to DUNS Numbers:
  - Grant recipients must notify potential subawardees that no entity may receive a subaward from you unless the entity has provided its DUNS number to you.
  - Grant recipients may not make a subaward to an entity unless the entity has provided its DUNS number to you.

Requirement for Registration with SAM
Applicants must register with the System for Award Management (SAM) before submitting an application. Instructions for registering with SAM can be found at https://www.sam.gov/portal/public/SAM/#1. A recipient must maintain an active SAM registration with current information at all times during which it has an active Federal award or an application under consideration. To remain registered in the SAM database after the initial registration, the applicant is required to review and update the registration at least every 12 months from the date of initial registration or subsequently update its information in the SAM database to ensure it is current, accurate, and complete. For purposes of this paragraph, the applicant is the entity that

16

meets the eligibility criteria and has the legal authority to apply and to receive the award.

2. Project Budget

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

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

Use the following guidance for preparing the budget narrative:

Personnel – List all staff positions by title (both current and proposed). Give the annual salary of each position, the percentage of each position's time devoted to the project, the amount of each position's salary funded by the grant, and the total personnel cost for the period of performance.

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

Travel – Specify the purpose, mileage, per diem, estimated number of in-state and out-of-state trips, and other costs for each type of travel.

Equipment – Identify each item of equipment to be purchased which has an estimated acquisition cost of $5,000 or more per unit (or if your capitalization level is less than $5,000, use your capitalization level) and a useful lifetime of more than one year (see 2 CFR 200.33 for the definition of Equipment). List the quantity and unit cost per item. Items with a unit cost of less than $5,000 are supplies. In general, we do not permit the purchase of equipment during the last funded year of the grant.

Supplies – Supplies include all tangible personal property other than "equipment" (see 2 CFR 200.94 for the definition of Supplies). 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. If applicable, identify any subrecipient agreements, including purpose and estimated costs. See Section VI.B.2.f. for more information on the distinction between contractor and subrecipient.

Construction – Construction costs are not allowed and this line must be left as zero. Minor alterations to adjust an existing space for grant activities (such as

a classroom alteration) may be allowable. We do not consider this as construction and the costs must be shown on other appropriate lines such as Contractual.

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

Indirect Costs – If indirect costs are included in the budget, then include either, a) the approved indirect cost rate with a copy of the Negotiated Indirect Cost Rate Agreement (NICRA), a description of the base used to calculate indirect costs along with the amount of the base, and the total indirect costs requested, or b) if you meet the requirements to use the 10% de minimis rate as described in 2 CFR 200.414(f), then include a description of the modified total direct costs base (see 2 CFR 200.68 for definition) used in the calculation along with the amount of the base, and the total indirect costs requested based on the 10% de minimis rate. See Section IV.B.4. and Section IV.E.1. for more information. Additionally, the following link contains DOL-specific information: http://www.dol.gov/oasam/boc/dcd/index.htm.

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

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

The Project Narrative is limited to 25 double-spaced single-sided 8.5 x 11 inch pages with Times New Roman 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. You must number the Project Narrative beginning with page number 1.

The following instructions provide all of the information needed to complete the Project Narrative. You should carefully read and consider each section, and include all required information in your Project Narrative. The Project Narrative will be evaluated using the evaluation criteria identified in Section

V.A. You must use the same section headers identified below for each section of the Project Narrative:

(1) Statement of Need
Describe in both quantitative and qualitative terms, the need for assistance, including the nature and scope of the problem, and the consequences of not addressing the need. Incorporate demographic data and participant/beneficiary information whenever possible. Specifically:
- Identify the geographic area in which the project will be located and the name and location of each WRP in that area;
- Demonstrate that the geographic area to be served is an urbanized area or urban cluster, as determined by the U.S. Census Bureau in the most recently available census;
- Indicate the number of male and female participants, including veterans, that will be served by the project and the number of male and female individuals in WRPs in the previous year. The number of participants must be large enough to reflect a cost-per-participant amount of $8,000 or less as specified in Section II.A. For example, applicants requesting the maximum $1,360,000 must serve at least 170 participants;
- Demonstrate that the target area has a high rate of recidivism by showing that the rate of recidivism for the area to be served is higher than the county or state recidivism rates. For local data on rates of recidivism, applicants should contact their local crime reporting service, such as the police bureau's crime statistics division or Uniform Crime Reporting service. If local data is not available, provide an estimate of the recidivism rate and explain the basis on which the estimate is made.

NOTE: The number of participants to be served must be less than or equal to the number of returning citizens enrolled in WRPs in the target area in the previous year.

(2) Expected Outcomes and Outputs
All applicants must identify and provide measurable results, or outcomes, that will result from the project and meet DOL's outcome goals stated below. Clearly identify the output(s) and outcomes that will result from the project. Describe how the expected outcomes and outputs are to be achieved and are comprehensive, realistic, clear, and consistent with the identified goals. Outputs are tangible products or services that result from the project. For example, say a community college receives a grant to address a need for more workers in all health-related fields.   An output of the project is the creation of 3 additional courses in health-related fields. An outcome of the project is an increase in graduates in health-related fields by 5 percent.

Identify and provide measurable results or outcomes that will result from the project and meet the Department's goals stated below:

Measure	Definition	Goal

19

Enrollment Rate	The enrollment rate is defined as the number of participants enrolled in the program divided by the enrollment goal. The enrollment goal is expected to be met by the end of program operations period, as explained in Section II B.	The goal for this measure is 100 percent.
Participation Rate	The participation rate is defined as the percentage of active participants who received at least one grantee-provided or partner service (excluding supportive services) every month during the reporting quarter.	The goal for this measure is 60 percent in each reporting quarter.
Entered Employment Rate	The entered employment rate is defined as those who are not employed full-time and not receiving benefits at the date of enrollment and who exit the program, as compared to the number of participants who are employed in the first quarter after the exit quarter. Participants who were employed in some capacity at enrollment must be placed in a different job with higher wages and/or an increase in benefits to be counted in this measure.	The goal for this measure is 60 percent.
Employment Retention Rate	The employment retention rate is defined as the percentage of participants who exited the program and gained employment in the first quarter after the exit quarter and who are employed in both the second and third quarters after the exit quarter.	The goal for this measure is 70 percent.
Average Earnings	The average earning is defined as the average earnings for the second and third quarters after exit of those who exited the program and were employed in the first, second, and third quarters after exit.	The goal for this measure is $9,360, which works out to be $9/hour if working full time and is just under 200 percent of the poverty rate for a family of 1. Note: we do not expect to see data for this measure during the first year of the program.
Recidivism Rate	The recidivism rate is defined as the percentage of participants who were re-arrested for a new crime or re-incarcerated for revocation of the parole or probation order within one year of their release from prison.	The goal for this measure is 22 percent or below.
Mentoring Rate	The mentoring rate is defined as the percentage of participants who are receiving mentoring services either as active participants or while in follow-up status for at least six months.	The goal for this measure is 95 percent.
Entered Occupational Training Rate	The entered occupational training rate is defined as the percentage of participants who have been enrolled in the program and enter into occupational training.	The goal for this measure is 75 percent.
Industry-Recognized Certificate/Degree Rate	The industry-recognized certificate/degree participation rate is defined as the percentage of enrolled participants in degree- or industry-recognized certificate-awarding programs.	The goal for this measure is 60 percent.
Attainment Rate	The attainment rate is defined as the percentage of	The goal for this

	participants who have participated in degree- or certificate-awarding training and received a degree or an industry-recognized certificate within three quarters after exit from the program.	measure is 60 percent of those enrolled in degree and/or certificate awarding programs.

NOTE: Calculation methods may be subject to change.

(3) Project Design

Propose methods that will be used to address the stated outcomes and outputs. Outline a plan of action that describes the scope and detail of how the proposed work will be accomplished and includes timelines for completion of work. Account for all functions or activities identified in the application. Cite factors that might accelerate or decelerate the work and state the reason for taking the proposed approach rather than other approaches. Identify any potential barriers and describe how the project will be able to overcome those barriers.

