U.S. DEPARTMENT OF LABOR
Employment and Training Administration

NOTICE OF AVAILABILITY OF FUNDS AND FUNDING OPPORTUNITY ANNOUNCEMENT FOR:
Senior Community Service Employment Program (SCSEP) National Grants for Program Year (PY) 2020

ANNOUNCEMENT TYPE: *Initial*

FUNDING OPPORTUNITY NUMBER: *FOA-ETA-20-09*

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER: *17.235*

KEY DATES: *The closing date for receipt of applications under this Announcement is* **[XX days after the date of publication on Grants.gov]**. We *must receive applications no later than* ***4:00:00 p.m. Eastern Time***.

ADDRESSES: *Address mailed applications to:*

> ***The U.S. Department of Labor***
> ***Employment and Training Administration, Office of Grants Management***
> ***Attention: Donna Kelly, Grant Officer***
> ***Reference FOA-ETA-20-09***
> ***200 Constitution Avenue, NW, Room N4673***
> ***Washington, D.C. 20210***

For complete application and submission information, including online application instructions, please refer to Section IV.

A prospective applicant webinar will be available online. Please visit https://olderworkers.workforcegps.org/ and look under "Announcements" for more information. While review of the webinar is not mandatory, we strongly encourage prospective applicants to view the webinar.

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EXECUTIVE SUMMARY

The Employment and Training Administration (ETA), U.S. Department of Labor (DOL, or the Department, or we), announces the availability of approximately $312 million in grant funds authorized by Title V of the Older Americans Act (OAA), as amended (42 USC §3056 et seq.) for the Senior Community Service Employment for Older Americans program commonly referred to as the Senior Community Service Employment Program (SCSEP), for National Grants for Program Year (PY) 2020.

This Funding Opportunity Announcement (FOA) is being issued for eligible SCSEP PY 2020 National applicants to compete for SCSEP National funding. SCSEP is the only Federally-sponsored employment and training program targeted specifically to low-income older individuals who seek to enter or re-enter the workforce. Program participants receive paid work experience at local public or non-profit agencies and are paid the higher of the Federal, State, or local minimum wage; or the most nearly comparable wage for similar employment; for approximately 20 hours per week while in community service assignments and other job training (OAA Amendments § 502(b)(1)(J); 20 CFR 641.565(a)). The dual goals of the program are to promote useful opportunities through work experience training in community service activities and to move SCSEP participants into unsubsidized employment.

To be eligible for funds under this grant program, an applicant must be a non-profit organization, Federal public agency, or Tribal organization that has the ability to administer a multi-State program.

We anticipate awarding approximately 10-22 grants ranging from $2 million to $50 million each under this FOA. Awards made under this announcement are subject to the availability of Federal funds.

This grant is renewable annually for a total of four years based on annual Departmental application requirements and subject to the availability of funds. The grant may be extended for a fifth year at the Department's discretion, contingent upon the grantee meeting or exceeding the minimum negotiated performance measures, as required by section 514(a) of the OAA Amendments and 20 CFR 641.700.

I.   FUNDING OPPORTUNITY DESCRIPTION

A.   PROGRAM PURPOSE

This Announcement solicits applications for the Senior Community Service Employment Program for Program Year (PY) 2020. The purpose of this program is to move SCSEP participants into unsubsidized employment in both the public and private sectors, promote part-time work experiences in community service assignments for unemployed low-income individuals who are 55 years of age or older, and foster self-sufficiency among such individuals.

Applicants must have a clear service delivery model that will enable eligible individuals to successfully participate in the program and achieve these program goals, as identified in the participant's Individual Employment Plan (IEP), which must include an appropriate employment goal for each participant, taking into consideration each participant's skills, barriers, and location.

A core feature of SCSEP is the placement of participants with significant barriers to employment in a Community Service Assignment (CSA), which is part-time, temporary employment paid with grant funds in projects at host agencies. Through these placements, participants are engaged in community service activities and receive work experience and job skills training that should lead to unsubsidized employment. Participants are able to gain valuable skills, increase their confidence to re-enter the workforce, and earn income while assisting local organizations to provide needed services within the community.

In conjunction with the CSA, grantees provide or arrange for additional training and supportive services that will facilitate a participant's ability to reach the program and employment goals identified in the IEP. The type of training and supportive services that grantees provide vary based on the needs and goals of individual participants, but in general, SCSEP grantees must have service delivery strategies that are designed to effectively prepare participants for placement into unsubsidized employment. In devising such strategies, SCSEP grantees must take into account the job requirements of in-demand occupations in their communities, identify skill gaps and other barriers to employment among the SCSEP-eligible population, design training curriculum that addresses the identified skill gaps, and design supportive services that enable participants to participate in the program and sustain unsubsidized employment.

SCSEP grantees also must have sound strategies for placing participants into unsubsidized employment. Such strategies must include effective methods for developing and maintaining strong relationships with employers, conducting job development activities, and carrying out job search assistance activities. In addition to strategies to address the participant's employment goals, the IEP should reflect, as appropriate, other approaches to help the participant achieve self-sufficiency, including referrals to other services or programs.

The Department strives for as many participants as possible to achieve unsubsidized employment, recognizing that SCSEP participants have a broad range of skill sets, interests, and barriers to employment. Under this FOA, to enable a higher portion of SCSEP participants to achieve their goal of unsubsidized employment, the Department is particularly interested in applicants that propose innovative, holistic solutions to address the needs of those SCSEP participants who have significant barriers to employment. The Department expects applicants to propose effective strategies to:
1) assess the participant pool and identify those participants whose IEPs contain a goal of unsubsidized employment and who can achieve that goal with additional support and training;
2) address barriers to employment such as disability, limited English proficiency, or low literacy skills; and
3) actively assist those participants with obtaining unsubsidized employment.

The Department specifically encourages applicants to propose strategies for providing practical, short-term training opportunities for in-demand occupations that utilize on-the-job experience (OJE) or skill-specific training as a way for participants to transition from a CSA to unsubsidized employment. At the same time, the Department also expects applicants to propose effective strategies and services to help participants achieve other aspects of self-sufficiency, as identified in their IEPs.

Program success is measured by the extent to which grantees meet or exceed the seven core performance measures outlined in Section 513 of the 2016 OAA (42 USC §3056k) and 20 CFR §641.710 of the SCSEP regulations. Section VI of this FOA explains how ETA will establish the performance goals for national grantees under this FOA. Grantees that fail to achieve 80 percent of their aggregate goals for a given year are required to complete a corrective action plan. In addition, a grantee that fails to make satisfactory progress in meeting its performance goals may receive additional conditions of award for the subsequent grant year that specify the necessary improvements required for the grantee to comply with its grant.

For more information about the SCSEP program, please visit the following link: https://doleta.gov/seniors/ and review 20 CFR Part 641.

B.   **PROGRAM AUTHORITY**

Title V of the Older Americans Act of 1965 (OAA), as amended (42 U.S.C. §3056, et seq.) authorizes this program.

II.   **AWARD INFORMATION**

A.   **AWARD TYPE AND AMOUNT**

Funding will be provided in the form of a grant.

We expect availability of approximately $312 million to fund approximately 10–22 grants, including statutory set-asides for at least one award to an Indian/Native American organization and at least one award to an Asian and Pacific Islander organization, as required by section 506(a)(3) of the OAA, as amended, (42 USC §3056d). Applicants for these statutory set-asides will hereafter be referred to as "set-aside applicants" and applicants for other national grant funding will be referred to as "general applicants". 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.

1. General Applicants

a) Maximum Request for Funding

General applicants may apply for up to $50 million and must apply to provide services in more than one state.

b) Minimum Request for Funding

In order to deliver services more efficiently, we have instituted a minimum funding level for this FOA, consistent with the prior SCSEP competitions.[1]

- Applicants must apply for at least 10 percent of a state's authorized positions or $1,600,170 (which equates to a minimum of 165 positions), whichever is larger;
- If a state has fewer than 165 positions (such as Idaho, Nevada, New Hampshire, New Mexico, and Wyoming), the applicant must apply for the entire state.
  - o Example 1: Organization A submits an application to provide services in a State with 165 or fewer available positions. Organization A must apply for all of the available positions in the State.

  - o Example 2: Organization B submits an application to provide services in a larger State with 4,080 available positions but only wants to operate in one particular county that has 158 positions. Organization B must meet the minimum funding requirement, which in this case is 10 percent of the state's authorized positions, or 408 positions ($3,956,784). In order to apply for the 158 positions in the desired county, Organization B must also apply for another 250 positions in any contiguous counties to meet the minimum State funding requirement of 408 positions In this example, the only other contiguously-located counties are entitled to 81, 131, and 62 positions respectively. Therefore, Organization B would also apply to serve all 81, 131, and 62 positions in those contiguous counties, in addition to the 158 positions in the desired county, to meet (or, in this case, exceed) the minimum State funding requirements.

- We encourage applicants to apply for at least 20-25 percent of a state's allocation for maximum operational efficiency, but grantees will not be penalized for failing to do so.

c) Additional Bidding Requirements

In conjunction with the minimum request for funding, applicants must adhere to the following requirements when bidding for authorized positions:

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[1] These requirements are based on the national grantees' share of the total SCSEP appropriation of $405,000,000. By statute national grantees receive 78 percent of the total SCSEP appropriations while the remaining 22 percent is reserved for State formula funded programs, which are not included in this FOA.

- Applicants must apply for all of the authorized positions in a county, (see item 5 of this section for instructions on calculating funds based on positions).[2]
- Applicants may request positions in multiple counties in a state, but the counties requested must be contiguous.
- An applicant may apply for more than one group of contiguous counties in a state, such as in larger states, but each group of contiguous counties must meet the minimum State funding requirements.
- Applicants must list their requests for locations and number of positions by county and State through an online application. The online application and instructions are located at www.SCSEPapply.org. The online application shows all national-grantee authorized positions by county and provides a mechanism for grantees to bid electronically on those authorized positions. DOL will review each applicant's final bid in SCSEPapply.org when making final determinations about the allocation of authorized positions among grantees.

2.   Set-Aside Applicants

a)   Maximum Request for Funding
Set-aside applicants may apply for up to $5,498,766 or 567 authorized positions.[3]

b)   Minimum Request for Funding
There is no minimum funding request by state or county, and set-aside applicants may indicate the number of positions they propose to serve in each county, without regard to contiguity. Although set-aside applicants are exempt from these requirements, they should consider program management and effectiveness when selecting states and counties to bid on. A set-aside applicant that chooses to serve a small number of authorized positions in counties that are not contiguous may have challenges running an effective program.

3.   Equitable Distribution
The Department ensures that SCSEP services are provided equitably within each State through an Equitable Distribution (ED) plan, in accordance with Section 507 of the OAA. We use census data by county and annual program appropriations to calculate the number of authorized positions that are allocated to each county in each State. The number of authorized positions for State grantees and national grantees combined is proportional to the number of eligible people (age 55 and over, and at or under 125 percent of the Federal Poverty Level) in the county compared to the eligible State population. For every authorized position, one or more individuals can receive services during the program year. Grantees may *only* enroll participants who reside in a county in which they have authorized positions.

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[2] We may award two or more grants in a large county that has more than 165 positions. For those large counties, the applicant may apply for a portion of the county, but if that portion does not meet the 10 percent or 165 position State minimum, the applicant must also apply for surrounding contiguous counties.

[3] Equivalent to the total amount of funding available for Indian/Native American or Asian and Pacific Islander set-aside organizations.

4. Location of Authorized Positions

The number of authorized positions by county and state is listed at www.SCSEPapply.org. We determine the allocation of authorized positions among the States and the proportion within each State allocated to national grantees by the process described in section 506 of the OAA as amended, (42 USC §3056d).[4] Because all counties in each state must receive an equitable share of SCSEP services through a combination of services provided by national grantees and State grantees, we suggest you consult with the State grantees regarding which specific geographic areas you wish to serve.

We may require you to serve one or more counties that you did not identify in your application, or to accept fewer or more positions in a county than you requested. We reserve the right to make final decisions on the grantees in an area and may take into consideration special local conditions and otherwise unforeseen circumstances, including combining metropolitan areas across State borders to ensure effective and efficient service delivery and to ensure that all counties are equitably served.

5. Fund Calculation Formula

Applicants can calculate the estimated amount of funds allocated to a State by county using the "cost per authorized position" formula in section 506(g)(1) of the OAA, as amended [42 USC §3056d(g)(1)]. Calculations must be based on the number of authorized positions for PY 2020 as a result of equitable distribution, rather than the number of enrolled participants that currently exists in the county. The unit cost is approximately $9,698 per authorized position per 12-month period, based on the Federal minimum wage.[5]

Example: A county has 61 available authorized positions. Therefore, the amount of funding for a 12-month period would be $9,698 x 61 = $591,578. (Please note again that the cost per position is an estimate. However, it is a useful tool for applicants to determine their funding request under this proposal).

B. PERIOD OF PERFORMANCE

This grant is renewable annually for a total of 4 years based on annual Departmental application requirements and subject to the availability of funds, with an anticipated award date of July 1, 2020. The grant may be extended for a fifth year at the Department's discretion, contingent upon the grantee meeting or exceeding the minimum negotiated performance measures, as required by section 514(a) of the OAA Amendments and 20 CFR 641.700. This performance period

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[4] Please note that national grant funds are not allocated for the States of Alaska, Delaware, and Hawaii, and for the territories of American Samoa, Guam, Northern Marianas Islands, and the U.S. Virgin Islands.

[5] This amount represents the total funding allocated for each authorized position (exclusive of the 10% grantee match), including administrative costs. Applicants should multiply this amount by the number of authorized positions in the county as listed in the SCSEPED.org Authorized Positions by State tables. A higher State minimum wage does not impact the position funding calculation, but we do take this into account in performance measure calculations. The reduced position count used in the performance measures is shown in the modified position tables in SCSEPED.org.

includes all necessary implementation and start-up activities. We anticipate having a 4-month transition phase from approximately July 1, 2020 to October 31, 2020, in which SCSEP participants will be transitioned from previous grantees to the new awardees, as necessary. Successful applicants would thus begin direct service to participants in their awarded counties on November 1, 2020. The dates of this transition period are subject to change based on the actual date of award.

III.   ELIGIBILITY INFORMATION

A.   ELIGIBLE APPLICANTS

The following organizations are eligible to apply:

- Nonprofit Organization[6]
- Federal Public Agencies[7]
- Tribal Organizations[8]

The eligible applicant agency or organization must demonstrate its ability to administer a multi-State program, as specified in Section IV.B.4.a (5). We reserve the right to award a grant to only one applicant per State, and to award an applicant funds to serve only one State. This does not, however, permit an applicant to apply to provide services in only one State.

For the purpose of this FOA:
- New applicants are those entities that do not, at the time of application, currently operate an ETA-funded SCSEP program as a grantee. Current SCSEP sub-grantees that do not also currently have a direct award from DOL as a National grantee may only submit their applications as new applicants.
- Current grantees are those entities that, at the time of application, currently operate a direct, ETA-funded SCSEP program as a grantee.

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[6] "Nonprofit organization" is an agency, institution, or organization which is, or is owned and operated by, one or more corporations or associations no part of the net earnings of which inures, or may lawfully inure, to the benefit of any private shareholder or individual (42 U.S.C. § 3002(39)).
[7] Federal agencies must demonstrate that they have the statutory authority to receive other Federal grant funds (also known as gift authority) – see Section IV.B.4.a(4).
[8] "Tribal organizations" are the recognized governing body of any Indian tribe, or any legally established organization of Indians which is controlled, sanctioned, or chartered by such governing body[42 USC 3002 (54) and 20 CFR 641.140]. "Indian tribe" means any tribe, band, nation, or other organized group or community of Indians (including Alaska Native village or regional or village corporation as defined in or established pursuant to the Alaska Native Claims Settlement Act) which (A) is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians; or (B) is located on, or in proximity to, a Federal or State reservation (P.L. 89-73 § 102(27) and 20 CFR 641.140).

B. APPLICATION CATEGORIES

There are three categories for which an applicant may apply to receive a grant under this FOA. Applicants applying for more than one category must submit separate applications for each. Please note that regardless of the category selected, all successful applicants are required to serve any eligible individual within the awarded counties and States. Applicants may apply to receive a grant under one or more of the following three categories:

1. General National Grant Funds

The Department will accept applications for general SCSEP national grant funds from Federal public agencies, nonprofit organizations and tribal organizations.

Applicants must start the descriptive title of application project in block 15 of the SF-424 form with the word "General" and explicitly state in the application that they are applying for general SCSEP national grant funds.

2. Indian[9]/Native American Set-Aside Grant Funds

We will accept applications for "national grants to public or nonprofit national Indian/ Native American aging organizations with the ability to provide community service work-based training for eligible individuals who are Indians," as required by 42 USC §3056d. The regulations interpret the word "national" in the previous sentence to mean that these set-aside grants are a sub-set of general national SCSEP grants. See 20 CFR §641.400(a), 20 CFR §641.410(b), and 20 CFR §641.140, definition of "National grantee." Therefore, as with general national SCSEP grant applicants, applicants for these set-aside grants must show that they are capable of administering a multi-State program. However, there is no need to show that they are capable of administering a program that serves in every part of the nation. 20 CFR §641.400(a).

