

**SUPPORTING STATEMENT**  
**National Dislocated Workers Emergency Grant Application and Reporting Procedures**  
**OMB Control Number 1205-0439**

**A. Justification.**

This Information Collection Request (ICR) is being submitted as a revision to OMB Control number 1205-0439, National Dislocated Workers Emergency Grant (NDWG) Application and Reporting Procedures, which currently expires on October 31, 2022.

Specifically, this ICR revises the information collection to remove the ETA 9104, Quarterly Performance Report form. The ETA 9104 Quarterly Performance Report ceased being a required form for new National Dislocated Worker Grants (NDWG) grantees on September 30, 2019, as required by the recent performance and reporting policies presented in Training and Employment Guidance Letter (TEGL) Number 8-16, published on August 24, 2016, and TEGL No. 14-18 posted on March 25, 2019.

TEGL No. 8-16 announced a new, integrated performance reporting system for U.S. Department of Labor Employment and Training Administration (DOL) workforce programs to align performance and data reporting across multiple Federally-funded employment and training programs authorized by the Workforce Innovation and Opportunity Act and the Trade Adjustment Assistance Reform Act. The new online reporting system, participant record layout, and timeline for NDWG grantees to begin collecting and reporting data were also established in TEGL 8-16. TEGL No. 14-18 aligned performance accountability reporting, definitions, data collection instruments, and policies across workforce programs administered by the U.S. Department of Labor (DOL). However, for a small number of continuing NDWG projects, the use of the ETA 9104 was required to capture performance data. Therefore, the September 2019 ICR retained the use of the ETA 9104 form. The single NDWG project currently using the legacy application and reporting system will have concluded By December 31, 2022, rendering the ETA 9104 form unnecessary.

The answers to the questions below in this Supporting Statement have been kept intact from the previous ICR's Supporting Statement to maintain responsiveness to the substance of the ICR and to maintain up-to-date burden data.

1. *Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the collection of information.*

The information collection is necessary for the DOL's award of National Dislocated Worker Grants (NDWGs), which are discretionary grants intended to temporarily expand the service capacity at the state and local area levels by providing funding assistance in response to major economic dislocations or other events, as defined in the Workforce Innovation and Opportunity Act (WIOA) (P.L. 113-128). Extending the currently approved ICR will allow DOL to continue awarding NDWGs beyond October 31, 2022. As discussed above, ETA is seeking to remove one

information collection form, ETA 9104, that has not been used since September 30, 2019, per TEGL 14-18.

Funds are available for obligation by the Secretary under Sections 132 and 170 of WIOA. Applications will be accepted on an ongoing basis as the need for funds arises for eligible applicants.

The provisions of WIOA and its regulations at 20 CFR part 687 define two National Dislocated Worker Grant project types:

- Employment Recovery encompasses plant closures, mass layoffs, multiple layoffs in a single community, and higher than average demand from dislocated service members.
- Disaster Recovery includes Federal Emergency Management Agency (FEMA), declared emergency and disaster events, and emergencies or disaster situations of national significance.

The WIOA implementing regulations at 20 CFR part 687 requires collecting applications from eligible entities to be considered for NDWGs.

20 CFR 687.150 provides that the Department will publish guidance on the requirements for submitting applications for NDWGs. This ICR is necessary for the implementation of 20 CFR 687.150, allowing the Department to provide guidance to eligible grantees on the applications and reporting of NDWGs.

The NDWG program currently employs four electronic forms:

- ETA 9103-1, Cumulative Planning Form (sometimes a customized variation is used – ETA 9103-2a, ETA 9103-2b, ETA 9103-3);
- ETA 9105, Employer Data Form;
- ETA 9106, Project Synopsis;
- ETA 9107, Project Operator Data Form

2. *Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.*

The purpose of the application information collection is for ETA to decide whether to approve an application requesting grant funds. Specifically, the purpose of the grant application forms is to provide the grant officer with the necessary information during the application review process to make consistent and objective funding decisions based on program guidance and related evaluation criteria.