Describe the overarching career pathways program, including all three key activities of the CPC leadership team and all six core components for participant-level services as well as their strategies for achieving their goals. This section is the heart of this grant application. It will guide the Collaborative's work in developing a career pathways program.

Career Pathways Collaborative (CPC) Activities
   i.   Assembling a Committed CPC
        Address the following leadership team elements:
        • Describe the CPC's shared vision, mission, set of goals, and plan for ensuring participants are moving on and/or up and along career pathways in a demand sector(s);
        • Describe how the leadership team will be coordinated and engaged within their community and particularly how they will encourage new organizations to join the Collaborative;
        • Describe your past, current, and projected collaboration with the three other organizations identified as required members of the CPC Leadership Team: WRPs, the workforce system, and employers and/or industry associations within the local community. Demonstrate the organizations' commitment to the development of the career pathways program and how the Collaborative will respond to the needs of the business community and produce participants with industry-recognized credentials, as well as each organization's specific roles and responsibilities in implementing the project. Letter(s) of Commitment or MOU(s) must be provided for each member of the CPC Leadership Team; **alternatively**, you may submit one Letter of Commitment or MOU signed by all members of the Leadership Team. The Letters of

Commitment or MOUs must address, at a minimum, the following requirements:

- o **WRPs.** The methods of referring participants and coordinating service delivery with WRPs;
- o **Workforce System.** The coordination of workforce services, which may include the following services: support of paid and/or unpaid work experience, OJT, internships, registered apprenticeships, and unsubsidized full and part-time employment placement assistance; and
- o **Employer(s) and/or Industry Association(s).** At least one of the following: the opportunities for paid and/or unpaid work experience, OJT, internships, registered apprenticeships, or unsubsidized full and part-time employment; and

- Clearly describe how other collaborative organizations will be engaged to support program implementation, including their specific areas of expertise and activities for which they will be responsible. Letter(s) of Commitment or MOUs must be provided from each organization.

ii. Identifying Career Pathways in Demand Sector(s)

- Describe the need for the selected career pathways program in the applicant's state and/or local area and identify the source of this information, such as WDBs or labor market projections;
- Describe how the educational services that lead to industry recognized credentials fit within the career pathway(s) and are integrated into the training and workforce development components of the program;
- Describe the process and resources used to identify the selected training program(s) and the justification for the selection of the training program(s);
- Include a graphic of the career pathway(s) that will be used to move participants into employment with industry-recognized credentials;
- Describe how you use or develop industry competency models that are appropriate to the local labor market and will provide maximum opportunities for returning citizens. To learn about 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; and
- Develop and describe career ladders and lattices (structured series of job positions through which a person progresses in an organization or field) to move returning citizens in and out of

specific occupations from entry-level employment to related employment where participants have transferable technical skills.

    iii. Using Evidence-Based Research to Inform Program Design and Practice
- List and describe the evidence-based research (proof supporting a theory, the conscientious and judicious use of current best evidence, etc.) that is informing the program design and practice and how it will influence service delivery;
- Describe how you will handle problems and issues that arise during the strategic planning process, implementation of services, and long-term planning for the CPC; and
- Describe how all program staff, from the leadership team to the case managers, will coordinate with other agencies and organizations to ensure that participants are receiving timely information and counseling in a variety of topics including: financial literacy; counseling about their civil rights, including civil rights issues related to criminal records and employment; assistance applying for jobs and Federal benefits, such as Pell Grants, Supplemental Nutrition Assistance Program (SNAP), childcare, and Medicaid; and, if the person has a disability, the right to free and appropriate education and reasonable work accommodations.

Participant Level Services

Projects funded under these grants must include each of the project components described below. Grantees must provide case management, mentoring, educational interventions, workforce activities, occupational training leading to industry-recognized credentials, and follow-up services. Each participant enrolled in these projects does not necessarily have to participate in each of the project components, but each project component must be offered by the grantee. Applicants must describe how they will account to the WRP for the participants' attendance for each of the program components. In addition, applicants must describe which services will be directly provided by the grantee and which services will be contracted or provided by program collaborators. Applicants must also describe their integrated strategy for providing these services. Applicants must describe their current program model and how services will meet the goals of this project.

    i. Case Management
Case management services must begin at the time of enrollment and be provided throughout the participant's participation in the program, including the follow-up period. Describe how you will ensure participant accountability to the WRP for this component. Grantees will assist each participant in developing an ICP that includes

strategies for upward mobility on career pathways and success in the workplace. The development of the ICPs must begin within 30 days of enrollment and include steps to improve the participants' employability that extend through the follow-up period.

Specifically:
- Identify and provide justification for the ratio of case managers to participants and describe how the case managers will act as advocates for program participants, including detailing the frequency of their interactions;
- Describe how case managers will work with WRP staff in serving participants and in linking them to supportive services, such as: transportation assistance, housing assistance, mental health services, substance abuse treatment services, legal aid services, and services from organizations that assist with family reunification;
- Describe how case management services will bridge active program participation and, during the follow-up period, ensure adequate tracking of post-program outcomes and retention success for participants within the period of performance of the grant; and
- Describe how participants will be assisted in developing career goals, understanding career pathways options, and developing an ICP. Describe how the mentoring and training received by the participants fit into the ICPs and ensure that each participant is focused on achieving his or her goals. An ICP must be developed within 30 days of enrollment for each participant and must reflect the individual needs and career goals of the participant. This will include goals related to personal issues, such as counseling, substance abuse treatment, housing, and child custody/support issues that can affect workplace success, as well as goals related directly to workforce development, such as continuing education, vocational training, and employment placement. The ICP will include the career pathways graphic so that each participant will have an understanding of his/her own progress along the pathway. The ICP is a living document and should be reviewed and updated regularly for each participant, including throughout the follow-up period.

ii. Mentoring
Mentoring is one of the core components of participant services. Grantees may provide mentoring in coordination with the WRP staff and, as necessary, with other criminal justice offices, such as parole and probation, since such coordination is essential to successfully reintegrating returning citizens. Mentoring resources may be available in the targeted community through Second Chance Act mentoring grants from the Department of Justice. Applicants must describe how they will ensure participant accountability to the WRP for this component. Many types of

organizations can provide mentors, such as faith- and community-based organizations, business firms, and college clubs. This component may include one-on-one mentoring, group mentoring, including job clubs, and/or service-based mentoring; however, we encourage the use of one-on-one mentoring and mentoring in small groups. One example of a group mentoring model is the "Job Club" model. Job clubs are group-based job search assistance, networking, and peer support groups. Job clubs are often run by volunteers, including job seekers and program participants.

Participants must be matched with appropriate mentors who will be primarily responsible for offering support and guidance to participants in the community and the workplace. For the purposes of this grant, mentoring is defined as a relationship over a prolonged period of time (at a minimum, 6 months) between two or more people where caring volunteer mentors assist participants in successfully and permanently reentering their communities by providing consistent support, guidance, and encouragement that helps participants in developing positive social relationships and achieving program outcomes, such as job retention, family reunification, and reduced recidivism.

The Department requires that grantees use evidence-based models of mentoring to design their programs. As with all mentoring programs, it is recommended that programs provide rigorous screening, training, and match support for mentors and frequent contact with participants as the match progresses. Applicants must describe their mentoring programs, using as a guide the following list that summarizes the commonly-recognized best practices for operating an effective mentoring program: 1) targeted recruitment and thorough screening of appropriate mentors and mentees; 2) customized training for mentors and mentees; 3) sound matching, monitoring, supervision, and retention procedures; 4) closure procedures that leave all participants satisfied; 5) process and outcome evaluation; 6) skilled and committed staff; and 7) stable funding.

Specifically:
- Describe the strategy for mentor recruitment. If appropriate, describe how other organizations may be involved in recruiting mentors for this project;
- Describe the method or tool used for matching mentors to participants;
- Describe how the mentor will engage with the participant(s), including frequency of interactions, type of contact, and method of interaction;

- Discuss the quality and comprehensiveness of the training to be provided to mentors and the strategy for support and supervision of mentors; and
- Discuss your level of experience in operating mentoring programs.

iii. Education

All applicants must describe the educational components to be offered, including the types of educational interventions and/or support, as well as identify the organizations that will provide these services. Applicants must describe how they will ensure participant accountability to the WRP for this component.