Applicants must start the descriptive title of application project in block 15 of the SF-424 form with the words "Indian/Native American" and explicitly state in the application that they are applying for Indian/Native American SCSEP national grant funds.

3. Asian and Pacific Islander[10], Set-Aside Grant Funds

We will accept applications for Asian and Pacific Islander national grant funds from public or nonprofit Asian and Pacific Islander aging organizations with the ability to provide community service work-based training to older Asian Americans and Pacific Islanders, as required by 42 USC §3056d. As with the Indian/ Native American set-aside discussed above, please note that

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[9] "Indian" is a person who is a member of an Indian tribe [42 USC 3002(26) and 20 CFR 641.140)].

[10] "Asian American and Pacific Islander" means individuals having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands [42 USC 3056p(6)].

the regulations interpret the word "national" in the previous sentence to mean that these set-aside grants are a sub-set of the general national SCSEP grants. See 20 CFR §641.400(a), 20 CFR §641.410(b), 20 CFR §641.140, definition of "National grantee." Therefore, as with general national SCSEP grant applicants, applicants for these set-aside grants must show that they are capable of administering a multi-State program. However, there is no need to show that they are capable of administering a program that serves in every part of the nation. 20 CFR §641.400(a).

Applicants must start the descriptive title of application project in block 15 of the SF-424 form with the words "Asian and Pacific Islander" and explicitly state in the application that they are applying for Asian American and Pacific Islander SCSEP national grant funds.

C.   OTHER ELIGIBILITY REQUIREMENTS

All applicants must also meet the eligibility and responsibility requirements detailed in 20 CFR 641.

D.   COST SHARING OR MATCHING

This program requires cost sharing (20 CFR §641.809). Such funds may be in the form of cash or in-kind contributions or a combination of the two and must be, at a minimum, equal to ten percent of the total cost of activities carried out under a SCSEP grant. Any resources contributed to the project in addition to cost share funds will be considered leveraged resources. Section IV.B.2 provides more information on leveraged resources. Applicants must identify intended sources of this non-Federal share in the Budget Narrative. Grantees will be financially responsible if they fail to meet the cost-share requirement and compliance with that requirement will be determined by examining expenditures of SCSEP funds in accordance with 20 CFR 641.876. The cost share requirement must be met at the time that all SCSEP funds have been expended by the grantee or by the period of performance end date. Some applicants may qualify for an exemption from the non-Federal share requirements. Please see Section IV.B.4.a)(6) for more information.

E.   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 not 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.

Application Requirement	Instructions	Complete?
The deadline submission requirements are met	Section IV.C	
Eligibility	Section III.A	
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.2	
Application federal funds request does not exceed the ceiling amount of $50 million	Section II.A	
SAM Registration	Section IV.B.1	
SF-424, Application for Federal Assistance	Section IV.B.1	
SF-424 includes a DUNS Number and lists the cost share amount on line 18b.	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	
General applicants have submitted their plans to the Governors of all States in which they intend to operate SCSEP and have attached a copy of the certified mail receipts to the application.	Section IV.B.4.a).(1)	
Bids for authorized positions submitted on SCSEPapply.org by the application closing deadline	Section II.A.	
Copy of statutory provision (Federal agencies only)	Section IV.B.4.a).(2)	
Non-Federal Share Exemptions (if applicable)	Section IV.B.4.a).(3)	

2. Number of Applications Applicants May Submit

Applicants may submit applications in the set-aside (Indian/Native American, or Asian and Pacific Islander) and general categories; thus, applicants may submit up to three separate applications to DOL, but they may only submit one application in each category. If multiple applications in one category are received, the most recent application submitted will be accepted. If the most recent application is disqualified for any reason, we will not replace it with an earlier application.

3. Eligible Participants

a) Participants Eligible to Receive Training

The intent of this FOA is to fund projects that provide services to eligible participants who have poor employment prospects, would benefit from unsubsidized employment in the public or private sector, and are not job-ready.[11] SCSEP-eligible individuals must:

- be age 55 or older;
- have an income of no more than 125 percent of the Federal poverty guidelines; and
- be unemployed at the time of enrollment.

When selecting eligible individuals for participation in the SCSEP, grantees and sub-recipients must give priority to individuals who have one or more of the following characteristics, as provided in 20 CFR 641.520:

- are 65 years of age or older;
- have a disability;
- have limited English proficiency
- have low literacy skills;
- reside in a rural area;
- are veterans (or eligible spouses of veterans) for purposes of the Jobs for Veterans Act, Pub. L. No. 107-288 (38 USC 4215(a));
- have low employment prospects;
- have failed to find employment after using services provided under the Workforce Innovation and Opportunity Act (WIOA) of 2014 (Pub. L. No. 113-128); or
- are homeless or at risk for homelessness.

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

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[11] "Job-ready" refers to individuals who only require job search assistance or job referral services, and "do not require further education or training to perform work that is available in their labor market". 20 CFR §641.140. Job-ready applicants must be referred to the American Job Centers for service.

this priority of service are 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 https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2816. You can also find more information regarding the SCSEP program and Veterans' Priority of Service at: https://olderworkers.workforcegps.org/resources/2014/06/28/01/42/veterans_priorty_of_service.

4.   Maintenance of Effort Requirements
A community service assignment for a SCSEP participant is permissible only when specific maintenance of effort requirements are met. Each project funded must not: (1) reduce the number of employment opportunities or vacancies that would otherwise be available to individuals not participating in the program; (2) displace currently employed workers (including partial displacement, such as a reduction in the hours of non-overtime work, wages, or employment benefits); (3) impair existing contracts or result in the substitution of Federal funds for other funds in connection with work that would otherwise be performed; or (4) employ or continue to employ any eligible individual to perform the same work or substantially the same work as that performed by any other individual who is on layoff (OAA § 502(b)(1)(G); 42 USC §3056(b)(1)(G)).

IV.   APPLICATION AND SUBMISSION INFORMATION

A.   HOW TO OBTAIN AN APPLICATION PACKAGE

This FOA, found at www.Grants.gov and https://www.doleta.gov/grants/find_grants.cfm, contains all of the information and links to forms needed to apply for grant funding.

B.   CONTENT AND FORM OF APPLICATION SUBMISSION

Applications submitted in response to this FOA must consist of four separate and distinct parts:

1. SF-424, "Application for Federal Assistance";
2. Project Budget, composed of the SF-424A and Budget Narrative;
3. Project Narrative; and
4. Attachments to the Project Narrative.

You must 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 https://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1.

- In the address field, fill out the nine-digit (plus hyphen) zip code. Nine-digit zip codes can be looked up on the USPS website at https://tools.usps.com/go/ZipLookupAction! input.action.

- 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, the signature of the Authorized Representative on the SF-424 certifies that the organization is in compliance with the Assurances and Certifications form SF-424B (available at https://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1). You do not need to submit the SF-424B with the application. The signature of the Authorized Representative on the SF-424 also certifies that the organization agrees to adhere to the programmatic assurances listed in Appendix B.

a)   Requirement for DUNS Number
All applicants for federal grant and funding opportunities must 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: https://fedgov.dnb.com/webform/displayHomePage.do.

Grant recipients authorized to make subawards must meet these requirements related to DUNS Numbers:
- Grant recipients must notify potential subawardees that no entity may receive a subaward unless the entity has provided its DUNS number.
- Grant recipients may not make a subaward to an entity unless the entity has provided its DUNS number.

(See Appendix A to 2 CFR Part 25.)

b)   Requirement for Registration with SAM
Applicants must register with the System for Award Management (SAM) before submitting an application. Find instructions for registering with SAM at https://www.sam.gov.

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 meets the eligibility criteria and has the legal authority to apply and to receive the award. If an applicant has not fully complied with these requirements by the time the Grant Officer is ready to make a federal award, the Grant Officer may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

c) Requirement to Bid on Authorized Positions
All applicants must enter their requested authorized positions (bids) into an online tool available at www.SCSEPapply.org (See Section II.A. for more information). Hard-copy requests for authorized positions will not be accepted.[12]

2. Project Budget
You must complete the SF-424A Budget Information Form (available at https://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1). In preparing the Budget Information Form, you must provide a concise narrative explanation to support the budget request, explained in detail below.

a) Budget Narrative
The Budget Narrative must provide a description of costs associated with each line item on the SF-424A. It must also include a section on the required match with a complete description of projected match, the source and how it will be spent on the project. The Budget Narrative should also include a section describing any leveraged resources provided (as applicable) to support grant activities. Leveraged resources are all resources, both cash and in-kind, in excess of this award and associated match. Valuation of leveraged resources follows the same requirements as match. Applicants are encouraged to leverage resources to increase stakeholder investment in the project and broaden the impact of the project itself.

Each category should include the total cost for the period of performance. Use the following guidance for preparing the Budget Narrative.

Personnel: List all staff positions by title (both current and proposed) including the roles and responsibilities. For each position give the annual salary, the percentage of time devoted to the project, and the amount of each position's salary funded by the grant.

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[12] The online tool shows all national grantee authorized positions by county, along with the current enrollment in those counties, and provides a mechanism for grantees to bid electronically on those authorized positions.

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

Travel: For grantee staff only, specify the purpose, number of staff traveling, 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 you expect to purchase that 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 item, quantity, and the unit cost per item.

Items with a unit cost of less than $5,000 are supplies, not "equipment." In general, we do not permit the purchase of equipment during the last funded year of the grant.

Supplies: Identify categories of supplies (e.g., office supplies) in the detailed budget and list the item, quantity, and the unit cost per item. Supplies include all tangible personal property other than "equipment" (see 2 CFR 200.94 for the definition of Supplies).

Contractual: Under the Contractual line item, delineate contracts and subawards separately. Contracts are defined according to 2 CFR 200.22 as a legal instrument by which a non-federal entity purchases property or services needed to carry out the project or program under a federal award. A subaward, defined by 2 CFR 200.92, means an award provided by a pass-through entity 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.

For each proposed contract and subaward, specify the purpose and activities to be provided, and the estimated cost.

Construction: Construction costs are not allowed and this line must be left as zero. Minor alterations to adjust an existing space for grant activities (such as a classroom alteration) may be allowable. We do not consider this as construction and you must show the costs on other appropriate lines such as Contractual.

Other: Provide clear and specific detail, including costs, for each item so that we are able to determine whether the costs are necessary, reasonable, and allocable. List items, such as stipends or incentives, not covered elsewhere.

See Section IV.E.6. for information regarding participant wages and fringe benefits minimum requirements. Please note that participant wages and fringe benefits should be allocated to the "Other" line item of the Budget Narrative.

Indirect Costs: If you include an amount for indirect costs (through a Negotiated Indirect Cost Rate Agreement or De Minimis) on the SF-424A budget form, then include one of the following:

a) If you have a Negotiated Indirect Cost Rate Agreement (NICRA), provide an explanation of how the indirect costs are calculated. This explanation should include which portion of each line item, along with the associated costs, are included in your cost allocation base. Also, provide a current version of the NICRA.

or

b) If you intend to claim indirect costs using the 10 percent de minimis rate, please confirm that your organization meets the requirements as described in 2 CFR 200.414(f). Clearly state that your organization has never received a Negotiated Indirect Cost Rate Agreement (NICRA), and your organization is not one described in 2 CFR 200, Appendix VII(D)(1)(b).

Applicants choosing to claim indirect costs using the de minimis rate must use Modified Total Direct Costs (see 2 CFR 200.68 below for definition) as their cost allocation base. Provide an explanation of which portion of each line item, along with the associated costs, are included in your cost allocation base. Note that there are various items not included in the calculation of Modified Total Direct Costs. See the definitions below to assist you in your calculation.

- **2 CFR 200.68 Modified Total Direct Cost (MTDC)** means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first $25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of $25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

  The definition of MTDC in 2 CFR 200.68 no longer allows for any sub-contracts to be included in the calculation. You will also note that participant support costs are not included in modified total direct cost. Participant support costs are defined below.

- 2 CFR 200.75 Participant Support Cost means direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with conferences or training projects.

See Section IV.B.4. and Section IV.E.1 for more information. Additionally, the following link contains information regarding the negotiation of Indirect Cost Rates at DOL:

https://www.dol.gov/agencies/oasam/centers-offices/business-operations-center/cost-determination.

Note that the SF-424, SF-424A, and Budget Narrative must only include the federal grant amount requested for the first year of the grant. Applicants must also show cost sharing or match on the SF-424 (line 18b), SF-424A, and Budget Narrative.

Do not show leveraged resources on the SF-424 and SF-424A. You should describe leveraged resources in the Budget Narrative.

Applicants should list the same requested federal grant amount on the SF-424, SF-424A, and Budget Narrative. If minor inconsistencies are found between the budget amounts specified on the SF-424, SF-424A, and the Budget Narrative, ETA will consider the SF-424 the official funding amount requested. However, if the amount specified on the SF-424 would render the application nonresponsive, the Grant Officer will use his or her discretion to determine whether the intended funding request (and match if applicable) is within the responsive range.

3.   **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 28 pages for current grantees and 32 pages for new applicants (28 or 32 double-spaced single-sided 8.5 x 11 inch pages with Times New Roman 12 point text font and 1-inch margins. You must number the Project Narrative beginning with page number 1. Please see Section III.A. for the definitions of "current grantee" and "new applicant".

We will not read or consider any materials beyond the specified page limit in the application review process.

The following instructions provide all of the information needed to complete the Project Narrative. Carefully read and consider each section, and include all required information in your Project Narrative. The agency will evaluate the Project Narrative 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.

Project Narrative Data (New for this FOA)
Under this FOA, you are required to incorporate and explain quantitative data as part of the written narrative responses for a number of rating factors, as indicated below. Incorporating such data will provide additional insight into how you propose to administer a SCSEP project

awarded under this FOA. Your explanation of the quantitative data should indicate the extent to which your narrative is grounded in actual experience, which is relevant to the review panelists' assessment of your likelihood of success in a particular project area.

Unlike in the "Past Performance" section of this FOA, you will not be rated specifically on your performance on these measures or on your variation from the aggregate program or nationwide performance. However, your score on the relevant rating factors will consider the extent to which you support your narrative responses utilizing the data, as explained in the specifications for "Supporting Data" in each relevant rating factor.

Please note that, similar to the "Past Performance" section of this FOA, current grantees and new applicants will take a different approach to submitting project narrative data. The Department has extracted current grantees' data from the SCSEP Performance and Results Quarterly Reporting (SPARQ) system and included it in Appendix A to this FOA, but new applicants will submit comparable data from their own data sets. Current grantees may submit additional relevant data if they wish. These approaches are explained in greater detail below:

- **CURRENT GRANTEES**
  Where indicated in the Project Narrative below, you must address the relevant data provided in Appendix A that is designated for the indicated rating factor.

  Appendix A lists and describes PY 2017 and PY 2018 measures extracted from SPARQ for relevant aspects of the rating factors listed below. The data for all national grantees in the aggregate, as well as the nationwide data, are presented for context. Your Authorized Organizational Representative will receive by email a workbook with the data for your own measures when you register on SCSEPapply.org. The names and numbers of the measures listed in the Project Narrative below are the same as those in Appendix A and the individual grantee workbooks. While not a requirement, you may also submit additional data as an attachment if the data are relevant to your answers. Additional data submitted will not count against the page limit for the Project Narrative.

- **NEW APPLICANTS**
  Where indicated in the Project Narrative below, please submit any relevant data from similar programs you have administered over the last two years; similar programs are those that comprehensively serve targeted populations with significant barriers to employment.[13]

  New Applicants are not expected to have data that mirror every measure in Appendix A for current grantees; the explanation of each measure in Appendix A contains instructions for new applicants about comparable data they should submit if available. In accordance with those instructions, provide whatever data you have that are relevant to the specific rating

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[13] Significant barriers to employment (as defined under "low employment prospects" in 20 CFR §641.140) may include but are not limited to: Lacking a substantial employment history, basic skills, and/or English-language proficiency; lacking a high school diploma or the equivalent; having a disability; being homeless; or residing in socially and economically isolated rural or urban areas where employment opportunities are limited.

factor indicated in the Project Narrative below. Provide any information necessary for an understanding of the data you submit. Use a table, similar to the tables in Appendix A, which displays the data you reported for each of the last two years of the relevant program in one column and aggregate data, if available, from other providers of the same program at a state or national level in an additional column or columns.

If you do not have any relevant data, please explain why. The absence of any relevant data may affect your score.

You must also submit with your attachment your self-certification of the accuracy and completeness of the data (Appendix A). The certification should include:
- Program name;
- Program funder and contact information;
- The source of the data;
- The dates the data cover;
- Whether the data were submitted to the program's funder; and
- If the data are publicly available and if so, where.