3. *Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submission of responses, and the basis for the decision for adopting this means of collection. Also describe any consideration of using information technology to reduce burden.*

In compliance with the Government Paperwork Elimination Act, the information collection is in an electronic format. Electronic applications allow for ease of completion, timeliness of submission by the applicant, and timely application processing by the grant officer. Currently, e-applications are made through [grants.gov](https://grants.gov). An application guide, “How to Apply – DWGs,” is included in the grant opportunity’s related documents. Moreover, automated edit checks are programmed into the application system to reduce the reporting burden for the applicants and ensure the completeness and consistency of the information provided. The authorized signatory of the applicant is issued a unique Personal Identification Number (PIN). The entry of this PIN constitutes the authorized signature.

4. *Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in Item 2 above.*

The information collection avoids duplication because, although the eligible circumstances for NDWG funding are recurring, the specific applications are unique. Therefore, the collected information will differ for each application. Moreover, the information collection will constitute the sole source of information for funding decisions regarding this assistance.

5. *If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden.*

The information collection does not significantly impact small businesses or other small entities.

6. *Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.*

Under the statutory rules and regulations relevant to the NDWG program, NDWG funds cannot be awarded or disbursed if the information collection is not performed. The requested information collection has been designed to achieve compliance with those WIOA statutory rules and regulations.

7. *Explain any special circumstances that would cause an information collection to be conducted in a manner that requires further explanation pursuant to regulations 5 CFR 1320.5.*

There are no special circumstances concerning the information collected.

We request that applications for NDWGs be completed and submitted as early as possible to provide timely workforce development and employment services and other assistance to eligible individuals under the NDWG program.

8. *If applicable, provide a copy and identify the data and page number of publication in the Federal Register of the agency's notice, required by 5 CFR 1320.8(d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken by the agency in*

*response to these comments. Specifically address comments received on cost and hour burden.*

*Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.*

*Consultation with representatives of those from whom information is to be obtained or those who must compile records should occur at least once every 3 years—even if the collection of information activity is the same as in prior periods. There may be circumstances that may preclude consultation in a specific situation. These circumstances should be explained.*

In accordance with the Paperwork Reduction Act of 1995, the public was allowed 60 days to comment through the *Federal Register* notice 87 FR 13329 published on March 9, 2022. No comments were received.

9. *Explain any decision to provide any payment or gift to respondents, other than remuneration of contractors or grantees.*

No payments or gifts will be made to respondents in association with the NDWG program.

10. *Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.*

The information collection does not include confidential information, and therefore no assurances of confidentiality need to be provided to respondents.

11. *Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.*

No questions of a private, sensitive nature are asked in the information collection.

12. *Provide estimates of the hour burden of the collection of information.*

The forms for this collection are:

- ETA 9103/Planning Form, which provides cumulative quarterly estimates on project scope (e.g., number of participants, exits), design (e.g., the mix of enrollments in activities), and use of funds (e.g., planned expenditures by type of program activity). [Most applicants will complete the ETA 9103-1. To accommodate specialized circumstances, it is necessary to use customized

versions of the 9103-1, which take the same amount of time to complete: ETA-9103-2a, ETA-9103-2b, and ETA-9103-3.]

- ◆ ETA 9105/Employer Data Form provides employer and dislocation site-specific information needed to validate the eligibility of the dislocation event(s) and the target group of workers affected for NDWG assistance.
- ◆ ETA 9106/Project Synopsis Form summarizes key aspects of the proposed project, such as project type, type of eligible event, key contact information, planned number of participants, performance goals, and historical and planned cost per participant levels.
- ◆ ETA 9107/Project Operator Data Form includes key contact and project scope information (e.g., number of participants, total budget, service area) for each Project Operator.

Estimates of the total annualized hour burden and the annualized costs for collecting this information are based upon the experience to date with NDWGs.