- All of the following educational services must be provided and described:
  o High school diploma or other State-recognized educational credential;
  o Credit retrieval/compilation of credits from high schools and correctional facilities;
  o Reading and math remediation;
  o Tutoring; and
  o Language instruction for those with limited English proficiency.
- Describe the strategy for engaging participants in setting educational goals and how it fits within the participant's ICP.

iv. Training that Leads to Industry-Recognized Credentials for Demand Sector(s) and Occupation(s) in the State or Local Area

Applicants must include training programs within their career pathways programs that lead to industry-recognized credentials for demand sector(s) located in their states or local areas. Applicants must also provide data to support and describe how the labor market information on demand sectors chosen will lead to industry-recognized credentials suitable for the participants that will be served. Since these are demonstration and pilot grants, grantees will have flexibility to identify and utilize industry-recognized credentials that are relevant to their identified career pathways. There may be some credentials offered that do not fit the rigorous standards of TEGL 15-10, located at http://wdr.doleta.gov/directives/attach/TEGL15-10.pdf. Those credentials that are relevant but deviate from TEGL 15-10 will be evaluated and approved post award. Training must begin while the participant is in a WRP and may continue after release from the WRP with the expectation that the training leads to employment on and along a career pathway. Applicants must describe how they will ensure participant accountability to the WRP for this component. Implementing this component will require collaboration with apprenticeship programs, job training programs, vocational training

programs, and/or community and four-year colleges. All industry-recognized credentials must be attained by the end of the grant.

Specifically:
- Describe how the training program will be implemented, including the type of instruction, when classes will be conducted, and any additional details about the curriculum and training materials;
- Identify the type(s) and duration of the training programs offered that lead to credentials for demand sector(s);
- Identify the types of credentials that will be attained by participants as a result of completing the training; and
- Describe how training will be integrated into existing career development efforts, such as career counseling and other services offered through AJC.

v. Workforce Activities that Lead to Employment
Workforce development programs must assist participants in developing their career goals and understanding career pathways options as one component of their larger participation in the grant project. Applicants must describe how they will ensure participant accountability to the WRP for this component.

Specifically:
- Describe how you will deliver the workforce development component, which includes: full- or part-time work experience; on-the-job training (OJT); internships that allow participants to interact with professionals in their fields of interest; vocational and occupational training opportunities; career exploration; placement into registered apprenticeships; and unsubsidized full- or part-time employment, including employment in non-traditional careers for women. OJT is distinguished from other types of workplace training, including customized training, by several factors: 1) participants are hired (or employed) and earn wages from employers during training; 2) it is based on an individualized training plan that reflects the results of an individual skills assessment and an analysis of job requirements; 3) training is conducted in the work setting under the direction of one or more of the employer's supervisory personnel; and 4) the employer is paid a reimbursement to cover the extraordinary costs of the training. Grantees are responsible for complying with all applicable laws, including the Fair Labor Standards Act. For guidance on unpaid internships, please see: http://www.dol.gov/whd/; and
- Describe how you will work with employers to ensure that training and other services result in employment for participants.

vi. Follow-Up Services

27

Follow-up services must be provided for a minimum of nine months for each participant and must be completed by the end of the operation period of the grant. Applicants must describe how they will ensure participant accountability to the WRP for this component.

Specifically:
- Describe the efforts that will be made to ensure follow-up services are provided to participants for a minimum of nine months during the grant performance period;
- Describe the follow-up services that will be provided. Follow-up services may include: regular contact with participants to ensure retention in employment and/or school; assistance in addressing work-related or school-related problems; assistance in securing better paying jobs or career development; further education; referrals to peer support groups; mentoring; and tracking progress made by participants in employment and/or education after training as well as progress along the career pathway;
- Describe the frequency and intervals of contact with participants during the follow-up component of the program; and
- Describe the feedback mechanism that the leadership team will use to refine the career pathway and ensure continuous improvement to maximize participant success.

(4) Organizational, Administrative, and Fiscal Capacity
Provide information on the applicant organization's current mission, structure, staffing, and relevant experience. Describe how these factors contribute to the ability of the organization to comply with the program requirements and meet program expectations. Include information about any organization(s) under contract with the applicant that will have a significant role in implementing the project. Describe the fiscal and administrative controls in place to properly manage Federal funds. Include the organization's capability to sustain some or all project activities after Federal financial assistance has ended.

Describe how the organizations within the CPC will carry out the proposed project and the qualifications and experience of personnel to fulfill the needs and requirements of the proposed project.

(5) Past Performance – Programmatic Capability
Previously-Funded Applicants:
(1) Past Performance
Applicants that previously completed a RExO grant from the Department within the past five (5) years (herein after referred to as "previously-funded applicants") do not need to submit any additional documentation or narrative information for the Past Performance criteria except for the Auditor's report for the most recently completed independent audit, completed within three (3)

years of the application due date. RExO grants include any grant in which the grantee submitted data through the Management Information System (MIS). The information provided below is explanatory. **For the purposes of this Announcement, current RExO grantees that have not previously completed a RExO grant will be considered New Applicants and must provide the appropriate documentation identified in the New Applicants section below.**

(a) Performance Goals
Previously-funded applicants will receive points based on past performance demonstrated by the Quarterly Performance Report and Quarterly Financial Report (ETA-9130). Applicants DO NOT need to submit these two reports as attachments; the Department will use data previously submitted through the RExO Management Information System (MIS) and the DOL financial reporting system. Data will be reviewed for the final quarter of the period of performance of the most recently completed RExO grant. The two performance measures that will be evaluated are: 1) placement in education and/or employment and 2) certificate/degree attainment. Where applicable, the certificate/degree attainment will be calculated as the weighted rate of the combined high school diploma/equivalency and the industry recognized certificate attainment rates (i.e., the sum of the numerators for both metrics will be divided by the sum of the denominators for both metrics).

(b) Spending Rate Analysis:
Spending grant funds within the original period of performance indicates that the applicant organization has the ability to adequately deploy the resources provided by the Department and manage a budget effectively. The Department will complete this analysis; previously-funded applicants DO NOT need to provide any supporting documentation.

(c) Timeliness of Report Submissions
Previously-funded applicants will receive points for the timely submission of quarterly performance and financial reports. The Department will use data from the RExO MIS and the DOL financial reporting system to determine scoring under this section; previously-funded applicants DO NOT need to provide any supporting documentation. The Department will review the reports for the final four (4) quarters of the period of performance for the most recently completed RExO grant. If an initial report was submitted on time but revised reports were submitted at later dates, the earliest date will be considered the date of submission.

(d) Fiscal Viability
Fiscal viability indicates that an organization has the ability to responsibly and efficiently utilize Department resources to serve program participants throughout the entire grant period of performance. Previously-funded

29

applicants will receive points for fiscal viability as demonstrated in the Auditor's Opinion recorded in the Auditor's Report.

New Applicants:
(1) Past Performance
Applicants who have not previously received or completed a DOL RExO grant, in which the grantee submitted data through the RExO Management Information System (MIS) within the past five (5) years (herein after referred to as "new applicants") must provide the following performance data, as an attachment to the Project Narrative.

For their most recently-completed grant similar in size, scope, and relevance to the proposed program that has been completed within the last five (5) years, as of the closing date of this Announcement (includes federally or non-federally funded assistance agreements; federally funded assistance agreements include Federal grants and cooperative agreements but not Federal contracts):

- A performance chart that specifies the performance goals, report timeliness, and spending rate analysis information identified in the below subsections for the indicated grant. In the chart, applicants must also provide the project grant number along with the name, title, organization, e-mail address, and telephone number of an individual from the previous grantor entity or agency who has oversight for the program referenced above and can verify the information stated by the applicant; and
- The Auditor's Report for the most recently completed independent audit, completed within three (3) years of the application due date.