Data must be submitted as an attachment to the relevant portions of your Project Narrative and labeled "Project Narrative Data." These attachments will not count against the page limit for the Project Narrative. For additional information regarding this attachment, please review Section IV.B.4(b)2.

a) Statement of Need (up to 2 points)

To receive full points under this rating factor, you must demonstrate, in both quantitative and qualitative terms, the need for assistance for the SCSEP-eligible population in your chosen geographic area. Specifically, you must:

- Clearly identify your proposed service area and describe the socio-economic and demographic characteristics relevant to SCSEP that you considered when making your bid on specific counties.
- Provide a complete description of the community service needs of the proposed service area, and identify community service assignments that you will target for SCSEP participants.
- Provide a detailed description of the current economic conditions and future employment outlook of the proposed service area, including identification of the growth or high-demand industries or occupations you will target for community service assignments and/or unsubsidized employment opportunities for SCSEP participants.

b) Project Design (up to 26 points)

Applicants must incorporate the following program design elements that will address the unique needs of the targeted population and proposed service area(s):

(1) Evidence-Informed Strategies for Working with Existing Workforce Partners, Employers, and Employer Associations (up to 10 points)

To receive full points under this rating factor, you must convincingly demonstrate how you will effectively work with existing workforce partners, employers, and employer associations by thoroughly addressing the following specifications:

- Describe a strong plan to leverage existing relationships and/or develop new relationships with existing workforce partners (including, in particular, business services teams at American Job Centers (AJC)), employers to determine their employment needs, and describe how you will help them hire older workers from your SCSEP program.   Provide at least one example of how you have done so in the past.
- Clearly describe your evidence-informed strategies, and cite the evidence for those strategies, for utilizing employer-based activities to help participants attain their employment goals, while at the same time, address the needs of employers. Some of these activities may include but are not limited to:
    - o Using on-the-job experience (OJE) and skill-specific training;
    - o Inviting employers to provide input on your SCSEP program design; and
    - o Encouraging employers to prioritize hiring qualified SCSEP participants into job openings.
- Describe how you will effectively utilize job developers (or similar role) to find appropriate employment opportunities and assist participants in obtaining unsubsidized employment.
- *Supporting Data:* To support the narrative responses to the above specifications, follow the instructions in Section IV.3, "Project Narrative Data" above. In doing so:
    - o Use the data in Appendix A (Current Grantees) or provide relevant data (New Applicants);
    - o Explain how your performance on the measures support (or do not support) your responses to the above specifications; and
    - o Explain how your performance under a new award would be similar to your performance on the measures or improved upon.

    For this rating factor, use the following data:
    - o Measure 1, Employers with multiple placements;
    - o Measure 2, Placements with the same employer in 2nd and 4th quarters after exit quarter;
    - o Measure 3, Grantees' direct assistance with placements; and
    - o Measure 4, Placements due to OJE.

(2) Recruiting and Managing Host Agencies (up to 8 points)

To receive full points under this rating factor, you must demonstrate your ability to successfully recruit and effectively manage host agencies by thoroughly addressing the following specifications:

- Describe a clear strategy to maintain strong relationships with current host agencies (if applicable) and/or recruit new host agencies that can provide an appropriate array of training opportunities for participants that will assist them in becoming job ready. These host agencies should be committed to: assisting participants in gaining soft skills, removing barriers, and preparing participants for success in the workplace.
  o If you are proposing to serve smaller, rural counties, describe how you will overcome barriers to recruiting host agencies in those geographically hard to serve counties.
- Clearly demonstrate how you will ensure the community service assignments provided are consistent with participants' IEPs and training needs to attain their employment and other goals.
- *Supporting Data:* To support the narrative responses to the above specifications, follow the instructions in Section IV.3, "Project Narrative Data" above. In doing so:
  o Use the data in Appendix A (Current Grantees) or provide relevant data (New Applicants);
  o Explain how your performance on the measures support (or do not support) your responses to the above specifications; and
  o Explain how your performance under a new award would be similar your performance on the measures or improved upon.

  For this rating factor, use the following data:
  o Measure 5, New host agencies;
  o Measure 6, Average assignments per participant;
  o Measure 7, SCSEP staff's understanding of host agency business needs, based on survey results; and
  o Measure 8, Placements into unsubsidized employment with host agencies.

(3) Evidence-Informed Strategies for Providing High-Quality Service to Participants (up to 8 points)

To receive full points under this rating factor, you must convincingly demonstrate your ability to provide quality service to participants by thoroughly addressing the following specifications:
- Describe a comprehensive and feasible plan to recruit SCSEP participants and the roles that AJCs, and any other partners, will play in the recruitment of eligible participants.
  o Include in your plan factors that might inhibit the recruitment of eligible participants, including veterans, minorities, Indians or Native Americans, and others that possess at least one of the priority characteristics (see Section III.E.3. for priority characteristics) and provide feasible solutions to overcome those recruitment challenges.
- If serving areas with substantial populations with barriers to employment, explain how you will give special consideration to organizations with demonstrated expertise in serving minorities and individuals with barriers to employment when selecting sub-

recipients. If you are providing services directly, describe how you will effectively serve minorities and individuals with significant barriers to employment.

- Describe your proposed evidence-informed strategies, and cite the evidence for those strategies, for providing an appropriate array of supportive services and describe how your choice of these services will enable participants to engage in the program. See 20 CFR section 641.545 for a discussion of supportive services.
- Detail any potential barriers, including disabilities, to moving participants into unsubsidized employment and include an effective strategy to overcome those barriers.
  - o An effective strategy will describe your plan for meeting participants' IEP goals before they reach their Individual Durational Limit (IDL) of 48 months.
- Thoroughly explain how you will coordinate services with existing partners and develop new partners to help defray, provide at no cost or at a fair and reasonable cost, supportive services necessary to enable participants to engage in employment-related activities.
  - o Supportive services may include but are not limited to: transportation, health and medical services, special job-related or personal counseling, incidentals such as work shoes, badges, uniforms, tools, etc.
- Detail your effective strategy to ensure participants will receive an initial comprehensive assessment, and a reassessment at least twice every 12-months, to develop and maintain their IEPs.
  - o Clearly identify how training activities and host agency job rotations will be consistent with participants' IEPs.
- Describe your evidence-informed strategies, and cite the evidence for those strategies, for providing general training, specialized training, or OJE, outside of the community service assignment, while the participants are engaged in the program, and describe how your choice of this training will help participants obtain unsubsidized employment and become self-sufficient.
- *Supporting Data:* To support the narrative responses to the above specifications, follow the instructions in Section IV.3, "Project Narrative Data" above. In doing so:
  - o Use the data in Appendix A (Current Grantees) or provide relevant data (New Applicants);
  - o Explain how your performance on the measures support (or do not support) your responses to the above specifications;
  - o Explain how your performance under a new award would be similar to your performance on the measures or improved upon.

For this rating factor, use the following data:
- o Measure 9, Average time in assignment for all participants and for minorities;
- o Measure 10, Employment outcomes for participants with disabilities and for all participants;

o Measure 11, Staff's understanding of participant employment interests and needs, based on survey results; and
o Measure 12, IEPs not updated timely.

c) Organizational, Administrative, and Fiscal Capacity (up to 22 points)

Scoring under this section will be based upon how well you address the following rating factors:

(1) Capacity to Manage Core Organizational Functions and Program Operations (up to 4 points)

To receive full points under this rating factor, you must describe and demonstrate your capacity to effectively manage SCSEP, or similar, program functions and operations by addressing the following specifications:

- Include a comprehensive organizational chart and staffing plan (as attachments) that demonstrate that the time key staff dedicated to SCSEP will be sufficient to ensure effective program direction, fiscal management, and reporting for the program. Applicants without key staff already in place must describe the qualifications and experience that they will require for key positions.[14]
  o These positions should align with key staff positions listed in the Budget Narrative.
  o The staffing plan must include a description of each staff member's roles and responsibilities on the project, relevant background, and experience with SCSEP or a similar program.
- Clearly demonstrate your capacity to effectively manage program operations internally and through sub-recipients and local staff, if applicable, including identifying a plan for efficient communication regarding policies and procedures for SCSEP, data collection, program performance, participant services, and fiscal management.
- Identify the type and frequency of substantive training that internal program staff and sub-recipients will receive on program policy, DOL guidance and directives, performance, and fiscal reporting. Explain how this choice of training and frequency is based on the needs of program staff and sub-recipients and will provide them with the skills needed to successfully run the program.
- Clearly describe your process and schedule for monitoring sub-recipients and/or local projects to ensure they are meeting program requirements. Describe your monitoring tools and procedures and explain how they will help you track sub-recipients' operations against performance objectives and financial requirements effectively.
- Describe how your tracking systems will effectively mitigate issues of performance, data collection, or fiscal management (internally and/or for sub-recipients) and if issues do occur, how you will appropriately enforce corrective actions.
  o Describe your system to track forecasted and actual enrollment in conjunction with forecasted and actual participant wages and fringe benefits.

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[14] "Key staff" are individuals who provide programmatic, fiscal, performance, and management functions.

o Describe how your tracking systems will help ensure that the grant is managed to provide adequate and consistent hours in CSA for participants, serve the maximum number of participants possible, and avoid under-spending or over-spending.

o Describe at least one instance where you, a sub-recipient, and/or local project have needed to improve performance on a performance measure. Detail the steps you took to address this situation and what results were achieved.

- Provide a clear and reasonable strategy to continue services for participants (such as supportive services, community service assignment, etc.) and maintain accurate reporting systems when facing unexpected challenges, e.g., due to a natural disaster.

(2) Capacity to manage data (up to 8 points)

To receive full points under this rating factor, you must describe your capacity to collect and manage data in a way that ensures consistent, accurate, and expeditious reporting as required by the Department, by addressing the following specifications:

- Describe your capability to effectively use SCSEP's case-management system (including your past experience in using similar systems) and to ensure the validity and accuracy of the data. Specifically:

  o *New applicants* must explain how you will use SCSEP's case management system to track performance data, how you will ensure the accuracy and timeliness of data entry, your current process for conducting data validation and ensuring the quality of the data you collected and reported for similar programs over the last two program years, and how you have used your past data collection to improve data reporting or program implementation.

  o *Current grantees* must explain how you have used/will use SCSEP's case management system to track performance data; describe in detail your history of timeliness and accuracy, including your rejection rate for the last two years; describe whether or not you have completed SCSEP data validation for the past two years; and explain how you have used the results of the data validation process to improve data collection and reporting and/or program implementation.

- *Supporting Data:* To support the narrative responses to the above specifications, follow the instructions in Section IV.3, "Project Narrative Data" above. In doing so:

  o Use the data in Appendix A (Current Grantees) or provide relevant data (New Applicants);

  o Explain how your performance on the measures support (or do not support) your responses to the above specifications; and

  o Explain how your performance under a new award would be similar to your performance on the measures or improved upon.

  For this rating factor, use the following data:

  o Measure 16, Data validation error rate;

  o Measure 17, Participant safety consultations not conducted timely; and

o   Measure 18, Undone case management follow-ups.

(3)   Financial Capacity and Stability (up to 6 points)
To receive full points under this rating factor, you must thoroughly and convincingly demonstrate your capacity to run a SCSEP program and your ability adjust to potential changes in funding by addressing the specifications below:

- Clearly demonstrate your financial capacity to administer SCSEP by providing evidence of strong accounting systems, fiscal controls, and previous grant fund management, and a review of audited financial statements. Include detailed descriptions of:
    o   Your capacity for start-up of financial activities early in the project;
    o   The fiscal controls you have in place for auditing and accountability procedures, including fiscal management information systems;
    o   Your accounting system's present ability to handle multiple funding streams;
    o   Your system to track planned expenditures that will allow you to compare actual expenditures and accrued expenses in real time to planned or estimated expenditures; and
    o   Your system to track forecasted and actual enrollment in conjunction with forecasted and actual participant wages and fringe benefits.
- Describe your past experience in effectively implementing a new program or handling an increase in funding for an existing program, and how that experience can assist you to administer a successful program under this award.
- Demonstrate a strong plan to respond to potential reductions in funding while minimizing disruption to participants. Provide an example of when you have successfully overcome this challenge in the past (or would improve upon in the future), if applicable.

(4)   Reporting and Audits (up to 4 points)
To receive full points under this rating factor, you must thoroughly and convincingly satisfy the specifications below:

- Thoroughly describe your fiscal reporting procedures and audits. Include detailed descriptions of:
    o   The timeliness of your quarterly fiscal and program reporting for SCSEP and/or other projects, if applicable;
    o   Your ability to make participant financial data available to the Department (e.g., timesheets, receipts);
    o   How you ensure that all grant funds are spent throughout the program year in an efficient manner.
    o   The number and type of audit findings you have had in the past three years and a thorough explanation of how you have addressed, or are in the process of addressing, the findings. Include your most recent audited financial statements

and, if applicable, the accompanying management letter as attachments. See Section IV.B.4.b).
- Clearly describe strategies for how you will prevent fraud or criminal activity within your organization and how you will prevent any serious administrative deficiencies (such as deficiencies with monitoring activity results and submitting timely reports to the Department).

d) Partnerships (up to 14 points)
To receive full points under this rating factor, you must thoroughly and convincingly satisfy the specifications below:
- Demonstrate that you have strong relationships in place with key partners that will support relevant SCSEP project activities.
  - o Provide evidence of these partnerships by attaching to the application Memoranda of Understanding, Memoranda of Agreement, and/or signed Letters of Commitment (not simply letters of support) that describe the relationship and the roles and responsibilities of each party (these attachments do not count against the page limit for the Project Narrative).
  - o Describe how you will manage these relationships over time, including how key project staff will maintain regular communication with partners.
- Demonstrate that you have an appropriate mix of partners to effectively support the proposed activities under the project. At minimum, you must explain how you will leverage partnerships with Area Agencies on Aging and AJCs in order to maximize training, supportive services, and employment opportunities for participants. Other key partners may include, but are not limited to, educational institutions – especially community colleges, vocational rehabilitation, adult education - employers, and others within and outside the public workforce system.
- *Supporting Data:* To support the narrative responses to the above specifications, follow the instructions in Section IV.3, "Project Narrative Data" above. In doing so:
  - o Use the data in Appendix A (Current Grantees) or provide relevant data (New Applicants);
  - o Explain how your performance on the measures support (or do not support) your responses to the above specifications; and
  - o Explain how your performance under a new award would be similar to your performance on the measures or improved upon.

  For this rating factor, use the following data:
  - o Measure 19, Participants co-enrolled with partner programs; and
  - o Measure 20, Supportive services provided during CSAs by the grantee without partner contribution.

e)   Budget and Budget Justification (up to 4 points)

To receive full points under this rating factor, you must thoroughly and convincingly satisfy the specifications below through your Budget and Budget Narrative (see Section IV.B.2 for more detailed information on the required content of the Project Budget):

- Demonstrate, through the Budget Narrative, that the budget is reasonable and feasible based on the activities proposed in the Project Narrative, including that key personnel will have an appropriate amount of time devoted to the project to achieve project results, and that the budget will appropriately support the training activities and supportive services eligible participants will receive while engaged in the program.
- Describe, in the Budget Narrative, costs associated with each line item on the SF-424A. The Budget Narrative must meet the requirements in Section IV.B.2, and must align with the totals on the SF-424A.
- Describe, in the Budget Narrative, the projected match funds expenditures, delineated by the same expenditure categories. The Budget Narrative should also include a description of leveraged resources that will be provided (as applicable) to support grant activities.

f)   Past Performance – Programmatic Capability (up to 32 points)

Section 514(c) of the OAA [42 USC §3056l(c)] requires that grants be awarded on the basis of prior performance. Current SCSEP grantees do not write a narrative about past performance as they will be evaluated based on SPARQ data in the following areas. New applicants must describe prior performance in a comparable program and provide detailed data on performance, in the following areas:

(1)   Unsubsidized employment
(2)   Prior Performance on SCSEP Core Measures (in Aggregate) and Additional Measures
(3)   Community service employment
(4)   Greatest number served and most-in-need (see definition below in sub-section (1))

Refer to Section IV.B.4.b. (Special Program Requirements – Performance Goals) for a detailed description of the SCSEP performance measures for PY 2019.

Criteria (1), (3), and (4) measure actual performance in absolute terms, while criterion (2) addresses performance compared to negotiated goals for the core measures and actual performance on the customer satisfaction measures for PY 2017. Detailed directions follow:

(1)   Unsubsidized Employment (up to 13 points)

We will consider your past performance in administering a SCSEP grant, in the case of current grantees, or a similar grant in the case of all other applicants or by whatever evidence applicants without grant experience can provide. For current SCSEP grantees, except where otherwise noted, we will use the relevant data from the SPARQ system for PY 2017 and PY

2018; PY 2019 data will not be used because the year is in progress. (For the SCSEP Minority Report, the last two years available will be used.)

