

# U.S. DEPARTMENT OF LABOR

## Employment and Training Administration

---

### NOTICE OF AVAILABILITY OF FUNDS AND FUNDING OPPORTUNITY ANNOUNCEMENT FOR: REENTRY PROJECTS (RP-3)

**ANNOUNCEMENT TYPE:** *Initial*

**FUNDING OPPORTUNITY NUMBER:** FOA-ETA-19-01  
FOA-ETA-19-01-A (**serving Adults**)  
FOA-ETA-19-01-YA (**serving Young Adults**)

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER:** 17.270

**KEY DATES:** *The closing date for receipt of applications under this Announcement is **April 25, 2019**. 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: Melissa Abdullah, Grant Officer  
Reference FOA-ETA-19-01  
200 Constitution Avenue, NW, Room N4716  
Washington, DC 20210***

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

*A Prospective Applicant Webcast will be available on March 29, 2019 at <https://reo.workforcegps.org/>. While a review of this Webcast is strongly encouraged to support successful grant applications, it is not mandatory.*

## **TABLE OF CONTENTS**

### **EXECUTIVE SUMMARY**

#### **I. FUNDING OPPORTUNITY DESCRIPTION**

- A. Program Purpose
- B. Program Authority

#### **II. AWARD INFORMATION**

- A. Award Type and Amount
- B. Period of Performance

#### **III. ELIGIBILITY INFORMATION**

- A. Eligible Applicants
- B. Cost Sharing or Matching
- C. Other Information
  - 1. Application Screening Criteria
  - 2. Number of Applications Applicants May Submit
  - 3. Eligible Participants

#### **IV. APPLICATION AND SUBMISSION INFORMATION**

- A. How to Obtain an Application Package
- B. Content and Form of Application Submission
  - 1. SF-424, "Application for Federal Assistance"
  - 2. Project Budget
  - 3. Project Narrative
  - 4. Attachments to the Project Narrative
- C. Submission Date, Time, Process and Address
  - 1. Hardcopy Submission
  - 2. Electronic Submission through Grants.gov
- D. Intergovernmental Review
- E. Funding Restrictions
  - 1. Indirect Costs
  - 2. Salary and Bonus Limitations
  - 3. Intellectual Property Rights
  - 4. Use of Grant Funds for Participant Wages
- F. Other Submission Requirements

#### **V. APPLICATION REVIEW INFORMATION**

- A. Criteria
  - 1. Statement of Need
  - 2. Reporting Matrix
  - 3. Project Design
  - 4. Partnerships and Related Services
  - 5. Organizational, Administrative, and Fiscal Capacity

6. Past Performance – Programmatic Capability
  7. Budget and Budget Justification
- Priority Consideration: Apprenticeship & Opportunity Zone

- B. Review and Selection Process
  1. Merit Review and Selection Process
  2. Risk Review Process

## **VI. AWARD ADMINISTRATION INFORMATION**

- A. Award Notices
- B. Administrative and National Policy Requirements
  1. Administrative Program Requirements
  2. Other Legal Requirements
  3. Other Administrative Standards and Provisions
  4. Special Program Requirements
- C. Reporting
  1. Quarterly Financial Reports
  2. Quarterly Performance Reports

## **VII. AGENCY CONTACTS**

## **VIII. OTHER INFORMATION**

- A. Web-Based Resources
- B. Industry Competency Models and Career Clusters
- C. WorkforceGPS Resources
- D. SkillsCommons Resources
- E. Definitions of Evidence-Based and Evidence-Informed Interventions
- F. DIRECTIONS FOR USING THE AMERICAN COMMUNITY SURVEY DATA TO IDENTIFY POVERTY LEVEL OF TARGET AREAS THAT ARE SUB-AREAS OF CITIES OR SUB-AREAS OF NON-METRO COUNTIES
- G. DIRECTIONS FOR USING THE AMERICAN COMMUNITY SURVEY DATA TO IDENTIFY POVERTY LEVEL OF INDIAN RESERVATIONS, OKLAHOMA TRIBAL STATISTICAL AREAS, ALASKA NATIVE VILLAGE STATISTICAL AREAS, AND NATIVE HAWAIIAN HOMELANDS
- H. Rentry Resources