ETA reserves the right to confirm this information for all applicants. New applicants that completed *any* non-RExO DOL grant within the past five (5) years must provide the performance data requested of new applicants for the DOL grant.

(a) Performance Goals:
New applicants must submit a chart of past performance that identifies two (2) performance goals and the actual performance results for the most recently-completed grant, as specified above. If available, new applicants should use the performance metrics most similar to: employment/education placement and degree/certificate attainment. In the chart, new applicants must identify the total number of participants enrolled in the program, the expected level of performance for each goal, and the actual outcomes for each goal displayed as both a fraction (i.e., the numerator equal to the number of program participants who achieved the identified metric and the denominator equal to the total program participants eligible for the identified metric) and a

percentage. New applicants will receive points based on past performance demonstrated in the attached performance chart.

(b) Report Timeliness:
New applicants must submit, as part of the chart of past performance described above, their reporting timeliness. New applicants must identify the report due dates and their actual report submission dates for all performance and financial reports due during the last four (4) quarters of their most recently-completed grant, as specified above. For the purposes of this Announcement, if more than one report was due per quarter; all required reports for a given quarter will be considered a "set" of reports. New applicants will receive points for the timely submission of required reports as demonstrated in the attached performance chart.

(c) Spending Rate Analysis:
New applicants must submit, as part of the chart of past performance described above, the percentage of grant funds spent for their most recently completed grant. New applicants will receive points for spending rate analysis, as demonstrated in the chart they provide.

(d) Fiscal Viability:
Fiscal viability indicates that an organization has the ability to responsibly and efficiently utilize Department resources to serve program participants throughout the entire grant period of performance. New applicants will receive points for fiscal viability as demonstrated in the Auditor's Opinion recorded in the Auditor's Report.

(6) **Budget and Budget Justification**. The budget and budget justification should be reasonable based on the activities outlined in the project narrative.

4. Attachments to the Project Narrative
In addition to the Project Narrative, you must submit attachments. All attachments must be clearly labeled as Attachments. Only those attachments listed below will be excluded from the page limit. Additional materials such as resumés or general letters of support must not be included. You must submit your application in one package because documents received separately will be tracked separately and will not be attached to the application for review. Save all files with descriptive file names of 50 characters or less and be sure to only use standard characters in file names: A-Z, a-z, 0-9, and underscore (_). File names may not include special characters (e.g. &,–,*,%,/,#), periods (.), blank spaces or accent marks, and must be unique (i.e., no other attachment may have the same file name). An underscore (example: my_Attached_File.pdf) may be used to separate a file name.

Required Attachments

The following attachments must be included with the application package and the failure to do so will cause the application package to be screened out.

a. **Abstract**: You must submit an up to two-page abstract summarizing the proposed project, including, but not limited to, the scope of the project and proposed outcomes. The proposed project must include the applicant's name, project title, a description of the area to be served, number of participants to be served, the total cost per participant, and the funding level requested. The Abstract is limited to two-page double-spaced single sided 8.5x11 inch pages with 12 point text font and 1 inch margins. Applicants must include: 1) a description of the overall program model, 2) the number of proposed male and female participants, including veterans, 3) the cost per participant, 4) the geographic area to be served, 5) the types of training provided and expected credential attainment, 6) a description of the CPC leadership team and its additional member organizations, 7) a description of the career pathway(s) and demand sector(s) chosen, 8) a description of the proposed outcomes/outputs of the project,
   When submitting in grants.gov, this document must be uploaded as an attachment to the application package and specifically labeled "Abstract."

Requested Attachments

The following attachments are requested, but their omission will not cause the application to be screened out. If the omission of the attachment will impact scoring, such an impact will be noted in the description of the attachment.

b. The Auditor's Report for the most recently completed independent audit, completed within three (3) years of the application due date.

c. **Indirect Cost Rate Agreement**: If you are requesting indirect costs based on a Negotiated Indirect Cost Rate Agreement approved by your Federal Cognizant Agency, then attach the most recently approved Agreement. (For more information, see Section IV.B.2. and Section IV.E.1.) This attachment does not impact scoring of the application.

d. Documentation from the Internal Revenue Service that verifies the applicant's non-profit 501(c)(3) status. All applicants must submit this verification even if the applicant is a current DOL grantee and documentation is assumed to be on file.

e. **Memoranda of Understanding and/or Letters of Commitment of CPC leadership team as discussed in Section IV.B.3 (in the "Project Design" section).** Omission of these documents will impact scoring.

f. **Memoranda of Understanding and/or Letters of Commitment of additional CPC member organizations, as discussed in Section IV.B.3 (in the "Project Design" section).** Omission of these documents will impact scoring.

g. Applicants applying for priority consideration must submit a certification (HUD Form 50153) signed by an authorized representative of the lead organization of a Promise Zone designated by HUD or the Department of Agriculture supporting the application.

h.   (For New Applicants Only) A performance chart that specifies the performance goals, report timeliness, and spending rate analysis information for a previous grant. In the chart, applicants must also provide the project grant number along with the name, title, organization, e-mail address, and telephone number of an individual from the previous grantor entity or agency who has oversight for the program.

C. Submission Date, Times, Process and Addresses
The closing date for receipt of applications under this Announcement is [*insert date XX days after date of publication of the one page 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. You 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 applications 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 application by DOL. Applicants submitting applications in hard copy are also required to include in the hard copy submission an identical electronic copy of the application on compact disc (CD). If discrepancies between the hard copy submission and CD copy are identified, the application on the CD will be considered the official applicant submission for evaluation purposes. Failure to provide identical applications in hardcopy and CD format may have an impact on the overall evaluation.

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

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

Mailed applications must be addressed to the U.S. Department of Labor, Employment and Training Administration, Office of Grants Management, Attention: Melissa Abdullah, Grant Officer, Reference FOA-ETA-15-07, 200

Constitution Avenue, NW, Room N4716, Washington, DC 20210. Mail delivery in the Washington DC area may be delayed due to mail decontamination procedures. Hand-delivered applications 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. You are strongly advised to initiate the process as soon as possible and to plan for time to resolve technical problems if necessary.   Note that validation does not mean that your application has been accepted as complete or has been accepted for review. Rather, grants.gov only verifies that certain parts of an application have been submitted.

We strongly recommend that before you begin to write the application, you should immediately initiate and complete the "Get Registered" registration steps at http://www.grants.gov/applicants/get_registered.jsp. You 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. We strongly recommend that you download the "Organization Registration Checklist" at http://www.grants.gov/documents/19/18243/OrganizationRegChecklist.pdf/fc7e7c18-2497-4b08-8d9b-bfac399947a3 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., you must have a DUNS Number and you must register with SAM before submitting an application.

The next step in the registration process is creating a username and password with Grants.gov to become an Authorized Organizational Representative (AOR). AORs will need to know the DUNS Number of the organization for which they will be submitting applications to complete this process. To read more detailed instructions for creating a profile on Grants.gov visit: http://www.grants.gov/web/grants/applicants/organization-registration/step-3-username-password.html

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/web/grants/applicants/organization-registration/step-4-aor-authorization.html, or to track AOR status visit: http://www.grants.gov/web/grants/applicants/organization-registration/step-5-track-aor-status.html

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. You must register the individual who is able to make legally binding commitments for your 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 later successfully validated will be considered. It is your sole responsibility 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, enough 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 enough 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. We will attempt to open the document, but will not take any additional measures in the event of problems with opening.

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/web/grants/applicants/applicant-faqs.html. http://www.grants.gov/applicants/applicant_faqs.jsp We encourage 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, you may subscribe to "Grants.gov Updates" at http://www.grants.gov/web/grants/manage-subscriptions.html

If you 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 p.m. Eastern Time on the closing date and then successfully validated will be considered. You take a significant risk by waiting to the last day to submit through Grants.gov.