Current Grantees Only:
Please do not submit any data for this element, as we will use the data in SPARQ to assess the following factors.

    i. Placement into unsubsidized employment
- o The average actual performance on the entered employment rate (PY 2017) and the rate of employment in the second quarter after the exit quarter (PY 2018);
- o The average actual performance on the employment retention rate (PY 2017) and the rate of employment in the fourth quarter after the exit quarter (PY 2018);
- o Participant customer satisfaction survey, average score on Question 7 ("helped me obtain supportive services to meet my employment goals");
- o Participant customer satisfaction survey, average score on Question 18 ("helped prepare me for success in workforce"); and
- o Participant customer satisfaction survey, average score on Question 19 ("helped me in finding employment").

    ii. Placement into unsubsidized employment for participants who are most-in-need and minorities
- o The average most-in-need rate of individuals who entered employment (PY 2017) or achieved employment in the second quarter after the exit quarter (PY 2018); and
- o The average entered employment rate (PY 2017) and the rate of employment in the second quarter after exit (PY 2018) for minorities.

New Applicants Only:
Describe in detail your experience placing participants, including those who are hardest to serve, into unsubsidized employment. Your description must provide the data specified under each factor, and you must certify the accuracy and completeness of the data submitted. Your self-certification should include:
- Program name;
- Program funder and contact information;
- The source of the data;
- The dates the data cover;
- Whether the data were submitted to the program's funder; and
- If the data are publicly available and, if so, where.

Wherever the data exist, please answer with regard to the three two most recently completed program years.

    i. Placement into unsubsidized employment

- o The average actual performance on the common measures entered employment rate, rate of employment in the second quarter after the exit quarter, or a similar measure;
- o The average actual performance on the common measures employment retention at 6 months, the rate of employment in the fourth quarter after the exit quarter, or a similar measure;
- o Responses to surveys of participants that indicate the program helped the participant obtain needed supportive services, helped prepare the participant for success in the workplace, and provided help in finding employment; and
- o Other relevant information
  ii. Placement into unsubsidized employment for participants who are most-in-need
- o The average of number of the specified barriers to employment, or other characteristics that render them most-in-need, of individuals who entered employment or achieved employment in the second quarter after the exit quarter. (See list of barriers in sub-section (a) above); and
- o The average rate of entered employment or employment in the second quarter after the exit quarter for minorities.

(2) Prior Performance on SCSEP Core Measures (in Aggregate) and Additional Measures (up to 7 points)

We will consider your past performance in meeting or your ability to meet the negotiated goals for the SCSEP core measures or comparable performance measures applicable to your program. We will consider past performance in administering a SCSEP grant, in the case of current grantees, or a similar grant, in the case of all other applicants. For current SCSEP grantees, we will use the relevant data from SPARQ for PY 2017 and PY 2018; PY 2019 data will not be used because the year is in progress.

Current Grantees Only:

Please do not submit any data for this element, as we will use the data in SPARQ to assess the following factors.

- o Average aggregate percent of goal on the SCSEP core measures for PY 2017 and 2018, calculated based on the following measures:[15]
  - ▪ PY 2017
    - Community Service
    - Common Measures Entered Employment
    - Common Measures Employment Retention
    - Common Measures Average Earnings
    - Service Level

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[15] Note that, consistent with the Department's evaluation of SCSEP grantees' PY 2018 performance, the calculation of aggregate percent of goal for PY 2018 does not include the three employment-based measures. As explained in the preamble to the 2018 SCSEP Performance Accountability Final Rule (83 FR 36407), the Department decided to treat PYs 2018 and 2019 as baseline years for which targets, rather than goals, were assigned for those three measures.

- Service to Most in Need
  - PY 2018
    - Service Level
    - Community Service
    - Service to Most in Need
    - Effectiveness in Serving Employers, Participants, and Host Agencies
  o Participant customer satisfaction survey, average score on PY 2017 American Customer Satisfaction Index (ACSI); and
  o Host agency customer satisfaction survey, average score on PY 2017 American Customer Satisfaction Index (ACSI).

New Applicants Only:
Describe in detail your ability to meet the SCSEP core measures of performance by describing your performance on comparable performance measures applicable to your program. The description must present data on your past performance, if any, in administering any State- or Federally-funded employment and training, community service, or comparable program. The description must provide the data specified under each factor, you must certify the accuracy and completeness of the data. The certification should include:
- Program name;
- Program funder and contact information;
- The source of the data;
- The dates the data cover;
- Whether the data were submitted to the program's funder; and
- If the data are publicly available and, if so, where.

Wherever the data exist, please answer with regard to the two most recently completed program years.

   iii. Ability to address the SCSEP core measures
  o Data on measures of placement, entered employment, employment in the second quarter after the exit quarter, employment retention at 6 months, employment in the fourth quarter after the exit quarter, average earnings, and median earnings, if available. Please provide the definition of each measure provided, including the numerator and denominator;
  o Percentage of goals achieved, as established by the funder, for all reported performance measures, if available;
  o Customer satisfaction of program participants, if available; and
  o Customer satisfaction of organizations providing community service, training sites, or similar opportunities, if available.

(3) Community Service Employment (up to 7 points)
We will consider your past performance in administering a SCSEP grant, in the case of current grantees, or a similar grant in the case of all other applicants with grant experience, or by

whatever comparable evidence is provided by applicants without grant experience. For current SCSEP grantees, we will use the relevant data from SPARQ and from the customer satisfaction surveys for PY 2017 and PY 2018; PY 2019 data will not be used because that year is still in progress.

Current Grantees Only:
Please do not submit any data for this element, as we will use the data in SPARQ and from customer satisfaction surveys to assess the following factors.

i. Community service assignments that are geographically convenient and appropriate for participants
   o Participant customer satisfaction survey, average score on Question 10 (assignment convenient); and
   o Participant customer satisfaction survey, average score on Question 8 (someone I can talk to at my assignment).
ii. Ability to engage host agencies and contribute to the general welfare
   o Host agency customer satisfaction survey, average score on Question 8 (participants were a good match);
   o Host agency customer satisfaction survey, average score on Question 15 (ability to provide services);
   o Host agency customer satisfaction survey, average score on Question 11 (program stayed in touch to make sure assignment went well); and
   o The average actual performance on the community service measure.

New Applicants Only:
Describe in detail your experience administering a program comparable to SCSEP in its complexity and duration that provides community service or employment and training assignments, such as on-the-job training or longer-term work experiences, for eligible individuals in the communities in which the individuals reside, or in nearby communities, "that will contribute to the general welfare of the community." Your description must provide the data specified under each factor, and you must certify the accuracy and completeness of the data. Your self-certification should include:
   • Program name;
   • Program funder and contact information;
   • The source of the data;
   • The dates the data cover;
   • Whether the data were submitted to the program's funder; and
   • If the data are publicly available and, if so, where.
Wherever the data exist, please answer with regard to the two most recently completed program years.

i. Community service or training site assignments that are geographically convenient and appropriate for participants

  o Responses to surveys of participants, or other relevant information, that indicate the opportunity provided was appropriate, e.g., questions about the utility of the opportunity, the appropriateness of the opportunity, having someone in the program to talk to, or other questions of similar nature, if available; and

  o Data showing the average distance from participants' residences to the opportunity, if available; and

 ii. Ability to engage training sites and contribute to the general welfare

  o Number of different training, community service, or similar work experience sites, if available;

  o Responses to surveys of organizations providing opportunities for training, community service, or similar opportunities, or other relevant information, that indicate helpfulness of the program operator, the utility of the program to the training site, and the site's satisfaction with program participants, if available.

4) Greatest Number Served and Most-in-Need (up to 5 points)

We will determine your ability to serve the greatest numbers, with a focus on those with significant barriers to employment, based on past performance in administering a SCSEP grant in the case of current grantees, or a similar program in the case of new applicants. For current SCSEP grantees, except where otherwise noted, we will use the relevant data from SPARQ for PY 2017 and PY 2018; PY 2019 data will not be used because the year is in progress. (For the SCSEP Minority Report, the last two years available will be used.)

As listed in 20 CFR 641.710(a)(6), participants are characterized as being most-in-need if they:
- have a severe disability;
- are frail, as defined in 20 CFR 641.140;
- are age 75 or older;
- meet the eligibility requirements for, but do not receive, benefits under Title II of the Social Security Act (42 U.S.C. 401);
- live in an area with persistent unemployment and are individuals with severely limited employment prospects;
- have limited English proficiency;
- have low literacy skills;
- have a disability;
- reside in a rural area;
- are veterans;
- have low employment prospects;
- have failed to find employment after utilizing services provided under Workforce Innovation and Opportunity Act (WIOA) of 2014 (Pub. L. No 113- 128); or
- are homeless or at risk of homelessness.

Current Grantees Only:

Please do not submit any data for this element, as we will use the data in SPARQ to assess the following factors.

    iii.   Ability to serve the greatest number of eligible individuals
       o   The average actual performance on the service level measure.
    iv.   Greatest economic need, greatest social need and individuals described above or in 20 CFR 641.710(a)(6)
       o   The average percentage of participants whose incomes were at or below 100% of the Federal Poverty Level at the time of enrollment;
       o   The average percentage of participants without a High School (HS) degree;
       o   The average percentage of all possible instances where minorities were enrolled at a rate significantly less than their incidence in the population; and
       o   The average actual performance on the most-in-need measure.

New Applicants Only:

Describe in detail your experience serving individuals in a program that is comparable to SCSEP in its complexity and duration for each of the factors below. This description must provide the data specified under each factor, and you must certify the accuracy and completeness of the data. Your self-certification should include:

- Program name;
- Program funder and contact information;
- The source of the data;
- The dates the data cover;
- Whether the data were submitted to the program's funder; and
- If the data are publicly available and if so, where.

Wherever the data exist, please answer with regard to the two most recently completed program years.

    i.   Ability to serve the greatest number of eligible individuals
       o   Provide the number of individuals served under a comparable grant or program, compared to the numbers that the funding was designed to support.
    ii.   Greatest economic need, greatest social need, and individuals described above or in 20 CFR 641.710(a)(6)
       o   The average percentage of participants meeting eligibility or service requirements, if any, put in place by the funding source for participants with incomes at or near the Federal Poverty Level;
       o   The average percentage of participants at applicable thresholds of the Federal Poverty Level; e.g., below 100%, 100%, 125%
       o   The average percentage of participants who were without a HS degree;
       o   The average percentage of participants who were minorities, especially the percentage served in proportion to their incidence in the population; and
       o   The average percentage of individuals served who had each of the following barriers to employment, as described above or in 20 CFR 641.710(a)(6), or have

other characteristics that the program defines as "most-in-need" (and the rationale for any additional characteristics).

4.   Attachments to the Project Narrative

In addition to the Project Narrative, you must submit attachments. All attachments must be clearly labeled. We will exclude only those attachments listed below from the page limit. The Budget and Budget Justification do not count against the page limit requirements for the Project Narrative.

You must not include additional materials such as résumés or general letters of support. 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 fewer and use only 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 (e.g., no other attachment may have the same file name). You may use an underscore (example: My_Attached_File.pdf) to separate a file name.

a)   Required Attachments

(1)   Submission of Application to the Governor - Certified Mail Receipt

We require that applicants send their application to the Governors of each state they propose to serve via certified mail. Applicants must retain the certified mail receipt and provide a copies of it as an attachment to their application. We do not require applicants submitting a Pacific Islander and Asian-American or Indian/Native American set-aside grant application to submit copies of their applications to the Governors under this section, but we encourage them to voluntarily comply with this provision.

For more information regarding this submission, please review Section IV.F.2.

(2)   Copy of Statutory Provision (Federal applicants only)

If the applicant is a Federal agency, it must submit a clearly identifiable copy of the statutory provision that permits it to receive other Federal funds.

(3)   Non-Federal Share Exemptions (if applicable)

(a)   Economically Depressed Areas

Applicants seeking to apply in "economically depressed areas" as defined in OAA 502(c)(1)(B) [42 USC 3056(c)(1)(B)] may be exempted from the non-Federal share requirement and must attach a copy of the determination made by the Secretary of Labor in consultation with

the Secretary of Commerce and the Secretary of Health and Human Services that the counties for which they are applying are economically depressed areas.

(b) Federal Agency Applicants

Federal agencies that have a statutory exemption to their non-Federal share requirement must attach a copy of that exemption. Please see 20 CFR 641.809 for further information.

b) Requested Attachments

We request the following attachments, but their omission will not cause us to disqualify the application. Furthermore, the omission of the attachment will impact scoring unless otherwise noted.

(1) 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. Omission of the abstract will not result in your application being screened out; however, the lack of the required information in the abstract may impact scoring. See III.C.1 for a list of items that will result in the screening out of your application. The abstract must include:

- the applicant's name;
- the project title,
- a description of the area to be served,
- the number of participants to be served,
- the funding level requested,
- the total cost per participant,
- Application Category, as indicated in Section III.B.,
    o General National Grant Funds (G)
    o Indian/Native American Set-Aside Grant Funds (I)
    o Asian and Pacific Islander, Set-Aside Grant Funds (AP)
- If the applicant is a *new applicant* or *current grantee* as defined in Section III.B.
- a brief summarization of the proposed project, including, but not limited to, the scope of the project and proposed outcomes.

(2) Project Narrative Data

New applicants should provide relevant data to support the indicated rating factors in Section IV.B.3. The data must be submitted in a separate attachment labeled "Project Narrative Data." Failure to attach this document may impact scoring of this application. Current applicants may submit additional data but are not required to do so.

(3)   Past Performance and Project Narrative Data – Certification of Accuracy (*New Applicants* Only)
New Applicants must include a signed copies of the Certification of Accuracy in a separate attachments labeled "Certification of Accuracy" for data submitted for both Past Performance and the Project Narrative. Failure to attach this document will impact scoring of this application.

Current applicants must submit a certification if they submit any additional data for the Project Narrative. Failure to attach the certification may impact scoring of this application.

(4)   Letters of Commitment or MOUs
Applicants must submit Letters of Commitment or Memoranda of Understanding that describe services, referrals and cost share with key partners; Memoranda of Agreement with key partners that describe the relationship and obligations of each party; signed letter(s) of commitment (not letters of support); and/or signed OJE contracts. Failure to attach these documents will impact scoring of the application.

When submitting in grants.gov, these letters must be uploaded as an attachment to the application package and specifically labeled "Letters of Commitment."

(5)   Financial Statements
Applicants must submit their audited financial statements for the last three years and, if applicable, the accompanying management letters. You must detail the number and type of audit findings you have had in the past three years. Failure to attach these documents will impact scoring of the application.

(6)   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.

When submitting in grants.gov, this document must be uploaded as an attachment to the application package and specifically labeled "NICRA."

(7)   Organizational Chart and Staffing Plans
Provide an organizational chart and staffing plan that addresses the criteria described in Section IV.B.3.c)(1) of the Project Narrative. Failure to attach these documents will impact scoring of the application.

(8)   Financial System Assessment Information
All applicants are requested to submit Funding Opportunity Announcement Financial System Assessment Information. See Section V.B.2 for a sample template and additional instructions. This attachment does not impact the scoring of the application.

C.   <u>SUBMISSION DATE, TIME, PROCESS, AND ADDRESS</u>

We must receive your application by **[insert date 45 days after the date of publication on Grants.gov]**. You must submit your application either electronically on <u>https://www.grants.gov</u> or in hard copy by mail or in hard copy by hand delivery *(including overnight delivery)* **no later than 4:00:00 p.m. Eastern Time on the closing date.**

Applicants are encouraged to submit their application before the closing date to minimize the risk of late receipt. We will not review applications received after 4:00:00 p.m. Eastern Time on the closing date. We will not accept applications sent by e-mail, telegram, or facsimile (FAX).

As stated in Section II.A, your submission must include a final bid for the counties you propose to serve submitted through SCSEPapply.org **no later than 4:00:00 p.m. Eastern Time on the closing date.** You are strongly advised to initiate the process as soon as possible and to plan for time to resolve technical problems if necessary. We strongly recommend that you submit your final bids through SCSEPapply.org at least three business days prior to the deadline in case you encounter technical challenges with your equipment or the website. Your application will not be considered complete if your official final bid is not submitted through SCSEPapply.org by the deadline.

1.   <u>Hardcopy Submission</u>
All applications submitted in hardcopy by mail or hand delivery (including overnight delivery) must be received at the designated place by the specified closing date and time. Applicants submitting applications in hard copy by mail or hand delivery must submit a 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 must also include in the hard copy submission an identical electronic copy of the application on compact disc (CD) or flash drive. If we identify discrepancies between the hard copy submission and CD/flash drive copy, we will consider the application on the CD/flash drive as the official submission for evaluation purposes. Failure to provide identical applications in hardcopy and CD/flash drive format may have an impact on the overall evaluation.

If an application is submitted both by hard copy and through <u>https://www.grants.gov</u>, 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 <u>https://www.grants.gov</u>.

We will grant no exceptions to the mailing and delivery requirements set forth in this notice. Further, we will not accept documents submitted separately from the application, before or after the deadline, as part of the application.

Address mailed applications to the:
  U.S. Department of Labor
  Employment and Training Administration
  Office of Grants Management
  Attention: Donna Kelly, Grant Officer
  Reference FOA-ETA-20-09
  200 Constitution Avenue, NW, Room N4673
  Washington, D.C. 20210

Please note that mail decontamination procedures may delay mail delivery in the Washington DC area. We will receive hand-delivered applications at the above address at the **3rd Street Visitor Entrance**. 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.