## **IX. OMB INFORMATION COLLECTION**

## EXECUTIVE SUMMARY:

---

The Employment and Training Administration (ETA), U.S. Department of Labor (DOL, the Department, or we), announces the availability of approximately \$82.5 million in grant funds authorized by the Consolidated Appropriations Act, 2018, for ex-offender activities under Section 169 of the Workforce Innovation and Opportunity Act (WIOA) of 2014.

For this Funding Opportunity Announcement (FOA or Announcement), the Department intends to award grants to a combination of rural- and urban-serving areas. Eligible applicants must be organizations with IRS 501(c)(3) non-profit status, state or local governments, or any Indian and Native American entity eligible for grants under Section 166 of WIOA. Subject to receiving sufficient applications of fundable quality, DOL intends to award at least 30 percent of the available funds to organizations that have not received a Reentry Employment Opportunity (REO) or Reintegration of Ex-Offender (RExO) grant with a start date of June 2014 or later. ETA will refer to this 30 percent as the new applicant category for funding. See Section III.A. for additional information. All projects must serve high-crime, high-poverty communities. See Section IV.B.4(b) "Poverty and Crime Rates" for definitions of high-poverty and high-crime communities.

WIOA promotes an integrated system of workforce solutions that connect every type of job-seeker with employers in need of skilled workers. Through this FOA, ETA seeks to enhance both adult and young adult reentry strategies through collaboration with the field to identify and respond to emerging or chronic reentry challenges. This initiative intends to assist communities in planning and implementing comprehensive reentry programs to help adults and young adults who have been involved in the juvenile or adult justice system make successful transitions back to the community. One strategy this initiative seeks to test is the improved coordination of post-release and pre-release services, as this strategy has the potential to eliminate the gap between release from prison and enrollment into a reentry program leading to employment. Applicants should consider proposing strategies for better coordinating their service delivery in the post-release environment with the already existing provision of reentry programming to eligible incarcerated individuals prior to their release from state correctional facilities. Taken in total, this initiative intends to protect community safety by ensuring that these justice-involved individuals:

- Become productive, responsible, and law-abiding members of society;
- Receive positive opportunities to engage in pro-social activities, such as employment and/or education;
- Maintain long-term employment;
- Sustain a stable residence; and
- Successfully address their substance abuse issues and mental health needs, as applicable, through partnerships with local programs.

This FOA provides the opportunity for organizations to build customized projects. Applicants must propose evidence-based and evidence-informed interventions, new

interventions that theory or research suggests are promising (i.e. promising practices), or a combination of both that lead to increased employment outcomes for their target populations. More information about promising practices can be found in Section VIII.E. of this FOA.

The Department is especially interested in program models that offer apprenticeship opportunities, including in registered apprenticeship programs and industry-recognized apprenticeship programs, as well as pre-apprenticeship opportunities. Under the June 15, 2017 Presidential Executive Order on Expanding Apprenticeships in America, it is the policy of the Federal Government to provide more affordable pathways to secure high-paying jobs by promoting apprenticeships and effective workforce development programs. The Department is also interested in program models that better coordinate post-release and pre-release services.