A reporting burden estimate table is shown below:

| <b>Estimated Total Annualized Respondent Hour and Cost Burden</b> |                       |                                    |                           |                                    |                    |                  |                   |
|---|-----------------------|------------------------------------|---------------------------|------------------------------------|--------------------|------------------|-------------------|
| Reference   | Number of Respondents | Number of Responses per Respondent | Total Number of Responses | Avg. Burden per Response (In Hrs.) | Total Burden Hours | Hourly Wage Rate | Total Cost Burden |
| Narrative Summary   | 159                   | 1                                  | 159                       | 1                                  | 159                | \$54.46          | \$8,659           |
| ETA 9103-1  | 79                    | 1                                  | 79                        | 1.5                                | 119                | \$54.46          | \$6,481           |
| ETA 9103-2a   | 20                    | 1                                  | 20                        | 1.5                                | 30                 | \$54.46          | \$1,634           |
| ETA 9103-2b   | 13                    | 1                                  | 13                        | 1.5                                | 20                 | \$54.46          | \$1,089           |
| ETA 9103-3  | 59                    | 1                                  | 59                        | 1.5                                | 89                 | \$54.46          | \$4,847           |
| ETA 9105  | 144                   | 1                                  | 144                       | .5                                 | 72                 | \$54.46          | \$3,921           |
| ETA 9106  | 159                   | 1                                  | 159                       | 1                                  | 159                | \$54.46          | \$8,659           |
| ETA 9107  | 159                   | 1                                  | 159                       | .25                                | 40                 | \$54.46          | \$2,178           |
| Grant Modifications   | 159                   | 1                                  | 159                       | .5                                 | 80                 | \$54.46          | \$4,357           |
| <b>Unduplicated</b>   | <b>951</b>            | <b>1</b>                           | <b>951</b>                | <b>Varies</b>                      | <b>768</b>         | <b>\$54.46</b>   | <b>\$41,825</b>   |

|               |  |  |  |  |  |  |  |
|---------------|--|--|--|--|--|--|--|
| <b>Totals</b> |  |  |  |  |  |  |  |
|---------------|--|--|--|--|--|--|--|

\*Data are from the BLS “Employer Costs for Employee Compensation” survey for September 2021, available at <http://www.bls.gov/ncs/ect/#data>. Data are for state and local government workers (Table 3) found in [Table 3. State and local government workers by occupational and industry group - 2021 Q03 Results \(bls.gov\)](#).

13. *Provide an estimate of the total annual cost burden to respondents or record keepers resulting from the collection of information. (Do not include the cost of any hour burden shown in Items 12 and 14).*

There is no cost burden for reporting.

14. *Provide estimates of annualized cost to the Federal government. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without this collection of information. Agencies also may aggregate cost estimates from Items 12, 13, and 14 in a single table.*

Estimates of the annualized cost to the Federal government for this collection are based upon experience to date with NDWGs. The operational expenses such as maintaining and improving the functionality of the electronic system for respondents will be reduced with the elimination of the quarterly performance reports (ETA 9104) submitted four times per year. The costs associated with the four approved forms total approximately \$138,232 per year.

15. *Explain the reasons for any program changes or adjustments.*

The ETA 9104 Quarterly Performance Report form is no longer needed, given the transition to the new online performance reporting system and the imminent decommissioning of the legacy NDWG application and reporting system. The reporting burden will therefore be reduced given the more streamlined reporting process. As a result, the number of responses has decreased by 636 with a corresponding decrease in hour burden of 318 hours.

16. *For collections of information whose results will be published, outline plans for tabulation, and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.*

The results of the information collection will not be published.

17. *If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate.*

ETA displays the OMB control number and expiration date.

18. *Explain each exception to the topics of the certification statement identified in “Certification for Paperwork Reduction Act Submissions.”*

There are no exceptions to the certification statement.

**B. Collection of Information Employing Statistical Methodology**

This collection does not employ statistical methodology.