2.   **Electronic Submission through Grants.gov**

Applicants submitting applications through Grants.gov must ensure successful submission **no later than 4:00:00 p.m. Eastern Time on the closing date**. Grants.gov will subsequently validate the application.

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. Note that validation does not mean that your application has been accepted as complete or has been accepted for review by the agency. Rather, grants.gov only verifies the submission of certain parts of an application.

a)   **How to Register to Apply through Grants.gov**
Read through the registration process carefully before registering. These steps may take as long 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.

Applicants must follow the online instructions for registration at https://www.grants.gov/web/grants/applicants/organization-registration.html. We recommend that you 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.

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 Point of Contact (POC) approval, establishes an Agency Organizational Representative (AOR). When an application is submitted through Grants.gov, the name of the AOR who submitted the application is inserted into the signature line of the application, serving as the electronic signature. The E-Biz POC must authorize the individual who is able to make legally binding commitments on behalf of your organization as the AOR; this step is often missed and it is crucial for valid submissions.

b) How to Submit an Application to DOL via Grants.gov

Grants.gov applicants can apply online using Workspace. Workspace is a shared online environment where members of a grant team may simultaneously access and edit different webforms within an application. For a complete workspace overview, refer to https://www.grants.gov/web/grants/applicants/workspace-overview.html.

For access to complete instructions on how to apply for opportunities, refer to https://www.grants.gov/web/grants/applicants/apply-for-grants.html.

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. Grants.gov will send the applicant AOR an email acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) with the successful transmission of the application, serving as proof of timely submission. The applicant will receive two email messages to provide the status of the application's progress through the system.

- The first email 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 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 (24-48 hours) 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, DOL will not consider the application.

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 https://www.grants.gov/web/grants/applicants/applicant-faqs.html.

We encourage new prospective applicants to view the online tutorial, "Grant Applications 101: A Plain English Guide to ETA Competitive Grants," available through WorkforceGPS at https://strategies.workforcegps.org/resources/2014/08/11/16/32/applying-for-eta-competitive-grants-a-web-based-toolkit-for-prospective-applicants-438?p=1.

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 https://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 Grants.gov Contact Center is open 24 hours a day, 7 days a week but closed on federal holidays. If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number.

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

We will not consider any hard copy application received after the exact date and time specified for receipt at the office designated in this notice, unless we receive it 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 and at 2 CFR Part 2900 (Uniform Guidance-DOL specific). 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 percent 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 percent 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, for which you

may apply at any time. (See 2 CFR 200.414(f) for more information on use of the de minimis rate.)

2.   Administrative Cost Limitation

Under this FOA, an entity that receives a SCSEP grant to carry out a project or program may not use more than 13.5 percent of the SCSEP funds received to pay associated administrative costs. Subject to Departmental approval, administrative costs may be increased up to 15 percent based on the requirements in 20 CFR 641.870. The functions and activities that constitute administrative costs are defined at 20 CFR 641.856. Such costs include both personnel and non-personnel costs and both direct and indirect costs. Administrative costs as defined in 20 CFR 683.215 are for the performance of administrative functions in carrying out activities under Title I of WIOA that are not related to the direct provision of workforce investment services (including services to participants and employers). 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 percent de minimis rate, as specified above. For WIOA grants, all costs charged as a result of the de minimis rate will be counted towards the administrative cost limitation specified below.

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 ETA programs. See Public Law 113-235, Division G, Title I, section 105, and TEGL number 05-06 for further clarification: https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2262.

4.   Intellectual Property Rights

Pursuant to 2 CFR 2900.13, to ensure that the federal investment of DOL funds has as broad an impact as possible and to encourage innovation in the development of new learning materials, the grantee will be required to license to the public all work created with the support of the grant under a Creative Commons Attribution 4.0 (CC BY) license. Work that must be licensed under the CC BY includes both new content created with the grant funds and modifications made to pre-existing, grantee-owned content using grant funds.

This license allows subsequent users to copy, distribute, transmit, and adapt the copyrighted work and requires such users to attribute the work in the manner specified by the grantee. Notice of the license shall be affixed to the work. For general information on CC BY, please visit https://creativecommons.org/licenses/by/4.0.

Instructions for marking your work with CC BY can be found at https://wiki.creativecommons.org/Marking_your_work_with_a_CC_license.

Questions about CC BY as it applies to this specific funding opportunity should be submitted to the ETA Grants Management Specialist specified in Section VII.

Only work that is developed by the recipient in whole or in part with grant funds is required to be licensed under the CC BY license. Pre-existing copyrighted materials licensed to or purchased by the grantee from third parties, including modifications of such materials, remain subject to the intellectual property rights the grantee receives under the terms of the particular license or purchase. In addition, works created by the grantee without grant funds do not fall under the CC BY licensing requirement.

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

Separate from the CC BY license to the public, the Federal Government reserves a paid-up, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use for federal purposes: 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 grantee may not use federal funds to pay any royalty or license fee for use of a copyrighted work, or the cost of acquiring by purchase a copyright in a work, where the Department has a license or rights of free use in such work. If revenues are generated through selling products developed with grant funds, including intellectual property, DOL treats such revenues as program income. Such program income is added to the grant and must be expended for allowable grant activities.

If applicable, the following standard ETA disclaimer needs to be on all products developed in whole or in part with grant funds.
"This workforce product was funded by a grant awarded by the U.S. Department of Labor's Employment and Training Administration. The product was created by the

grantee and does not necessarily reflect the official position of the U.S. Department of Labor. The U.S. Department of Labor makes no guarantees, warranties, or assurances of any kind, express or implied, with respect to such information, including any information on linked sites and including, but not limited to, accuracy of the information or its completeness, timeliness, usefulness, adequacy, continued availability, or ownership. This product is copyrighted by the institution that created it."

5.   WIOA Infrastructure

All one-stop partner programs including all programs funded under title I of WIOA are required to contribute to the infrastructure costs and certain additional costs of the one-stop delivery system in proportion to their use and relative benefits received as required in 20 CFR 678.700 and 678.760. The sharing and allocation of infrastructure costs between one-stop partners is governed by WIOA sec. 121(h), WIOA's implementing regulations, and the federal Cost Principles contained in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR part 200 (Uniform Guidance). The federal Cost Principles state that a partner's contribution is an allowable, reasonable, necessary, and allocable cost to the program and is consistent with other legal requirements. A list of the required one-stop partner programs is available at 20 CFR 678.400.

6.   Use of Grant Funds for Participant Wages

Grantees must spend a minimum of 75 percent of their SCSEP Federal grant funds on participant wages and fringe benefits.[16] Subject to Departmental approval, a grantee may use up to 10 percent of SCSEP Federal Grant funds to provide additional training and supportive services (ATSS) to participants (see 20 CFR 641.874). Participant wages are based on the higher of the Federal, State, or local minimum wage; or the most nearly comparable wage for similar employment, for time spent in approved program activities only (e.g., community service assignments, other permissible training, orientation) (20 CFR §641.565). See Section II.A. of this FOA for funding calculation information. Generally, grantees pay participants' wages every two weeks.

F.   OTHER SUBMISSION REQUIREMENTS

Withdrawal of Applications: You may withdraw an application by written notice to the Grant Officer at any time before an award is made.

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[16] SCSEP regulations list required fringe benefits as the offer of an annual physical examination; workers' compensation coverage; unemployment compensation coverage (if required by State law); compensation for scheduled work on Federal holidays; and necessary sick leave. Prohibited fringe benefits include contributions to retirement plans, annual leave, bonuses, or any carryover of benefits from one program year to the next. See CFR 641.565(b).

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.

B.   STANDARDS FOR EVALUATING THE APPLICANT'S RESPONSE TO EACH REQUIREMENT

Section IV.B.3, Project Narrative provides a detailed explanation of the information an application must include (e.g. a comprehensive work plan for the whole period of performance of four years with feasible and realistic dates). Reviewers will rate each "rating factor" based on how fully and convincingly the applicant responds. For each "rating factor" under each "criterion," panelists will determine whether the applicant thoroughly meets, partially meets, or fails to meet the rating factor, based on the definitions below:

TABLE 1:

Standard Rating	Definition	10 Points Total	8 Points Total	6 Points Total	4 Points Total
Thoroughly Meets	The application thoroughly responds to the rating factor and fully and convincingly satisfies all of the stated specifications.	10 Points	8 Points	6 Points	4 Points
Partially Meets	The application responds incompletely to the rating factor or the application convincingly satisfies some, but not all, of the stated specifications.	6-9 Points	5-7 Points	4-5 Points	2-3 Points
Minimally Meets	The application responds to the rating factor but does not convincingly satisfy any of the stated specifications.	1-5 Points	1-4 Points	1-3 Points	1 Point
Fails to Meet	The application does not respond to the rating factor or specifications.	0 Points	0 Points	0 Points	0 Points

In order to receive the maximum points for each rating factor, applicants must provide a response to the requirement that fully describes the proposed program design, how your response addresses your data presented, and demonstrates the quality of approach, rather than simply re-stating a commitment to perform prescribed activities. In other words, applicants must describe why their proposal is the best strategy and how they will implement it, rather than explaining that the strategy contains elements that conform to the requirements of this FOA.

Past Performance will be scored on separate scoring rubrics. See Section IV.B.3(f) for more information.

TABLE 2:

Criterion	Points (maximum)
a) Statement of Need (See Section IV.B.3.a). Statement of Need)	2 total
b) Project Design (See Section IV.B.3.b). Project Design)	26 total
(1) Evidence-Informed Strategies for Working with Employers and Employer Associations	10
(2) Recruiting and Managing Host Agencies	8
(3) Evidence-Informed Strategies for Providing Quality Service to Participants	8
c) Organizational, Administrative, and Fiscal Capacity (See Section IV.B.3.c). Organizational, Administrative, and Fiscal Capacity)	22 total
(1) Capacity to Manage Core Organizational Functions and Program Operations	4
(2) Capacity to Manage Data	8
(3) Financial Stability and Ability to Adjust to Changes in Funding	6
(4) Reporting and Audits	4
d) Partnerships (See Section IV.B.3.d). Partnerships)	14 total
e) Budget and Budget Justification (See Section IV.B.2. Project Budget)	4 total
f) Past Performance – Programmatic Capability	32 total

Criterion	Points (maximum)
(See Section IV.B.3.f). Past Performance – Programmatic Capability)	
TOTAL	**100**

C.   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 100 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. The Grant Officer may consider any information that comes to their attention.

The government may elect to award the grant(s) with or without discussion with the applicant. Should a grant be awarded without discussion, the award will be based on the applicant's signature on the SF-424, including electronic signature via E-Authentication on https://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 various sources, including its own records and any OMB-designated repository of government-wide 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 at 2 CFR Part 2998 (Non-procurement Debarment and Suspension). 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 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:
i.   Financial stability;
ii.   Quality of management systems and ability to meet the management standards prescribed in the Uniform Grant Guidance;

iii. 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;

iv. 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;

v. The applicant's ability to effectively implement statutory, regulatory, and other requirements imposed on recipients.

NOTE: As part of ETA's Risk Review process, the Grant Officer will determine:
- If the applicant had any restriction on spending for any ETA grant due to adverse monitoring findings; or
- If the applicant received a High Risk determination in accordance with TEGL 23-15.

Depending on the severity of the findings and whether the findings were resolved, the Grant Officer may, at their discretion, elect not to fund the applicant for a grant award regardless of the applicant's score in the competition.

All applicants are requested to submit the following information as an attachment to their application (suggested template below) for ETA to assess the applicant's Financial System. This information will be taken into account as one component of ETA's Risk Review Process. Applicants may use the suggested template or answer the questions in a separate attachment. It is unlikely that an organization will be able to manage a federal grant without the following system/processes in place. Applicants are expected to have these in place before applying for a grant with ETA.

U.S. DEPARTMENT OF LABOR -EMPLOYMENT AND TRAINING ADMINISTRATION (ETA) FUNDING OPPORTUNITY ANNOUNCEMENT: FINANCIAL SYSTEM ASSESSMENT		
	SECTION A: PURPOSE	
The financial responsibility of grantees must be such that the grantee can properly discharge the public trust which accompanies the authority to expend public funds. Adequate administrative and financial systems including the accounting systems should meet the following criteria as contained in 2 CFR 200 and 2 CFR 2900. (1) Accounting records should provide information needed to adequately identify the receipt of funds under each grant awarded and the expenditure of funds for each grant. (2) Entries in accounting records should refer to subsidiary records and/or documentation which support the entry and which can be readily located. (3) The accounting system should provide accurate and current financial reporting information. (4) The accounting system should be integrated with an adequate system of internal controls to safeguard the funds and assets covered, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed management policies.		
	SECTION B: GENERAL	

1. Complete the following items:		
a. When was the organization founded/incorporated *(month, day, year)*	b. Principal officers	Titles
c. Employer Identification Number:		
d. Number of Employees Full Time: Part Time:		

2. Is the organization or institution affiliated with any other organization: Yes No If yes, please provide details as to the nature of the company (for profit, nonprofit, LLC, etc.) and if it provides services or products to the organization in relation to this grant.	3. Total Sales/Revenues in most recent accounting period. *(12 months)* $

SECTION C: ACCOUNTING SYSTEM

1. Has any Government Agency rendered an official written opinion concerning the adequacy of the accounting system for the collection, identification and allocation of costs under Federal contracts/grants? Yes No			
a. If yes, provide name, and address of Agency performing review:	b. Attach a copy of the latest review and any subsequent correspondence, clearance documents, etc.		
	Note: If review occurred within the past three years, omit questions 2-8 of this Section and Section D.		
2. Which of the following best describes the accounting system:	State administered	Internally Developed	Web-based

3. Does the accounting system identify the receipt and expenditure of program funds separately for each contract/grant?	Yes	No	Not Sure
4. Does the accounting system provide for the recording of expenditures for each grant/contract by the component project and budget cost categories shown in the approved budget?	Yes	No	Not Sure
5. Are time distribution records maintained for an employee when his/her effort can be specifically identified to a particular cost objective?	Yes	No	Not Sure
6. If the organization proposes an overhead rate, does the accounting system provide for the segregation of direct and indirect expenses?	Yes	No	Not Sure
7. Does the organization have an approved indirect cost rate or cost allocation plan? If so, who approved it (Federal Cognizant Agency or a Pass-through Entity)? What are the effective dates?	Yes	No	Not Sure
8. Does the accounting/financial system include budgetary controls to preclude incurring obligations in excess of: a. Total funds available for a grant? b. Total funds available for a budget cost category (e.g. Personnel, Travel, etc.)?	Yes Yes	No No	Not Sure Not Sure
9. Does the organization or institution have an internal control structure that would provide reasonable assurance that the grant funds, assets and systems are safeguarded?	Yes	No	Not Sure

SECTION D: FINANCIAL STABILITY

1. Is there any legal matter or an ongoing financial concern that may impact the organization's ability to manage and administer the grant? Yes No If yes, please explain briefly.			
	SECTION E: FINANCIAL STATEMENTS		
1. Did an independent certified public accountant (CPA) ever examine the financial statements? Yes No			
2. If an independent CPA review was performed please attach a copy of their latest report and any management letters issued. Enclosed N / A			
3. If an independent CPA was engaged to perform a review and no report was issued, please provide details and an explanation below:			
	SECTION F: ADDITIONAL INFORMATION		
1. Use this space for any additional information *(indicate section and item numbers if a continuation)*			

VI.   AWARD ADMINISTRATION INFORMATION

A.   <u>AWARD NOTICES</u>

All award notifications will be posted on the ETA Homepage at
<u>https://www.dol.gov/agencies/eta/</u>. 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 not to fund any application related to this FOA.

B. ADMISTRATIVE AND NATIONAL POLICY REQUIREMENTS

1. Administrative Program Requirements

All grantees will be subject to all applicable federal laws and 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.

i. Non-Profit Organizations, Educational Institutions, For-profit entities and State, Local, and Indian Tribal Governments – 2 CFR Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards) and 2 CFR 2900 (DOL's Supplement to 2 CFR Part 200).

ii. 20 CFR 641.900 details the appeal processes available.

iii. All entities must comply with 29 CFR Part 93 (New Restrictions on Lobbying), 29 CFR Part 94 (Government-wide Requirements for Drug-Free Workplace (Financial Assistance)), 2 CFR Part 180 (OMB Guidance to Agencies on Government-wide Debarment and Suspension (Non-procurement)), and, where applicable, 2 CFR Part 200 (Audit Requirements).

iv. 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.

v. 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.

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

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

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

ix. 29 CFR Part 38 – Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Innovation and Opportunity Act.

x. 29 CFR Parts 29 and 30—Labor Standards for the Registration of Apprenticeship Programs, and Equal Employment Opportunity in Apprenticeship and Training, as applicable.

xi. The Department of Labor will follow the procedures outlined in the Department's Freedom of Information Act (FOIA) regulations (29 CFR Part 70). 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 generally 5 U.S.C. § 552; 29 CFR Part 70.

xii. Standard Grant Terms and Conditions of Award—see the following link: https://www.doleta.gov/grants/resources.cfm.