Any hard copy application received after the exact date and time specified for receipt at the office designated in this notice will not be considered, unless it is received before awards are made, it was properly addressed, and it was: (a) sent by U.S. Postal Service mail, postmarked not later than the fifth calendar day before the date specified for receipt of applications (e.g., an application required to be received by the 20th of the month must be postmarked by the 15th of that month); or (b) sent by professional overnight delivery service to the addressee not later than one working day before the date specified for receipt of applications. ''Postmarked'' means a printed, stamped or otherwise placed impression (exclusive of a postage meter machine impression) that is readily identifiable, without further action, as having been supplied or affixed on the date of mailing by an employee of the U.S. Postal Service. Therefore, you should request the postal clerk to place a legible hand cancellation ''bull's eye'' postmark on both the receipt and the package. Failure to adhere to these instructions will be a basis for a determination that the application was not filed timely and will not be considered. Evidence of timely submission by a professional overnight delivery service must be demonstrated by equally

reliable evidence created by the delivery service provider indicating the time and place of receipt.

D. Intergovernmental Review

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

E. Funding Restrictions

All proposed project costs must be necessary and reasonable and in accordance with Federal guidelines. Determinations of allowable costs will be made in accordance with the Cost Principles, now found in the Office of Management and Budget's Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), codified at 2 CFR Part 200. Disallowed costs are those charges to a grant that the grantor agency or its representative determines not to be allowed in accordance with the Cost Principles or other conditions contained in the grant. Applicants, whether successful or not, will not be entitled to reimbursement of pre-award costs.

1. Indirect Costs

As specified in the Uniform Guidance 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 is required when an organization operates under more than one grant or other activity, whether Federally-assisted or not. You have two options to claim reimbursement of indirect costs.

Option 1: You may use a NICRA or Cost Allocation Plan (CAP) supplied by the Federal Cognizant Agency. If you do not have a NICRA/CAP or have a pending NICRA/CAP, and in either case choose to include estimated indirect costs in your budget, at the time of award the Grant Officer will release funds in the amount of 10% of salaries and wages to support indirect costs. Within 90 days of award, you are required to submit an acceptable indirect cost proposal or CAP to your Federal Cognizant Agency to obtain a provisional indirect cost rate. (See Section IV.B.4. for more information on NICRA submission requirements.)

Option 2: Any organization that has never received a negotiated indirect cost rate, with the exceptions noted at 2 CFR 200.414(f) in the Cost Principles, may elect to charge a de minimis rate of 10% of modified total direct costs (see 2 CFR 200.68 for definition) which may be used indefinitely. If you choose this option, this methodology must be used consistently for all Federal awards until such time as you choose to negotiate for an indirect cost rate, which you may apply to do at any time. (See 2 CFR 200.414(f) for more information on use of the de minimis rate.)

2. Administrative Costs

Under this FOA, an entity that receives a grant to carry out a project or program may not use more than 10 percent of the amount of the grant to pay administrative costs associated with the program or project. Administrative costs could be direct or indirect costs, and are defined at 20 CFR 667.220.[4] 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 recipient'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 or be eligible to use the 10% de minimis rate, as specified above.

3. Salary and Bonus Limitations

None of the funds appropriated under the heading "Employment and Training" in the appropriation statute(s) may be used by a recipient or subrecipient of such funds to pay the salary and bonuses of an individual, either as direct costs or indirect costs, at a rate in excess of Executive Level II. This limitation does not apply to contractors providing goods and services as defined in the Audit Requirements of the OMB Uniform Guidance (see 2 CFR 200 Subpart F). Where States are recipients of such funds, States may establish a lower limit for salaries and bonuses of those receiving salaries and bonuses from subrecipients of such funds, taking into account factors including the relative cost-of-living in the State, the compensation levels for comparable State or local government employees, and the size of the organizations that administer Federal programs involved including Employment and Training Administration programs. See Public Law 113-76, Division H, Title I, section 105, and Training and Employment Guidance Letter number 05-06 for further clarification:
http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2262.

4. Intellectual Property Rights

The Federal Government reserves a paid-up, nonexclusive and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use for Federal purposes: i) the copyright in all products developed under the grant, including a subaward or contract under the grant or subaward; and ii) any rights of copyright to which the recipient, subrecipient or a contractor purchases ownership under an award (including, but not limited to, curricula, training models, technical assistance products, and any related materials). Such uses include, but are not limited to, the right to modify and distribute such products worldwide by any means, electronically or otherwise. The recipient 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.

---

[4] This regulation implements the Workforce Investment Act of 1998 (WIA). As stated above in footnote 2, grants awarded under this solicitation are authorized under the WIA, and its terms apply for the length of the grant. These terms include implementing regulations such as this one.

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. Additionally, the Federal government has the right to require intellectual property developed under a competitive Federal award process to be licensed under a Creative Commons Attribution license. 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 recipient.

If applicable, and a Creative Commons Attribution license is not required, 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 recipient and does not necessarily reflect the official position of the U.S. Department of Labor. The U.S. Department of Labor makes no guarantees, warranties, or assurances of any kind, express or implied, with respect to such information, including any information on linked sites and including, but not limited to, accuracy of the information or its completeness, timeliness, usefulness, adequacy, continued availability, or ownership. This product is copyrighted by the institution that created it. Internal use by an organization and/or personal use by an individual for non-commercial purposes is permissible. All other uses require the prior authorization of the copyright owner."

5. Use of Grant Funds for Participant Wages
Organizations that receive grants through this FOA may 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 an allowable cost under this FOA.

F. Other Submission Requirements
Withdrawal of Applications: Applications may be withdrawn by written notice to the Grant Officer at any time before an award is made.

V. Application Review Information
A. Criteria
We have instituted procedures for assessing the technical merit of applications to provide for an objective review of applications and to assist you in understanding the standards against which your application will be judged. The evaluation criteria are based on the information required in the application as described in Sections IV.B.2. (Project Budget) and IV.B.3. (Project Narrative). Reviewers will award points based on the evaluation criteria described below:

Criterion	Points

	(maximum)
1. Statement of Need (See Section IV.B.3.a.(1) Statement of Need)	5
2. Expected Outcomes, and Outputs (See Section IV.B.3.a.(2) Expected Outcomes and Outputs)	6
3. Project Design (See Section IV.B.3.a.(3) Project Design)	50
4. Organizational, Administrative, and Fiscal Capacity (See Section IV.B.3.a.(4) Organizational, Administrative, and Fiscal Capacity)	15
5. Past Performance – Programmatic Capability (See Section IV.B.3.a.(5) Past Performance – Programmatic Capability)	19
6. Budget and Budget Justification (See Section IV.B.2. Project Budget)	5
TOTAL	100
Priority Consideration - Application has the support of the lead organization in a designated Promise Zone	2
Grand Total	102 max

1. Statement of Need (up to 5 points)

The extent to which the application demonstrates a comprehensive understanding of the need and the consequences of not addressing the need, based on the quantitative and qualitative information provided including:

•   The extent to which the applicant identifies the geographic area in which the project will be located and the name and location of each WRP in that area. (up to 2 points)

         The extent of the statistical justification of the target area as an urbanized area or an urban cluster with high poverty, high crime, and a high rate of recidivism as described and as instructed in the Statement of Need section. (1 point)

•   The extent to which the application statistically justifies the applicant's proposed number of participants to serve, this should describe the number of males and females (including veterans) that will be served by the project based on the individuals in WRPs in the previous year. (up to 2 points)

2. Expected Outcomes and Outputs (up to 6 points)

The extent to which the application describes how the expected outcomes and outputs are to be achieved and are comprehensive, realistic, clear, and consistent with the identified goals. (up to 6 points)

3. Project Design (up to 50 points)

The extent to which the application reflects a coherent and feasible approach for successfully administering a comprehensive career pathway(s) program through a CPC which outlines a plan of action that describes the scope and detail of how the proposed work will be accomplished with the identified outcomes and outputs, and includes reasonable timelines for completion of work. (up to 3 points)

The extent to which the applicant accounts for all functions and activities identified in the application and cite factors that might accelerate or decelerate the work and state the reason for taking the proposed approach rather than other approaches. (up to 3 points)