2. <u>**Other Legal Requirements**</u>

a) **Religious Activities**

The Department notes that the Religious Freedom Restoration Act (RFRA), 42 U.S.C. § 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 this grant solicitation and maintain that hiring practice. If a faith-based organization is awarded a grant, the organization will be provided with more information.

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, and the Strengthening Transparency and Accountability in Federal Spending Act of 2008), 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 https://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.

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

d) **Safeguarding Data Including Personally Identifiable Information (PII)**

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 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:

i. You must ensure that PII and sensitive data developed, obtained, or otherwise associated with DOL/ETA funded grants is securely transmitted.

ii. 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.

iii. 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. Grantees who wish to obtain more information on data security should contact their Federal Project Officer.

iv. 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.

v. 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.

vi. 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.

vii. 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.

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

ix. 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.

x. 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 be accessed only from secure locations.

xi. 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.

xii. 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.

xiii. 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 follow federal guidelines on record retention, which require that you 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.

Note that the SCSEP program assurances, which are incorporated into grantees' agreements, additionally require that grantees maintain participant files for three years after the program year in which the participant received their final follow-up activity.

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 or local government, Indian tribe, institution of higher education (IHE), non-profit 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 government-wide suspension and debarment found at 2 CFR Part 180 and codified at 2 CFR Part 2998.

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 https://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

As a condition of grant award, grantees are required to participate in an evaluation, if undertaken by DOL. The evaluation may include an implementation assessment across grantees, an impact and/or outcomes analysis of all or selected sites within or across grantees, and a benefit/cost analysis or assessment of return on investment. Conducting an impact analysis could involve random assignment (which involves random assignment of eligible participants into a treatment group that would receive program services or enhanced program services, or into control group(s) that would receive no program services or program services that are not enhanced). We may require applicants to collect data elements to aid the evaluation. As a part of the evaluation, as a condition of award, grantees must agree to: (1) make records available to the evaluation contractor on participants, employers, and funding; (2) provide access to program operating personnel, participants, and operational and financial records, and any other relevant documents to calculate program costs and benefits; and (3) in the case of an impact analysis, facilitate the assignment by lottery of participants to program services, including the possible increased recruitment of potential participants; and (4) follow evaluation procedures as specified by the evaluation contractor under the direction of DOL.

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. In addition, grantees that fail to meet 80% of their aggregate goals on the seven SCSEP core measures are required to implement a corrective action plan. Grantees that fail to meet 80% of their aggregate goals for four consecutive years are barred from participating in the next competition. Grantees that fail to make satisfactory progress in meeting their annual performance goals may receive additional conditions of award for the subsequent grant year that specify the specific improvements required for the grantee to be in compliance with their grant.

Negotiated goals for the SCSEP core performance measures will apply to all grantees and will be incorporated into the final grant agreement. Grantees cannot receive annual grant awards without negotiated goals and are subject to consequences for failing to meet them, including being barred from the subsequent competition for repeated failure to meet their negotiated goals. See 20 CFR 641.740(b).

Current grantees that are successful in this competition will have performance measure goals for PY 2020 and PY 2021 that reflect prior performance and will be negotiated in the spring of 2020 goals. Grantees may request to re-negotiate adjustments to these goals based on factors such as populations with barriers to employment, poverty, and unemployment in the new areas served.

New grantees will be assigned the average national grantee goals as targets for PY 2020, subject to adjustments based on factors such as populations with barriers to employment and poverty and unemployment in the new areas served. For PY 2021, new grantees will negotiate goals during the spring of 2021. The negotiated core performance measures that apply to SCSEP are as follows:

(1) Service Level
Service Level represents the number of participants served beyond the number of authorized positions. For example, a proposed PY 2020 program goal of 160 percent would require a grantee that has 100 positions to serve at least 160 new or existing participants at some time during the program year.   The negotiated service level goal for PY 2019 is approximately 160 percent.

(2) Community Service
''Hours of community service employment'' is defined as the total number of hours of community service provided by SCSEP participants divided by the number of hours of community service funded by the grantee's grant, after adjusting for differences in minimum wage among the States and areas. Paid training hours are excluded from this measure. The negotiated goal for PY 2016 is approximately 79 percent.

(3) Service to the Most-in-need
We require grantees to give special consideration to enrolling individuals who qualify as having the greatest need. ''Most-in-need'' (or the number of participating individuals described in §518(a)(3)(B)(ii) or (b)(2) of the 2016 OAA) is calculated by counting the total number of specified barriers to employment for all participants and dividing by the number of participants served. (See Section I.A for more information). The nationwide goal for PY 2019 is an average of approximately 2.88 most-in-need factors per participant.

(4) Unsubsidized Employment in the Second Quarter after Exit
"Q2 Employment" is the number of participants who are in unsubsidized employment during the second quarter after the quarter in which they exit the program divided by the number of participants who exited two quarters earlier. The nationwide target for PY 2019 is approximately 42 percent.

(5) Unsubsidized Employment in the Fourth Quarter after Exit
"Q4 Employment" is the number of participants who are in unsubsidized employed during the fourth quarter after the quarter in which they exit the program divided by the number of participants who exited four quarters earlier. The nationwide target for PY 2019 is approximately 34 percent.

(6) Median Earnings

Median Earnings is defined by the formula: Of those participants who are employed in the second quarter after the quarter of exit, the median value of the earnings in the second quarter after the exit quarter. The nationwide target for PY 2019 is approximately $3369.

(7) Effectiveness in Serving Employers, Participants, and Host Agencies

Effectiveness is defined as the average American Customer Satisfaction Index (ACSI) score on the surveys administered to these three customer groups. The index is created by combining the responses to three questions that are common to the three SCSEP surveys. It is designed to address different dimensions of customers' experience. The ACSI, developed by the University of Michigan School of Business, is a widely respected indicator of the degree to which customers value a particular product, program or service. It is used extensively in business communities in Europe and the United States, including more than 200 companies in 44 industries. In addition, over 100 Federal government agencies have used the ACSI to measure citizen satisfaction with more than 200 services and programs. For PY 2019, the goals are approximately 86 for employers, 83 for participants, and 82 for host agencies.

C. REPORTING

You must meet DOL reporting requirements. Specifically, you must submit the reports and documents listed below to DOL electronically.

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. For other guidance on ETA's financial reporting, reference TEGL 02-16 and our webpage at https://www.doleta.gov/grants/financial_reporting.cfm.

2. Quarterly Performance Reports

a) Joint Quarterly Narrative Performance Report

You must submit a quarterly narrative performance report within 45 days after the end of each reporting quarter. The report must include quarterly information on grant activities, performance goals, and milestones.   It must summarize project activities, performance management, strategic partnership activities, employer engagement strategies and outcomes, and other deliverables, and related results of the project. Submission requirements will be

provided to grantees upon award. We will also provide you with guidance about the data and other information that is required to be collected and reported on either a regular basis or special request basis.

b) SCSEP Case Management System

You must enter the required data approved by OMB into the SCSEP case management system in a timely and accurate manner. The case management system tracks participant records beginning at the time of application. The primary use of the case management system is to track participant training and employment, generate internal QPR reports, alert grantees when follow-ups are required, provide performance evaluation information, and lead grantees to program improvement. Final data for a given quarter must be entered into the case management system within 30-45 days of the quarter's closing date as directed by DOL. Final Program Year data must be submitted by the grantee within 90 days after the end of the grant period. (See CFR 641.879 for more details). As a condition of the grant, selected applicants must collect and report all SCSEP required data on a continuous and timely basis and must maintain an acceptable level of data accuracy as determined by DOL.   Applicants must ensure that all local providers have Internet access and the ability to use all the functions in the case management system.

c) Equitable Distribution Reports

National grantees must prepare an individual Equitable Distribution (ED) Report annually and provide all required information to the State grantee for the State equitable distribution report. The Equitable Distribution (ED) Report provides a basis for determining the collective progress made by SCSEP grantees toward an equitable distribution of program positions in each State. The ED reports are approved by OMB, numbers ETA -8705 a and b. Applicants must acknowledge that (1) as a condition of any award under this FOA, they will comply with the ED report for each State in which they operate, and (2) that they will not make any change in the location of authorized positions within a State, except in accordance with their ED report and the State ED report, and with DOL approval. The State report is filed annually by the State grantee for all authorized positions. Grantees may be required to increase enrollment in some counties and may not be able to fill authorized positions that become vacant in other counties, as necessary to comply with their ED report. The national office will review and return to a grantee an inadequate ED report. Failure to address the deficiencies may result in a grantee receiving additional conditions of award for the subsequent grant year that specify the specific improvements required for the grantee to be in compliance with its grant. Compliance with ED is a condition of the initial grant award and each annual grant renewal. More information may be found at http://scseped.org/.

VII. AGENCY CONTACTS

For further information about this FOA, please contact Jeannette Flowers, Grants Management Specialist, Office of Grants Management, at (202) 693-3322. Applicants should e-mail all technical questions to Flowers.Jeannette@dol.gov and must specifically reference FOA-ETA-20-

09, and along with question(s), include a contact name, fax and phone number. This Announcement is available on the ETA website at https://www.doleta.gov/grants and at https://www.grants.gov.

VIII. OTHER INFORMATION

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

B. INDUSTRY COMPETENCY MODELS AND CAREER CLUSTERS
ETA supports an Industry Competency Model Initiative to promote an understanding of the skill sets and competencies that are essential to an educated and skilled workforce. A competency model is a collection of competencies that, taken together, define successful performance in a particular work setting. Competency models serve as a starting point for the design and implementation of workforce and talent development programs. To learn about the industry-validated models, visit the Competency Model Clearinghouse (CMC) at https://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.

C. WORKFORCEGPS RESOURCES
We encourage you to view the information on workforce resources gathered through consultations with federal agency partners, industry stakeholders, educators, and local practitioners, and made available on WorkforceGPS at https://www.workforcegps.org

We encourage you to view the online tutorial, "Grant Applications 101: A Plain English Guide to ETA Competitive Grants," available through WorkforceGPS at https://strategies.workforcegps.org/resources/2014/08/11/16/32/applying-for-eta-competitive-grants-a-web-based-toolkit-for-prospective-applicants-438?p=1.

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 https://strategies.workforcegps.org.

We created a technical assistance portal at https://www.workforcegps.org/resources/ 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.

D.   SKILLSCOMMONS RESOURCES

SkillsCommons (https://www.skillscommons.org) offers an online library of curriculum and related training resources to obtain industry-recognized credentials in manufacturing, IT, healthcare, energy, and other industries. The website contains thousands of Open Educational Resources (OER) for job-driven workforce development, which were produced by grantees funded through DOL's Trade Adjustment Assistance Community College and Career Training (TAACCCT) program. Community colleges and other training providers across the nation can reuse, revise, redistribute, and reorganize the OER on SkillsCommons for institutional, industry, and individual use.

E.   NOTICE TO INCUMBENT NATIONAL GRANTEES AND STATE GRANTEES

With the publication of this FOA, incumbent national grantees and state grantees are notified that we will not approve any movement of authorized positions due to equitable distribution or for any other reasons until the completion of the competition. Once awards are announced, we anticipate that no transfers of participants will be permitted until the new awards are effective on November 1, 2020.

F.   TRANSITION OF PARTICIPANTS

We expect the transition from incumbent grantees to new providers to take place in July, August, September, and October 2020, with an effective date of November 1, 2020, for all transfers. For the period from July 1, 2020 through October 31, 2020, only incumbent grantees will receive funding and provide services. The transfer of participants will start after the PY 2020 awards are executed. Incumbent grantees and new awardees will work together to ensure an orderly and seamless transition of participants. Incumbent grantees will receive new grants to cover the period from July 1, 2020, until November 1, 2020. Additional guidance will be forthcoming on the transition and transfer process.

Currently, nearly all SCSEP authorized positions are filled. When participants are transferred from one grantee to another as a result of this competition, the enrolled participants must be allowed to continue in the program with minimum disruption. Therefore, by applying for funds under this FOA, selected applicants agree to continue the enrollment of incumbent SCSEP participants, must offer incumbent SCSEP participants transferred to the grantee as a result of the competition the opportunity to continue in SCSEP in the same geographic area and in the same host agency for up to 90 days (i.e., "right of first refusal"), and must apply the more liberal of the grantee's or the transferring grantee's IDL policy for 90 days after any transfer. At the end of the 90-day period, selected grantees may choose to move transferred participants into new host agencies, or they may continue to use the current host agencies.

Participants may not remain enrolled with their former SCSEP grantee if the grantee authorized to provide services in their area changes. We will require such former grantees to identify all

participants who must be transferred to other grantees, and grantees must ensure that these participants are entered into the case management system transfer utility or into some other database as required by DOL by the time specified. By November 1, 2020, all affected participants must appear in the case management system as enrolled with the proper grantee.

We are committed to minimizing disruptions to the extent possible and require that applicants and grantees reflect this commitment. We will work with grantees to promote a seamless transition if there is a new grantee in an area. We will support the transition by providing technical assistance, participant and host agency data, and transition costs (pending availability of funds), in accordance with 2 CFR 200.

We will require successful applicants and incumbent grantees to ensure minimum disruptions to participants, including continuous payment of wages during the transition. We expect new grantees to assume payroll responsibilities on November 1, 2020. Successful applicants must plan to make the first payment to participants in the first or second week of November 2020.

G.   TRANSITION OF ROLES AND RESPONSIBILITIES OF PARTICIPANTS

The Department
In addition to the responsibilities described immediately above and throughout this FOA, we will be responsible for instituting regularly scheduled conference calls that include national and regional Department staff and national grantees.

The National Grantees
The national grantees must:

- Maintain open lines of communication with the States and attend any State or Federally scheduled conference calls;
- Ensure that all participants have the right of first refusal for their existing work-based community service assignments and are accorded the more liberal IDL policy for up to 90 days;
- Ensure that wage payments to participants are made in a timely manner;
- Determine how and when participants will be notified of changes in grantee in accordance with instructions issued by the Department;
- Establish procedures to transfer hard copy records to successor grantees, as applicable;
- Ensure that all participants who must be transferred to a new grantee are identified and properly entered into the case management system transfer utility or some other database as specified by DOL by the specified time;
- Ensure that all required policies and procedures are in place, including but not limited to: IDL, necessary sick leave, approved breaks in participation, termination, and grievance;
- Maintain privacy of individual records; and

- Coordinate with other grantees when receiving and transferring existing SCSEP participants

IX.   OMB INFORMATION COLLECTION

OMB Information Collection No 1225-0086, Expires July 31, 2022.

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, D.C. 20210. Comments may also be emailed to: DOL_PRA_PUBLIC@dol.gov.

PLEASE DO NOT RETURN YOUR GRANT APPLICATION TO THIS ADDRESS. SEND ONLY COMMENTS ABOUT THE BURDEN CAUSED BY THE COLLECTION OF INFORMATION TO THIS ADDRESS. SEND YOUR GRANT APPLICATION TO THE SPONSORING AGENCY AS SPECIFIED EARLIER IN THIS ANNOUNCEMENT.

This information is being collected for the purpose of awarding a grant. DOL will use the information collected through this "Funding Opportunity Announcement" to ensure that grants are awarded to the applicants best suited to perform the functions of the grant. This information is required to be considered for this grant.

Signed May xx, 2020, in Washington, D.C. by:
Donna Kelly
Grant Officer, Employment and Training Administration

Appendix A

Measures for FOA Program Narrative

IVB3(b)(1) Working with Employers and Employer Associations

Measure 1: Employers with multiple placements

Definition: Total number of employers with multiple unsubsidized placements in PY16/PY17 and PY17/PY18 divided by the total number of employers with unsubsidized placements in PY16/PY17 and PY17/PY18

Explanation of measure:

- This measure relates to how effectively grantees work with employers and employer associations, leverage existing relationships, and develop new relationships with employers.
- This measure can be an indication of employers' satisfaction with the participants they hired and with their relationship with the grantee.

**New applicants should submit any relevant data from similar programs they have administered.

	PY16-PY17			PY17-PY18		
	Numerator	**Denominator**	**Rate**	**Numerator**	**Denominator**	**Rate**
National Grantees	1123	12042	9.33%	1133	12446	9.10%
Nationwide	1364	14965	9.11%	1375	15209	9.04%

Measure 2: Placements with same employer in 2nd and 4th quarters after exit quarter

Definition: The number of participants employed with the same employer in the 2nd and 4th quarters after the exit quarter divided by the number of participants who were employed in the second quarter after the exit quarter

Explanation of measure:

- This measure relates to how effectively grantees work with employers and employer associations by helping them hire participants who are a good match, thereby reducing turnover rates.
- This measure is not an official SCSEP measure but is one of the pilot measures used by WIOA to assess effectiveness in serving employers. This is an employer-oriented measure.
- Unlike the core measure of employment in the 4th quarter after the exit quarter, which does not consider whether the participant was employed in the second quarter or with which employer, this measure only counts participants employed with the same employer during both quarters.
- This measure suggests whether there was a good match between the participant and the employer and thus can serve as an indicator for several aspects of employer engagement, including effectiveness and overall satisfaction.

Appendix A

New applicants should submit any relevant data from similar programs they have administered.

	PY17			PY18		
	Numerator	**Denominator**	**Rate**	**Numerator**	**Denominator**	**Rate**
National Grantees	4381	4957	88.40%	3129	3844	81.40%
Nationwide	5428	6097	89.00%	3868	4715	82.00%

Measure 3: Grantees' direct assistance with placements

Definition: Number of placements started in the program year in which the grantee provided direct assistance with the placement divided by the total number of placements started in the program year

Explanation of measure:

- This measure relates to how effectively grantees work with employers and employer associations by engaging in job development and placement activities.
- Grantees are required to sign programmatic assurances as a part of their annual grant application which ensure the collection and reporting of all SCSEP required data according to the specified time scheduled.
- Grantees are required to use ETA's data system to record whether the placement was the result of direct assistance by the grantee as opposed to a self-placement by the participant.
- This measure is a primary indicator of employer engagement.
- The data recorded by the grantees consistently show they have provided direct assistance in about 20% of all placements.
- The variation among the grantees on this measure is substantial, with some grantees recording that they provided no or insignificant assistance. It is not possible to determine from the data whether grantees are failing to provide this essential service to participants and employers or if they are providing the service but failing to record it.

New applicants should submit any relevant data from similar programs they have administered if available; they may also submit any other data that reflect their job development and direct job placement activity.

	PY17			PY18		
	Numerator	**Denominator**	**Rate**	**Numerator**	**Denominator**	**Rate**
National Grantees	1555	7446	20.90%	1411	6917	20.40%
Nationwide	1921	9031	21.30%	1741	8545	20.40%

Measure 4: Placements due to OJE

Definition: The number of placements that started in the program year as a result of an OJE during the CSA divided by the total number of placements that started in the program year

Explanation of measure:

- This measure relates to how effectively grantees work with employers and employer associations by using employer-based activities, including OJE for participants during their CSAs.
- Although participants are generally expected to receive all of their soft-skill development at the CSA, grantees are required to assess participants' need for additional training consistent with their IEPs and must attempt to provide such training directly or through workforce or other partners.
- OJEs are a form of subsidized employment-based training whereby the grantee pays a portion or all of a participant's wages for up to 12 weeks of training at the employer's job site.
- Employers commit to hiring the participant at the end of the OJE if the training experience was successful.
- OJEs provide employers a trial period during which they can determine a participant's aptitude and appropriateness for the job without incurring financial liability and without having to put the participant on its payroll.
- Grantees must obtain approval from DOL in their grant agreements for the use of OJEs.

**New applicants should submit any relevant data from similar programs they have administered; they may also submit any other data relevant to their use of OJTs and other subsidized work experience programs.

	PY17			PY18		
	Numerator	Denominator	Rate	Numerator	Denominator	Rate
National Grantees	90	7446	1.21%	51	6917	0.74%
Nationwide	97	9031	1.07%	61	8545	0.71%

IVB3(b)(2) Recruiting and Managing Host Agencies

Measure 5: New host agencies

Definition: Number of host agencies with their first participant assignment in the program year divided by the total number of host agencies

Explanation of measure:

- This measure speaks to how well grantees maintain strong relationships with host agencies and recruit new host agencies.
- Grantee are expected to recruit new host agencies in order to meet the specific needs of their participants and to reflect evolving demographics and labor market conditions.
- This measure may suggest the extent to which the grantee has sufficient host agencies to meet the need for CSAs that match participants' IEPs.

New applicants should submit any relevant data from similar programs they have administered on the number of new organizations providing training or work experiences in a program year as a percentage of all organizations providing training or work experiences.

| | PY17 | | | PY18 | | |
	Numerator	Denominator	Rate	Numerator	Denominator	Rate
National Grantees	4194	103161	4.07%	3453	103161	3.35%
Nationwide	5263	135176	3.89%	4700	135176	3.48%

Measure 6: Average assignments per participant

Definition: For all active participants in the program year, the total number of assignments divided by the number of participants

Explanation of measure:

- This measure relates to the capacity of grantees to ensure that community service assignments provided are consistent with participants' IEPs and training needs to attain their employment and other goals.
- Grantees are required to rotate participants to new training assignments within their host agencies or to new host agencies, consistent with their IEPs, to acquire new skills or to further reduce barriers to employment.
- At the same time, community service assignments must be long enough to provide a meaningful opportunity for participants to achieve the full benefits of the CSA.

New applicants should submit any relevant data from similar programs they have administered on the average number of different training and work experiences provided to participants.

| | PY17 | | | PY18 | | |
	Numerator	Denominator	Average Number of Assignments per Participant	Numerator	Denominator	Average Number of Assignments per Participant
National Grantees	55789	44505	1.25	53859	43035	1.25
Nationwide	69281	55735	1.24	67760	54676	1.24

Measure 7: SCSEP staff's understanding of host agency business needs, based on survey results

Definition: The average score (on a 1-10 scale) on Question 5 of the annual host agency survey

Explanation of measure:

- This measure speaks to how well grantees maintain strong relationships with host agencies.
- The customer satisfaction survey has been administered each program year since PY 2004; the random sample is designed to ensure that each grantee has an adequate pool of respondents.
- For many years, this question has been among the strongest independent determinates of overall host agency satisfaction, second only to the quality of the match in making the assignment.

**New applicants should submit survey data or any other relevant data from similar programs they have administered related to organizations providing training or work experiences, especially data related to their staff's understanding of the organizations' business needs.

Q5. SCSEP staff who make the assignments have a good
understanding of my business needs.

	PY 17		PY18	
	Count	**Score**	**Count**	**Score**
National Grantees	4706	8.2	4390	8.4
Nationwide	7844	8.3	7140	8.4

Measure 8: Placements into unsubsidized employment with host agencies

Definition: Number of unsubsidized placements started in the program year that are with host agencies after the CSA has ended divided by the number of all placements started in the program year

Explanation of measure:

- This measure speaks to how well grantees maintain strong relationships with host agencies and recruit new host agencies.
- Grantees are encouraged to recruit host agencies that are willing to commit to hiring participants at the conclusion of their CSAs if the host agency has the financial resources to do so.
- Hiring participants at the conclusion of the CSAs may reflect how much host agencies value SCSEP and are satisfied with the participants assigned to them.

**New applicants should submit any relevant data from similar programs they have administered on the percentages of employment placements that are with organizations that provided prior training or work experiences to participants.

	PY17			PY18		
	Numerator	**Denominator**	**Rate**	**Numerator**	**Denominator**	**Rate**
National Grantees	2209	7446	29.67%	2123	6917	30.69%

Nationwide	2803	9031	31.04%	2686	8545	31.43%

IVB3(b)(3) Providing Quality Service to Participants

Measure 9: Average time in assignment for all participants and for minorities

Definition: For all participants and for all minorities with an exit date within the program year, the total time in an assignment in days divided by the number of assignments, displayed in months (30 days)

Explanation of measure:

- This measure relates to the capacity of grantees to ensure that training activities and host agency training rotations will be consistent with participants' IEPs.
- This measure also relates to how grantees will effectively serve minorities and individuals with significant barriers to employment while also complying with all program requirements.
- This measure is limited to exiters in order to have an end point for all assignments included in the measure. It is a close proxy for total time spent in an assignment.
- The measure shows whether grantees are providing participants adequate time in CSA to remove barriers and become job-ready and whether minorities are experiencing disparities in their duration in assignments.
- Grantees are required to rotate participants to different training assignments within their host agencies or to new host agencies, consistent with their IEPs, to acquire new skills or to further reduce barriers to employment.
- At the same time, assignments must be long enough to provide participants a meaningful opportunity to achieve the full benefits of the CSA.
- Measure 6 (See IVB3(b)(2) Recruiting and Managing Host Agencies, above) shows that, on average in both program years, 25%-30% of participants have been rotated to new CSAs.
- There are no data regarding rotation to new jobs within a host agency. However, this measure, in conjunction with the average number of assignments per participant shown in Measure 6, may provide some insight into whether grantees are ensuring that host agency jobs or assignments are changed frequently enough to meet participants' needs.

**New applicants should submit any relevant data from similar programs they have administered on the average total time all participants and minority participants spend in training or work experiences.

	PY 2017			PY 2018		
	Numerator	**Denominator**	**Average Months in Assignment for All Exiters**	**Numerator**	**Denominator**	**Average Months in Assignment for All Exiters**
National Grantees	7131303	24307	9.78	6027061	20974	9.58
Nationwide	9049070	29146	10.35	7676234	25557	10.01

	PY 2017				PY 2018		
	Numerator	Denominator	Average Months in Assignment for Minority Exiters		Numerator	Denominator	Average Months in Assignment for Minority Exiters
National Grantees	4028892	14166	9.48		3684901	13167	9.33
Nationwide	5133328	16814	10.18		4686442	15862	9.85

Measure 10: Employment outcomes for participants with disabilities and for all participants

Definition: Number of participants with a disability who achieved Entered Employment (PY17) and Q2 Employment (PY18) divided by the number of participants with a disability exiting in the relevant quarter

Explanation of Measure:

- This measure is an indication of the extent to which the grantee has developed effective strategies to overcome participants' barriers to employment and to move participants, including those with a disability, into unsubsidized employment consistent with their IEPs.
- The overall entered employment rate for PY 17 and the Q2 Employment rate for PY 18 are provided for comparison. At the nationwide and national grantee levels, the employment outcomes for participants with a disability are about 5 percentage points lower than the employment outcomes for all participants. However, there is substantial variability at the grantee level.
- The employment outcome measure reported in PY 17 is different from the measure reported in PY18; therefore, comparisons across the two years should not be made

**New applicants should submit any relevant data from similar programs they have administered on employment outcomes for participants with a disability compared to the employment outcomes for all participants.

	PY 2017				PY 2018			
	Numerator	Denominator	Rate with Disability	Rate for All Participants	Numerator	Denominator	Rate with Disability	Rate for All Participants
National Grantee	1407	3427	41.06%	46.75%	1365	3571	38.22%	42.69%
Nationwide	1751	4422	39.60%	44.81%	1681	4653	36.13%	41.17%

Measure 11: Staff's understanding of participant employment interests and needs, based on survey results

Definition: Average Score (on a 1-10 scale) on Question 6 of the participant customer satisfaction survey

Explanation of measure:

- This measure directly relates to developing effective strategies for meeting participants' IEP goals and conducting "comprehensive assessments and reassessments."
- Grantees are required to sign programmatic assurances as part of their annual grant application that certify they will comply with all IEP requirements, including the updating of assessments and IEPs
- IEPs are an essential program element that set forth participants' employment interests and goals, as well as barriers to employment and how they will be eliminated or mitigated.
- Participants should be assigned to host agencies, and should be rotated to new jobs, in accordance with their IEPs.
- This measure indicates whether participants felt that staff understood their employment interests and needs, a critical component of the IEP. Measure 12 shows the extent to which IEPs are updated timely.

**New applicants should submit survey data or any other relevant data from similar programs they have administered related to their staff's understanding of participant's needs, responsiveness, or similar aspects of quality service to participants.

	Q6. The Older Worker Program/SCSEP staff understood my employment interests and needs.			
	PY17		**PY18**	
	Count	**Score**	**Count**	**Score**
National Grantees	6151	8.56	5429	8.60
Nationwide	11803	8.60	10590	8.60

Measure 12: IEPs not updated timely

Definition: The number of IEPs not updated timely for all active participants divided by the total number of active participants. For newly enrolled participants, the IEP is considered overdue if not done within 60 days of enrollment; for already enrolled participants, the IEP is considered overdue if not done within 6 months of the last IEP.

Explanation of measure:

- This measure indicates the extent to which grantees are employing effective strategies to meet participants' IEP goals and are adequately assessing participants on a regular basis.

- Grantees certify that they will comply with all IEP requirements, including the updating of IEPs.
- IEPs are an essential program element that sets forth participants' employment interests and goals, as well as barriers to employment and how they will be eliminated or mitigated.
- Participants should be assigned to host agencies and should be rotated to new assignments, in accordance with their IEPs.
- Participants whose IEPs include a goal of unsubsidized employment must also receive appropriate employment assistance from the grantee.
- Grantees are required to reassess participants at least twice in a 12-month period and to update the IEP each time there is a reassessment.
- Warnings and a management report in the SCSEP data system alert grantees when an IEP is due to be updated. Every 6 months is a proxy for the requirement to update the IEP at least twice in each 12-month period.
- It is not possible to determine whether grantees are not updating IEPs timely or if they are doing so but are failing to enter the data into the data system.
- It is also not possible to tell from the data if grantees are, in fact, updating the IEP twice in each 12-month period but are doing so more than 6 months after the last update.
- Despite the variation among the grantees on this measure, most grantees are documenting and doing all or most updates within 6 months.

**New applicants should submit any relevant data from similar programs they have administered on the extent to which participants have individual employment plans or individual service strategies, and how often those plans are updated.

	PY17			PY18		
	Numerator	**Denominator**	**Rate**	**Numerator**	**Denominator**	**Rate**
National Grantees	9655	45084	21.42%	8749	43458	20.13%
Nationwide	12166	56651	21.48%	11192	55196	20.28%

**New applicants: Although this measure may be unique to SCSEP, new applicants should submit any relevant data from similar programs they have administered showing their adherence to any time limits for participation established in the grant or any other data relevant to preparing participants with multiple barriers to employment for unsubsidized employment within the timeframe established by the program model.

IVB3(c)(2) Capacity to Manage Data

Measure 13: Data validation error rate

Definition: The number of data elements that failed to meet the data validation standard divided by the number of data elements required to be validated

Explanation of measure:

- This measure is an important indication of the capacity of grantees to collect and manage data in a way that ensures consistent, accurate, and expeditious reporting.
- This measure directly relates to how grantees have used the results of the data validation process to improve data collection and reporting and program implementation.
- Each year, grantees are required to validate a number of important data elements that relate to eligibility, the performance measures, or essential program requirements.
- This measure reports whether the data entered into the case management system match the documentation standards for the collection of the data.
- Separate random samples are drawn for data elements that relate to eligibility and those that relate to performance.
- All national grantees completed data validation for PY 17 and PY 18. Grantees that were newly awarded grants in the PY 2016 competition did not have a performance sample in PY 17.
- Grantees are required to use the results of data validation to retrain their staff and to take corrective measures to ensure that the data validation standards are consistently applied.

**New applicants should submit any relevant data from similar programs they have administered on the reliability and integrity of the data they collect and should explain in their narrative answer how they ensure documentation and validation of data.

	PY 17 Eligibility Sample			PY 18 Eligibility Sample		
	Numerator	Denominator	Rate	Numerator	Denominator	Rate
National Grantees	1175	20762	5.66%	2088	19082	10.94%
Nationwide	2787	46974	5.93%	4780	40476	11.81%

	PY17 Performance Sample			PY18 Performance Sample		
	Numerator	Denominator	Rate	Numerator	Denominator	Rate
National Grantees	1524	24898	6.12%	2344	19901	11.78%
Nationwide	3130	48123	6.50%	5698	41456	13.74%

Measure 14: Participant safety consultations not conducted timely

Definition: The number of annual safety inspections not completed divided by the number of annual safety inspections required

Explanation of measure:

- This measure is an important indication of the capacity of grantees to collect and manage data in a way that ensures consistent, accurate, and expeditious reporting.

- Grantees are required to sign programmatic assurances as a part of their annual grant application which ensure the collection and reporting of all SCSEP required data according to the specified time schedules.
- Grantees also certify that they will conduct an annual safety inspection for each participant at the host agency site as part of meeting the requirement that all participants have safe working conditions.

**New applicants should submit any relevant data from similar programs they have administered about whether participants have safe training and work experience sites and how they ensure the accuracy and completeness of such data.

	PY17			PY18		
	Numerator	**Denominator**	**Rate**	**Numerator**	**Denominator**	**Rate**
National Grantees	15657	57253	27.35%	13715	55132	24.88%
Nationwide	20274	67778	29.91%	17643	66074	26.70%

Measure 15: Undone case management follow-ups

Definition: For PY 18, the number of undone case management follow-ups due by measure (indicated by follow-up number) divided by the number of follow-ups due for each measure.