The extent to which the applicant describes its overarching career pathways program and includes all the key activities of the CPC along with the specific requirements for the Letter(s) of Commitment(s) and MOU(s) including:

- Assembling a Committed CPC leadership team and the extent to which the application describes how the team will be coordinated and engaged within the community and how they will encourage new organizations to join the Collaborative. (up to 5 points)
- Identifying Career Pathways In Demand Sector(s) that describes the process and resources used to identify the selected training program(s), the need for the selected career pathways program, and how the educational services that lead to industry recognized credentials fit within the career pathway(s). Include a plan for ensuring participants are moving on and/or up and along career pathways in demand sector(s) that meet the needs of the business community and produce participants with industry-recognized credentials. (up to 5 points)
- List and describe how other collaborative organizations will be engaged to support program implementation, including their specific areas of expertise and activities for which they will be responsible, the methods of referring participants and coordinating service delivery and the coordination of workforce services. (up to 5 points)
- The extent to which the applicant provides a clear, compelling model and approach to Using Evidence-Based Research to Inform Program Design and Practice and include how the applicant will handle problems and issues that arise during the strategic planning process, implementation of services, and long-term planning for the CPC. (up to 5 points)

- Participant-Level Services: Grantees must provide Case Management, Mentoring, Education, Workforce Activities that Lead to Employment, Occupational Training that Leads to Industry-Recognized Credentials for Demand Sector(s) and Occupation(s) in the State and Local Area, and Follow-Up Services for each of the six program components identified in the Project Design section. Applicants must describe in detail their program model and an integrated strategy for providing these services.

41

Applicants must also describe how they will account to the WRP for their participants' attendance for each of the program components and which services will be directly provided by the applicant and which services will be contracted or provided by program collaborators.

- Case management services:
  The extent to which the applicant provides a clear and compelling model of service delivery for the participants that must begin at the time of enrollment and throughout their participation in the program. This model must include how applicants will ensure the timely and comprehensive development of the ICP, to include linkages to supportive services, how active participation throughout all phases of the program will be accomplished along with proper documentation, and a description of how the participants will be assisted in developing career goals and career pathways options. (up to 4 points)

- Mentoring Services:
  The extent to which the applicant makes the case that their mentoring component will provide successful outcomes. Applicants must describe their strategy for mentor recruitment, if applicable, describe how other organizations may be involved in recruiting mentors for this project, the type of mentoring offered, how the mentor will engage with the participants, and the way mentors will be screened and trained and the method or tool used to match participants. (up to 4 points)

- Education Services:
  The extent to which the applicant makes the case that their educational component will provide successful outcomes. Applicants must describe all the types of educational support and services that will be offered, such as High school diploma or other State-recognized educational credential, credit retrieval, reading and math remediation, and tutoring and language instruction for those with limited proficiency. Applicants must identify if other institutions and/or organizations will offer these services, and describe their strategy for engaging participants in setting educational goals as a part of their ICP. (up to 4 points)

- Workforce Activities that Lead to Employment:
  The extent to which the applicant makes the case that their workforce component will provide successful outcomes. Applicants must clearly describe in detail how they will deliver the workforce development component, which includes: full or part-time work experience; on-the-job training (OJT); internships; vocational and occupational training opportunities; placement into registered apprenticeships; and unsubsidized full or part-time employment. Applicants must also describe how they will work with employers to ensure that training and other services result in employment for participants. (up to 4 points)

- Occupational Training that Leads to Industry-Recognized Credentials for Demand Sector(s) and Occupation(s) in the State and Local Area: The extent to which the applicant makes the case that their occupational training component will provide successful outcomes. Applicants must clearly describe in detail the training programs selected in their career pathway(s) program and provide data to support how the labor market information on the demand sectors chosen will lead industry-recognized credentials suitable for the participants that will be served. Applicants must describe how these industry-recognized training programs will be implemented, the duration of these training programs, the type of credentials that will be attained by the participants, and how the training selected will be integrated into existing career development efforts. (up to 4 points)
- Follow-Up Services: The extent to which the applicant makes the case that their follow-up component will provide successful outcomes. Applicants must describe and detail how they will ensure follow-up services will be provided for a minimum of nine months during the grant performance period. These services should include the type of contact along with the frequency and intervals with the participants and a feedback mechanism that the leadership team will use to refine the career pathway and ensure ongoing improvements to maximize the participant's success. (up to 4 points)

4. Organizational, Administrative, and Fiscal Capacity (up to 15 points)
The extent to which the applicant demonstrates it has the capacity to carry out the proposed project and have experience working with returning citizens. The level of qualifications and experience of personnel to fulfill the needs and requirements of the proposed project. (up to 5 points)
The extent to which the application demonstrates that organizations in the CPC have the capacity to carry out their responsibilities in the proposed project and that the leadership team has or shares similar systems, policies, and practices that will enable them to work effectively together. (up to 5 points)

The strength of the fiscal and administrative controls to properly manage Federal funds. The capability of the organization to sustain project activities after Federal financial assistance ends. (up to 5 points)

5. Past Performance – Programmatic Capability (up to 19 points)

PREVIOUSLY-FUNDED APPLICANTS
1. Past Performance (Up to 19 points)
a) Performance Goals:
   1. Placement in Education or Employment (Maximum 4 points):
- Previously-funded applicants with placement rates of 60.00 percent or higher will receive 4 points for this subsection.

- Previously-funded applicants with placement rates of 55.00 percent - 59.99 percent will receive 3 points for this subsection.

- Previously-funded applicants with placement rates of 45.00 percent - 54.99 percent will receive 2 points for this subsection.

- Previously-funded applicants with placement rates of 35.00 percent - 44.99 percent will receive 1 point for this subsection.

- Previously-funded applicants with placement rates of 34.99 percent or below will receive 0 points for this subsection.

2. Certificate/Degree Attainment (Maximum 4 points):
- Previously-funded applicants with weighted certificate/degree attainment rates of 60.00 percent or higher will receive 4 points for this subsection.

- Previously-funded applicants with weighted certificate/degree attainment rates of 55.00 percent – 59.99 percent will receive 3 points for this subsection.

- Previously-funded applicants with weighted certificate/degree attainment rates of 45.00 percent - 54.99 percent will receive 2 points for this subsection.

- Previously-funded applicants with weighted certificate/degree attainment rates of 35.00 percent - 44.99 percent will receive 1 point for this subsection.

- Previously-funded applicants with weighted certificate/degree attainment rates of 34.99 percent or below will receive 0 points for this subsection.

b) Spending Rate Analysis (Maximum 5 points):
During the original period of performance:
- Previously-funded applicants that expended 98 percentof the grant funds for their most recently completed grant will receive 5 points.

- Previously-funded applicants that expended at least 90 percent but less than 98percent of the grant funds for their most recently completed grant will receive 4 points.

- Previously-funded applicants that expended at least 80 percent but less than 90 percent of the grant funds for their most recently completed grant will receive 3 points.

- Previously-funded applicants that expended at least 70 percent but less than 80 percent of the grant funds for their most recently completed grant will receive 1 points.

- Previously-funded applicants that expended less than 70 percent of their grant funds for their most recently completed grant will receive 0 points.

c) Timeliness of Report Submissions (Maximum 3 points):
- Previously-funded applicants that submitted all four quarterly performance and financial reports on or before the due date will receive 3 points.

- Previously-funded applicants that submitted a complete set of quarterly reports (quarterly performance and financial reports) for three of the four quarters on or before the due date will receive 1 points.

- Previously-funded applicants that did not submit a complete set of quarterly reports (quarterly performance and financial reports) for at least three quarters on or before the due date will receive 0 points.

d) Fiscal Viability (Maximum 3 points):
- Previously-funded applicants that provide an auditor's report with an Unqualified Opinion will receive 3 points.

- Previously-funded applicants that provide an auditor's report with a Qualified Opinion will receive 1 point.

- Previously-funded applicants that provide an auditor's report with an Adverse Opinion, with a Disclaimer of Opinion or no Opinion will receive 0 points for this sub-criterion.