For PY 17, the number of undone case management follow-ups due by measure; there is no rate because the number of follow-ups due for PY 17 is not available

Explanation of measure:

- This measure is an important indication of the capacity of grantees to collect and manage data in a way that ensures consistent, accurate, and expeditious reporting.
- In the assurances that grantees sign as part of their annual grant application, grantees certify that they will ensure the collection and reporting of all SCSEP required data according to specified time schedules.
- Follow-up 1 records entered employment (PY17)/employment in the second quarter after the exit quarter (PY18); follow-up 2 records average earnings (PY17)/median earnings during the second quarter after the exit quarter (PY18); and follow-up 3 records employment retention (PY17)/employment in the fourth quarter after the exit quarter (PY18).
- At this time, SCSEP does not use UI wage records; therefore, grantees are required to perform case management follow-up with employers and participants to collect the data required for the core outcome measures
- Required follow-ups that are not completed within 90 days after the end of the program year are counted as a failure in the related performance measure for that program year.
- In addition to collecting the required information, grantees are expected to use the follow-ups as an opportunity for employer engagement. Grantees should ascertain if there are any issues with the placement that is the subject of the follow-up contact, attempt to

> resolve any such issues, inquire about any needs the employer may have, and pave the way for additional placements, either then or in the future.
- There was a dramatic reduction in the number of undone follow-up 1s and 2s in PY 18 compared to PY 17.
- PY 18 saw the introduction of new employment outcome measures with different rules for the timing of the three follow-ups. Because PY 18 was a transitional and pilot year for the new measures, significant training and TA were provided to the grantees in how to conduct and record the follow-ups.

**New applicants that use UI wage records for determining performance on required measures should provide any available data on case management follow-up activity with employers <u>after</u> a placement occurs.

**New applicants that do not use UI wage records should provide any data on the percentage of placements for which they did not obtain performance data; they should explain in their narrative answer how they ensure complete reporting of required performance data.

	PY17		
	Count of Undone FU1 PY17	**Count of Undone FU2 PY17**	**Count of Undone FU3 PY17**
National Grantees	2529	2508	35
Nationwide	3152	3013	50

			PY18			
	Numerator FU1	**Denominator FU1**	**Rate of Undone FU1**	**Numerator FU2**	**Denominator FU2**	**Rate of Undone FU2**
National Grantees	232	12972	1.79%	70	4403	1.59%
Nationwide	298	16456	1.81%	92	5342	1.72%

	PY18		
	Numerator FU3	**Denominator FU3**	**Rate of Undone FU3**
National Grantees	347	13262	2.62%
Nationwide	488	16677	2.93%

IVB3(d) Partnerships

Measure 16: Participants co-enrolled with partner programs

Definition: The number active participants with co-enrollments in another program divided by the number of active participants

Appendix A

Explanation of measure:

- Co-enrollment with other employment and training providers, including WIOA, Employment Service, Adult Ed, and college/community college, can indicate attention to developing and leveraging partnerships "to maximize training, supportive services, and employment opportunities for participants."
- Grantees are expected to indicate if participants are co-enrolled with one-stop partners or other employment and training providers.
- Co-enrollments should be recorded whenever they occur; however, the field for co-enrollments in the SCSEP case management system is not required, and there are no edits or reports that would notify a grantee that the field was not populated.
- Because it may not have been clear to grantees that they should update this field whenever there is a co-enrollment, the data may not be complete for all grantees.

**New applicants should submit any relevant data on co-enrollments from similar programs they have administered and should state in their narrative answer what types of programs those co-enrollments are in.

	PY17			PY18		
	Numerator	**Denominator**	**Rate**	**Numerator**	**Denominator**	**Rate**
National Grantees	19445	44975	43.00%	19224	43393	44.30%
Nationwide	23937	56431	42.00%	23642	55041	43.00%

Measure 17: Supportive services provided during CSAs by the grantee without partner contribution

Definition: The number of supportive services provided by the grantee without partner contribution divided by the total number of supportive services reported

Explanation of measure:

- Co-enrollment with other employment and training providers, including WIOA, Employment Service, Adult Ed, and college/community college, can indicate attention to developing and leveraging partnerships "to maximize training, supportive services, and employment opportunities for participants."
- Grantees are required to assess participants' need for supportive services, make every effort to assist participants in obtaining services needed for success in the program, and, to the extent practicable, to arrange for the payment of those services by other sources.
- Grantees are expected to indicate which supportive services are provided by the grantee alone and which are provided through or with partner contribution.
- Supportive services should be recorded whenever they are provided; however, the supportive services fields are relatively new, and there are no warnings or management reports to tell grantees if supportive services have not been recorded.

Appendix A

**New applicants should submit any relevant data on supportive services provided to
participants from similar programs they have administered and should state in their narrative
response the extent to which the services were provided by the applicant or by partners.

	PY17			PY18		
	Numerator	**Denominator**	**Rate**	**Numerator**	**Denominator**	**Rate**
National Grantees	931	1168	79.71%	845	1011	83.58%
Nationwide	1490	1939	76.84%	1324	1687	78.48%

Appendix B

Senior Community Service Employment Program (SCSEP) Programmatic Assurances

Program Year 2020

You must certify that you will conform to these assurances throughout the period of the grant by checking each of the assurances below. These assurances apply fully to any sub-recipient, local project, or grantee staff involved in the delivery of services.

You agree to:

Recruitment and Selection of Participants

☐ Develop and implement methods to recruit and select eligible participants to assure maximum participation in the program.

☐ Use income definitions and income inclusions and exclusions for SCSEP eligibility as described in TEGL No. 12-06 to determine and document participant eligibility.

☐ Develop and implement methods to recruit minority populations to ensure at least proportional representation in your assigned service area as listed in the latest Minority Report.

☐ Develop and implement strategies to recruit applicants who have priority of service as defined in Older Americans Act section 518(b)(1)-(2) and by the VOW (Veterans Opportunity to Work) to Hire Heroes Act of 2011.

Individuals with priority are those who:
- Are covered persons in accordance with the VOW (covered persons who are SCSEP-eligible must receive services instead of or before all non-covered persons);
- Are 65 years or older;
- Have a disability;
- Have limited English proficiency;
- Have low literacy skills;
- Reside in a rural area;
- Have low employment prospects;
- Have failed to find employment after utilizing services provided under Title I of the Workforce Innovation and Opportunity Act (WIOA); or
- Are homeless or are at risk for homelessness.

Assessment

☐ Assess participants at least twice per 12-month period, or more frequently if appropriate.

☐ Use assessment information to determine the most appropriate community service assignments for participants.

Appendix B

Individual Employment Plan (IEP)

☐ Establish an initial goal of unsubsidized employment for all participants.

☐ Update the IEP at least as frequently as assessments occur (at least twice per 12-month period).

☐ Modify the IEP as necessary to reflect other approaches to self-sufficiency, if it becomes clear that unsubsidized employment is not feasible.

☐ For participants who will reach the individual durational limit or would not otherwise achieve unsubsidized employment, include a provision in the IEP to reflect other approaches to self-sufficiency, transition to other services or programs.

☐ Rotate participants to a new host agency (or a different assignment within the host agency) based on a rotation policy approved by the Employment and Training Administration (ETA) in the grant agreement and only after making an individualized determination that the rotation is in the best interest of the participant. Such rotation must further the acquisition of skills listed in the IEP.

Community Service Assignment

☐ Base the initial community service assignment on the assessment made at enrollment.

☐ Select only designated 501(c)(3) organizations or public agencies as host agencies.

☐ Put in place procedures to ensure adequate supervision of participants at host agencies.

☐ Ensure safe and healthy working conditions at the community service assignment through annual monitoring of the host agency site and annual safety consultation with the participant at the host agency site.

Recertification of Participants

☐ Recertify the income eligibility of each participant at least once every 12 months, or more frequently if circumstances warrant.

Physical Examinations

☐ Offer physical examinations to participants upon program entry, and each year thereafter, as a benefit of enrollment.

☐ Obtain a written waiver from each participant who declines a physical examination.

☐ Not obtain a copy or use the results of the physical examination to establish eligibility or for any other purpose.

Appendix B

Host Agencies

☐ Develop and implement methods for recruiting new host agencies to provide a variety of training options that enable participants to increase their skill level and transition to unsubsidized employment.

☐ Comply with maintenance of effort: Ensure that community service assignments do not reduce the number of employment opportunities or vacancies that would otherwise be available to individuals who are not SCSEP participants. You must specifically ensure that community service assignments do not:
    ☐ Displace currently employed workers (including partial displacement, such as a reduction in non-overtime work, wages, or employment benefits).
    ☐ Impair existing contracts or result in the substitution of Federal funds for other funds in connection with work that would otherwise be performed.
    ☐ Assign or continue to assign a participant to perform the same work, or substantially the same work, as that performed by an individual who is on layoff.

Orientation

☐ Provide orientations for participants and host agencies, including information on:
    ☐ Project goals and objectives
    ☐ Participant rights and responsibilities
    ☐ Community service assignments
    ☐ Opportunities for paid training outside the community service assignment
    ☐ Available supportive services
    ☐ Availability of free physical examinations

☐ Local staff must address the topics listed above and provide additional orientation to participants on:
    ☐ SCSEP goals and objectives
    ☐ Grantee and local project roles, policies, and procedures
    ☐ Holiday and sick leave
    ☐ Assessment process
    ☐ Development and implementation of IEPs
    ☐ Evaluation of participant progress
    ☐ Health and safety issues related to each participant's assignment
    ☐ Role of supervisors and host agencies
    ☐ Maximum individual duration policy, including the possibility of an extension, if applicable, and the documentation required to support an extension
    ☐ Termination policy
    ☐ Grievance procedure

Wages

☐ Provide participants with the highest applicable required wage (highest of Federal, state, or local minimum wage for the most nearly comparable covered employment or minimum age under the Fair Labor Standards Act of 1938, or the prevailing rate of pay

for persons employed in similar public occupations by the same employer) for time spent in orientation, training, and community service assignments.

Participant Benefits

☐ Provide workers' compensation, other benefits required by state or Federal law (such as unemployment insurance), and the costs of physical examinations.

☐ Provide compensation for scheduled work hours during which the participant's host agency is closed for Federal holidays, which may be paid or in the form of rescheduled work time, and establish written policies related to this compensation.

☐ Establish written policies relating to approved breaks in participation and any necessary sick leave that is not part of an accumulated sick leave program.

☐ Not use grant funds to pay the cost of pension benefits, annual leave, accumulated sick leave, or bonuses.

Procedures for Payroll and Workers' Compensation

☐ Make all required payments for participant payroll and pay workers' compensation premiums on a timely basis.

☐ Ensure that host agencies do not pay workers' compensation costs for participants.

Durational Limits

Maximum Average Project Duration - 27 Months

☐ Maintain average project duration of 27 months or less, unless ETA approves an extension to 36 months.

Maximum Individual Participant Duration - 48 Months

☐ Allow participants to participate in the program no longer than 48 months (whether or not consecutively), unless your approved policy allows for an extension and the participant meets the extension criteria.

☐ Notify participants of your policy pertaining to the maximum duration requirement, including the possibility of an extension if applicable, at the time of enrollment and each year thereafter, and whenever ETA has approved a change of policy.

☐ Provide 30-day written notice to participants prior to durational limit exit from the program.

Transition Services

☐ Develop a system to transition participants to unsubsidized employment or other assistance before each participant's maximum enrollment duration has expired.

☐ Begin transition planning for participants who will exit for durational limit at least 3-6 months prior to their exit date.

Termination Policies

☐ Provide a 30-day written notice for all involuntary terminations that states the reason for termination and informs the participants of grievance procedures and right to appeal.

☐ Maintain written termination policies in effect and provide to participants at enrollment:
  ☐ Provision of false eligibility information by the participant
  ☐ Incorrect initial eligibility determination at enrollment
  ☐ Income ineligibility determined at recertification
  ☐ Participant has reached individual durational limit
  ☐ Participant has become employed while enrolled
  ☐ IEP-related termination
  ☐ Cause (must be approved by ETA prior to implementation)

Equitable Distribution

☐ Comply with the equitable distribution plan for each state in which the grantee operates and only make changes in the location of authorized positions within a state in accordance with the state equitable distribution plan and with prior ETA approval.

☐ Comply with the authorized position allocations/equitable distribution listed at www.scseped.org.

☐ Collaborate with all grantees authorized to serve in a state in which you operate to achieve compliance with authorized positions while minimizing disruption to the participants.

Over-Enrollment

☐ Manage over-enrollment to minimize impact on participants and avoid layoffs.

Administrative Systems

☐ Ensure representation at all ETA-sponsored required grantee meetings.

☐ Communicate grant policy, data collection, and performance developments and directives to staff, sub-recipients, and local project operators on a regular basis.

☐ Develop a written monitoring tool that lists items you will review during monitoring visits, and provide this tool to sub-recipients and local project operators.

☐ Develop an annual monitoring schedule, unless the federal project officer approves a different standard; notify sub-recipients and local project operators of monitoring plans; and monitor subrecipients and local project operators on a regular basis.

☐ Develop and provide training to increase sub-recipients' and local project operators' skills, knowledge, and abilities.

☐ When appropriate, prescribe corrective action and follow-up procedures for sub recipients and local project operators to ensure that identified problems are remedied.

☐ Monitor the financial systems and expenditures, including sub-recipients and local project operators on a regular basis to ensure compliance with cost allocations as specified in the regulations.

☐ Ensure that sub-recipient and local project operators receive adequate resources to effectively operate local projects.

☐ Train sub-recipients and local project operators on SCSEP financial requirements to help them effectively manage their own expenditures, and provide general financial training as needed.

☐ Ensure that all financial reports are accurate and submit them in a timely manner, as required.

☐ Ensure full implementation and monitoring of requirements for customer satisfaction surveys, including participant, host agency and employer surveys.

☐ Develop a written plan for both disaster response and recovery so that the project may continue to operate and provide services under emergency circumstances.

Collaboration and Leveraged Resources

☐ Collaborate with other organizations to maximize opportunities for participants to obtain workforce development, education, and supportive services to help them move into unsubsidized employment. These organizations may include but are not limited to: workforce development boards, American Job Centers, vocational rehabilitation providers, disability networks, basic education and literacy providers, and community colleges.

Supportive Services

☐ Provide supportive services, as needed, to help participants participate in their community service assignment and to obtain and retain unsubsidized employment.

☐ Establish criteria to assess the need for supportive services and to determine when participants will receive supportive services, including after obtaining unsubsidized employment.

Sub-Recipient Selection (If Applicable)

☐ In selecting sub-recipients in areas with a substantial population of individuals with barriers to employment, national grantees will give special consideration to organizations with demonstrated expertise in serving individuals with barriers to employment (including former recipients of national grants), as defined in the statute.

Complaint Resolution

☐ Establish and use written grievance procedures for complaint resolution for applicants, employees, sub-recipients, and participants.

☐ Provide applicants, employees, sub-recipients, and participants with a copy of the grievance policy and procedures.

Maintenance of Files and Privacy Information

☐ Maintain participant files for three program years after the program year in which the participant received his/her final follow-up activity.

☐ Ensure that all participant records are securely stored by the grantee or sub-recipient and access is limited to appropriate staff in order to safeguard personal identifying information.

☐ Ensure that all participant medical records are securely stored by the grantee or sub-recipient separately from all other participant records and access is limited to authorized staff for authorized purposes.

☐ Establish safeguards to preclude tampering with electronic media (e.g., personal identification numbers and SPARQ or other data system logins).

☐ Ensure that ETA/SCSEP national office is immediately notified in the event of any potential security breach of personal identifying information, whether electronic files, paper files, or equipment are involved.

☐ Comply with and ensure that authorized users under the grant comply with all SPARQ and other data system access and security rules.

Documentation

☐ Maintain all documentation required for compliance with record retention rule set forth in the first bullet of the prior section, Maintenance of Files and Privacy Information.

☐ Maintain documentation of waivers of physical examinations by participant.

☐ Maintain documentation of the provision of complaint procedures to participants.

☐ Maintain documentation of eligibility determinations and re-certifications.

    ☐ Maintain documentations of terminations and reasons for termination.

    ☐ Maintain records of grievances and outcomes.

    ☐ Maintain records required for data validation.

    ☐ Maintain documentation of monitoring reports for sub-recipients and host agencies.

<u>Data Collection and Reporting</u>

    ☐ Ensure the collection and reporting of all SCSEP required data according to specified time schedules.

    ☐ Ensure the use of the Office of Management and Budget-approved SCSEP data collection forms and the SCSEP Internet data collection and evaluation system, SPARQ, or the successor data system as designated by ETA.

    ☐ Ensure at the grantee or sub-recipient level that those capturing and recording data are familiar with the latest instructions for data collection, including ETA administrative issuances (e.g., Training and Employment Guidance Letters, Data Collection and Data Validation Handbooks, and the Older Worker Community of Practice).

    ☐ Ensure data are entered directly into the WDCS/SPARQ, or the successor data system as designated by ETA.

    ☐ Legally obligate sub-recipients to tum over complete data files in the specified electronic format, as well as hard copy case files, to the grantee when sub-recipients cease to administer SCSEP.

    ☐ Legally obligate new sub-recipients to collect and enter complete data related to any participants whom they acquire upon becoming sub-recipients, including any participants who are still in the follow-up period.

If the grantee is not in compliance with any of the assurances above, provide information on a separate attachment indicating what specific steps the grantee is taking to conform to these standard grant requirement(s).

The signature of the Authorized Representative on the SF-424 of this grant application also certifies that the organization agrees to adhere to the programmatic assurances listed above in this Appendix B.