NEW APPLICANTS
1. Past Performance (Up to 19 points)
All new applicants must provide grantor contact information on the performance chart attachment. Applicants that do not provide this information will receive 0 points for subsections a-c below.
a) Performance Goals (Maximum 8 points)
- New applicants that met or exceeded both performance goals for their most recently completed grant will receive 8 points for this subsection.

45

- New applicants that met or exceeded one performance goal but did not meet the other performance goal will receive 4 points for this subsection.

- New applicants that did not meet either performance goal will receive 0 points for this subsection.

b) Report Timeliness (Maximum 3 points)
- New applicants that submitted all required reports on time for their most recently completed grant will receive 3 points.

- New applicants that submitted reports (or sets of reports, if applicable) on time for three (3) of the last four (4) quarters for their most recently completed grant will receive 1 point.

- New applicants that submitted reports (or sets of reports, if applicable) on time for fewer than three (3) of the last four (4) quarters for their most recently completed grant will receive 0 points.

c) Spending Rate Analysis (Maximum 5 points)
During the original period of performance:
- New applicants that expended 98 percent or more of the grant funds for their most recently completed grant will receive 5 points.

- New applicants that expended at least 90 percent but less than 98 percent of the grant funds for their most recently completed grant will receive 4 points.

- New applicants that expended at least 80 percent but less than 90 percent of the grant funds for their most recently completed grant will receive 3 points.

- New applicants that expended at least 70 percent but less than 80 percent of the grant funds for their most recently completed grant will receive 1 point.

- New applicants that expended less than 70 percent of the grant funds for their most recently completed grant will receive 0 points.

d) Fiscal Viability (Maximum 3 points):
- New applicants that provide an auditor's report with an Unqualified Opinion will receive 3 points.

- New applicants that provide an auditor's report with a Qualified Opinion will receive 1 point.

- New applicants that provide an auditor's report with an Adverse Opinion, a Disclaimer of Opinion, or no Opinion will receive 0 points for this sub-criterion.

6. Budget and Budget Justification (up to 5 points)

The extent to which the budget is reasonable based on the activities outlined in the project narrative. (up to 5 points)

<u>Priority Consideration (2 points)</u>

An application that has the support of the lead organization in a designated Promise Zone as evidenced by HUD Form 50153 will be awarded two priority consideration points.

B. Review and Selection Process

1. Merit Review and Selection Process

A technical merit review panel will carefully evaluate applications against the selection criteria to determine the merit of applications. These criteria are based on the policy goals, priorities, and emphases set forth in this FOA. Up to 102 points may be awarded to an applicant, depending on the quality of the responses provided. The final scores (which may include the mathematical normalization of review panels) will serve as the primary basis for selection of applications for funding. The panel results are advisory in nature and not binding on the Grant Officer. The Grant Officer reserves the right to make selections based solely on the final scores or to take into consideration other relevant factors when applicable. Such factors may include the geographic distribution of funds and/or other relevant factors, such as ensuring that a mix of male and female returning citizens is served. The Grant Officer may consider any information that comes to his/her attention.

NOTE: The Department will determine if the applicant had any restriction on spending for any ETA grant due to adverse monitoring findings within the past three years. Depending on the severity of the findings, the Grant Officer may elect to not fund the applicant for a grant award.

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.

2. Risk Review Process

Prior to making an award, ETA will review information available through any OMB-designated repository of governmentwide eligibility qualification or financial integrity information, such as Federal Awardee Performance and Integrity Information System (FAPIIS), Dun and Bradstreet, and "Do Not

Pay." Additionally, ETA will comply with the requirements of 2 CFR Part 180 codified by DOL at 29 CFR Part 98 (Governmentwide Debarment and Suspension (Nonprocurement)). This risk evaluation may incorporate results of the evaluation of the applicant's eligibility (application screening) or the quality of its application (merit review). If ETA determines that an entity is responsible and an award will be made, special conditions that correspond to the degree of risk assessed may be applied to the award. Criteria to be evaluated include:

(1) Financial stability;

(2) Quality of management systems and ability to meet the management standards prescribed in the Uniform Grant Guidance;

(3) History of performance. The applicant's record in managing awards, cooperative agreements, or procurement awards, if it is a prior recipient of such Federal awards, including timeliness of compliance with applicable reporting requirements and if applicable, the extent to which any previously awarded amounts will be expended prior to future awards;

(4) Reports and findings from audits performed under Subpart F – Audit Requirements of the Uniform Grant Guidance or the reports and findings of any other available audits and monitoring reports containing findings, issues of non-compliance or questioned costs;

(5) The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on recipients.

VI. Award Administration Information

A. Award Notices

All award notifications will be posted on the ETA Homepage (http://www.doleta.gov). Applicants selected for award will be contacted directly before the grant's execution.   Non-selected applicants will be notified by mail or email and may request a written debriefing on the significant weaknesses of their application.

Selection of an organization as a recipient does not constitute approval of the grant application as submitted. Before the actual grant is awarded, we 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.

 We reserve the right to not fund any application related to this FOA.

B. Administrative and National Policy Requirements

1. Administrative Program Requirements

All grantees will be subject to all applicable Federal laws, regulations—including the OMB Uniform Guidance, and the terms and conditions of the award. The grant(s) awarded under this FOA will be subject to the following administrative standards and provisions:

a. Non-Profit Organizations, Educational Institutions, and State, Local and Indian Tribal Governments – 2 CFR Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards)
b. Profit Making Commercial Firms – Federal Acquisition Regulation (FAR) – 48 CFR part 31 (Cost Principles), and 2 CFR Part 200 (Administrative Requirements).
c. All 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.[5] Note that 20 CFR part 667 (general fiscal and administrative rules) includes unsuccessful applicant appeal information.
d. All entities must comply with 29 CFR Part 93 (New Restrictions on Lobbying), 29 CFR Part 94 (Governmentwide Requirements for Drug-Free Workplace (Financial Assistance)), 29 CFR Part 98 (Governmentwide Debarment and Suspension, and drug-free workplace requirements), and, where applicable, 2 CFR Part 200 (Audit Requirements).
e. 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.
f. 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.
g. 29 CFR Part 32—Nondiscrimination on the Basis of Handicap in Programs or Activities Receiving Federal Financial Assistance.
h. 29 CFR Part 35— Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance from the Department of Labor.
i. 29 CFR Part 36—Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance.
j. 29 CFR Part 37 – Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Investment Act of 1998.
k. 29 CFR Parts 29 and 30—Labor Standards for the Registration of Apprenticeship Programs, and Equal Employment Opportunity in Apprenticeship and Training, as applicable.
l. General Terms and Conditions of Award—See the following link: http://www.doleta.gov/grants/pdf/15StandTermsConds.pdf
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

_____

[5] Please see above footnotes regarding the applicability of the Workforce Investment Act of 1998 and its implementing regulations.

maintain that hiring practice even though Section 188 of the Workforce Investment Act[6] 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 2 CFR 200.450 for more information).

c. Transparency Act Requirements
You must ensure that you 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:
- Except for those excepted from the Transparency Act under sub-paragraphs 1, 2, and 3 below, you must ensure that you have the necessary processes and systems in place to comply with the subaward and executive total compensation reporting requirements of the Transparency Act, should they receive funding.
- Upon award, you will receive detailed information on the reporting requirements of the Transparency Act, as described in 2 CFR Part 170, Appendix A, which can be found at the following website: http://edocket.access.gpo.gov/2010/pdf/2010-22705.pdf

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

(1) Federal awards to individuals who apply for or receive Federal awards as natural persons (i.e., unrelated to any business or non-profit organization he or she may own or operate in his or her name);

(2) Federal awards to entities that had a gross income, from all sources, of less than $300,000 in the entities' previous tax year; and

(3) Federal awards, if the required reporting would disclose classified information.

d. Safeguarding Data Including Personally Identifiable Information (PII)

_____

[6] Please see above footnotes regarding the applicability of the Workforce Investment Act of 1998.

50

Applicants submitting applications in response to this FOA 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 an application, you 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 and TEGL NO. 39-11 (issued June 28, 2012). All such activity conducted by ETA and/or recipient/s will be performed in a manner consistent with applicable state and Federal laws.

By submitting a grant application, you agree 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. You must ensure that PII and sensitive data developed, obtained, or otherwise associated with DOL/ETA funded grants is securely transmitted.

2. To ensure that such PII is not transmitted to unauthorized users, all PII and other sensitive data transmitted via e-mail or stored on CDs, DVDs, thumb drives, etc., must be encrypted using a Federal Information Processing Standards (FIPS) 140-2 compliant and National Institute of Standards and Technology (NIST) validated cryptographic module. You must not e-mail unencrypted sensitive PII to any entity, including ETA or contractors.

3. You 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. You must maintain such PII in accordance with the ETA standards for information security described in TEGL NO. 39-11 and any updates to such standards we provide to you. If you wish to obtain more information on data security should contact their Federal Project Officer.

4. You must ensure that any PII used during the performance of your grant has been obtained in conformity with applicable Federal and state laws governing the confidentiality of information.

5. You further acknowledge that all PII data obtained through your ETA grant must be stored in an area that is physically safe from access by unauthorized persons at all times and the data will be processed using recipient 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-recipient managed IT services, e.g., Yahoo mail, is strictly prohibited unless approved by ETA.

6. Your employees and other personnel who will have access to sensitive/confidential/proprietary/private data must be advised of the confidential nature of the information, the safeguards required to protect the information, and that there are civil and criminal sanctions

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

7. You must have policies and procedures in place under which your 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.

8. You must not extract information from data supplied by ETA for any purpose not stated in the grant agreement.

9. 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.

10. 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.

11. PII data obtained by the recipient through a request from ETA must not be disclosed to anyone but the individual requestor except as permitted by the Grant Officer or by court order.

12. You 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 you are complying with the confidentiality requirements described above. In accordance with this responsibility, you must make records applicable to this Agreement available to authorized persons for the purpose of inspection, review, and/or audit.

13. You 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, you agree that all data will be destroyed, including the degaussing of magnetic tape files and deletion of electronic data.

e. Record Retention

You must be prepared to follow Federal guidelines on record retention, which require you to maintain all records pertaining to grant activities for a period of at least three years from the date of submission of the final expenditure report. See 2 CFR 200.333-.337 for more specific information, including information about the start of the record retention period for awards that are renewed quarterly or annually, and when the records must be retained for more than three years.

f. Use of Contracts and Subawards

You must abide by the following definitions of contract, contractor, subaward, and subrecipient:

Contract: Contract means a legal instrument by which a non-Federal entity (defined as a state, local government, Indian tribe, institution of higher education (IHE), nonprofit organization, for-profit entity, foreign public entity, or a foreign organization that carries out a Federal award as a recipient or subrecipient) purchases property or services needed to carry out the project or program under a Federal award. The term as used in this FOA does not include a legal instrument, even if the non-Federal entity considers it a contract, when the substance of the transaction meets the definition of a Federal award or subaward (see definition of Subaward below).

Contractor: Contractor means an entity that receives a contract as defined above in Contract.

Subaward: Subaward means an award provided by a pass-through entity (defined as a non-Federal entity that provides a subaward to a subrecipient to carry out part of a Federal program) to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

Subrecipient: Subrecipient means a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program; but does not include an individual that is a beneficiary of such program. A subrecipient may also be a recipient of other Federal awards directly from a Federal awarding agency.

You must follow the provisions at 2 CFR 200.330-.332 regarding subrecipient monitoring and management. Also see 2 CFR 200.308(c)(6) regarding prior approval requirements for subawards. When awarding subawards, you are required to comply with provisions on governmentwide suspension and debarment found at 2 CFR Part 180 and codified by DOL at 29 CFR Part 98.

g. Closeout of Grant Award

Any entity that receives an award under this Announcement must close its grant with ETA at the end of the final year of the grant.   Information about this process may be found in ETA's Grant Closeout FAQ located at http://www.doleta.gov/grants/docs/GCFAQ.pdf.

3. Other Administrative Standards and Provisions

Except as specifically provided in this FOA, our acceptance of an application 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 Uniform Guidance requires that an entity's procurement procedures ensure that all procurement transactions are conducted, as much as practical, to provide full and open competition. If an application identifies a specific entity to provide goods or services, the award does not provide the justification or

basis to sole source the procurement, i.e., avoid competition.

4. Special Program Requirements
a. ETA Evaluation
The Department of Labor may initiate a formal evaluation of programs or models supported by this grant. By accepting grant funds, grantees agree to participate in the evaluation, which may include analysis of the impact on individuals, using either experimental designs (lotteries or random assignment) or non-experimental designs, should they be selected, including making records on participants, employers, and funding available and providing access to program operating personnel and participants, as specified by the evaluator(s) under the direction of ETA, including after the period of operation.

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 about future grants with ETA.

C. Reporting
You must agree to meet DOL reporting requirements. Quarterly financial reports, quarterly progress reports, and MIS data must be submitted by the recipient electronically. You must agree 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. On the final Financial Status Report, you must include any subaward amounts so we can calculate final indirect costs, if applicable. You must use DOL's Online Electronic Reporting System and information and instructions will be provided to grantees.

2. Quarterly Performance Reports
You must submit a quarterly progress report within 45 days after the end of each calendar year quarter. The report must include quarterly information on grant activities, performance goals, and milestones. The last quarterly progress report 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 that you used. We will provide you 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.

VII. Agency Contacts

For further information about this FOA, please contact Brinda Ruggles, Grants Management Specialist, Office of Grants Management, at (202) 693-3437. Applicants should e-mail all technical questions to T2W3@dol.gov and must specifically reference FOA-ETA-15-07, and along with question(s), include a contact name, fax and phone number. This Announcement is being made available on the ETA Web site at http://www.doleta.gov/grants and at http://www.grants.gov.

VIII. Other Information

A. Transparency

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

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

PII is any information that can be used to distinguish or trace an individual's identity, such as name, social security number, date and place of birth, mother's maiden name, or biometric records, and any other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information.[7]

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

---

[7] 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.

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 <u>waiver</u> of the applicant's objection to the posting of any proprietary or confidential business information contained in the Abstract. Additionally, the applicant is responsible for obtaining all authorizations from relevant parties for publishing all PII contained within the Abstract. In the event the Abstract contains proprietary or confidential business information or PII, the applicant is presumed to have obtained all necessary authorizations to provide this information and may be liable for any improper release of this information.

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

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

1. We encourage you 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: https://www.workforce3one.org/find/?sr=1&ps=20&sort=5.

2. We encourage you 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.

3. We 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. We encourage you to review these resources by visiting http://strategies.workforce3one.org/.

4. We 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, Cost Principles, and Accrual Accounting.

E. Reentry Resources

The Council of State Governments (CSG) Justice Center, in collaboration with the Center for Employment Opportunities, the Departments of Labor and Justice, and the Annie E. Casey Foundation recently released a white paper on integrating reentry and employment strategies using a resource allocation and service-matching tool. The white paper introduces the Resource Allocation and Service-Matching Tool, which is based on two key dimensions—an individual's risk of reoffending (criminogenic risk) and job readiness. There are four groupings that result from assessing individuals under correctional control along these dimensions. Each group can be assigned a combination of employment program components and service delivery strategies that are tailored to individuals' risk for criminal activity and complemented by corrections interventions. For more information on this tool, the white paper can be found at: http://csgjusticecenter.org/wp-content/uploads/2013/09/Final.Reentry-and-Employment.pp_.pdf.

F. Women and Reentry

National Institutes of Corrections (NIC) maintains a number of web-based resources that may be of assistance to applicants. Information may be accessed at http://nicic.gov/?q=women+reentry.

IX. OMB Information Collection

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

58

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 ANNOUNCEMENT.

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

Signed _____, in Washington, D.C. by:
Melissa Abdullah
Grant Officer, Employment and Training Administration