**All projects must serve high-crime, high-poverty communities. Applicants whose target areas are not located in high-crime, high-poverty communities will be disqualified and not move forward through the merit review process. See Section IV.B.4 for definitions of high-poverty and high-crime communities.**

These projects will serve either young adults between the ages of 18 to 24 who have been involved in the juvenile or adult justice system or are high school dropouts or adults ages 25 or older who were formerly incarcerated in the adult criminal justice system and released from prison or jail within two years of the date of enrollment or are currently under supervision. Applicants may submit up to two (2) applications in response to this FOA, including a maximum of one (1) to serve adults and a maximum of one (1) to serve young adults. Each application may only propose to serve one target population, and applicants may not serve young adults and adults in the same program. Applicants may be selected to receive up to two (2) grant awards. In addition, eligible applicants must choose to apply as either an intermediary organization (for the purpose of this Announcement, intermediary organizations are defined as organizations that have an affiliate network or offices in at least three communities and across at least two states) or as a non-intermediary organization (for the purpose of this Announcement, non-intermediary organizations are those with single sites or multiple sites within one state).

## **I. FUNDING OPPORTUNITY DESCRIPTION**

---

The Department will competitively select applicants that have proposed service delivery approaches consisting of evidence-based and evidence-informed interventions previously shown to achieve successful employment outcomes for justice-involved individuals, new interventions that theory or research suggests are promising, or a combination of both. Models must provide solutions to improving workforce outcomes for justice-involved individuals located in high-crime, high-poverty communities. Applicants must have a clear

framework for delivering services and accomplishing performance goals and measures identified by DOL.

Applicants must provide a detailed description of the need for services in their target communities; how they plan to accomplish outcomes; their project design; their organizational, administrative, and fiscal capacity; and their past performance and programmatic capability. Applicants identified as intermediary organizations must show that their proposed sub-grantees' target areas are in areas of high-crime and high-poverty and describe how the sub-grantees will implement the applicant's program design.

**A. PROGRAM PURPOSE**

This Announcement solicits applications for Reentry Projects. The purpose of this program is to use evidence-based and evidence-informed interventions, new interventions that theory or research suggests are promising, or a combination of both to improve employment outcomes of adults and young adults. Adults served under this grant are ages 25 and older who were formerly incarcerated in the adult criminal justice system and released within two years of the date of enrollment or are currently under supervision, and young adults served under this grant are between the ages of 18 to 24 who have been involved in the juvenile or adult justice system or are high school dropouts. Grants for adults and young adults must provide services in high-crime, high-poverty communities. Applicants must have a clear framework for delivering services and accomplishing performance goals and measures identified by DOL.

**B. PROGRAM AUTHORITY**

The Workforce Innovation and Opportunity Act (WIOA), Section 169, Public Law 113-128, codified at 29 U.S.C. 3224, and the Consolidated Appropriations Act, 2018, authorize 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 \$82.5 million to fund approximately forty-one (41) grants. ETA will award approximately seven (7) grants of up to \$4,500,000 each to intermediary organizations; of the grants awarded to intermediary organizations, one (1) will serve adults and approximately six (6) will serve young adults. ETA will award at least \$25 million to intermediaries serving young adults, including high school dropouts. In addition, we will award approximately thirty-

four (34) grants of up to \$1,500,000 each to non-intermediary organizations; of the grants awarded to non-intermediary organizations, approximately twenty (20) will serve adults and approximately fourteen (14) will serve young adults.

Applicants may submit up to two (2) applications in response to this FOA: a maximum of one (1) to serve adults and a maximum of one (1) to serve young adults. Each application may only propose to serve one (1) target population, and applicants may not serve young adults and adults in the same program. Applications that propose serving both young adults and adults in the same program will be disqualified and not move forward in the merit review process. Applicants may be selected to receive up to two (2) grant awards.

Applicants applying as intermediary organizations may apply for a ceiling amount of up to \$4,500,000 per application; applicants applying as non-intermediary organizations may apply for a ceiling amount of up to \$1,500,000 per application. Intermediary applicants proposing a ceiling amount of over \$4,500,000 or non-intermediary applicants proposing a ceiling amount of over \$1,500,000 will be disqualified and not reviewed or moved forward in the merit review process.

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. Subject to receiving sufficient applications of fundable quality, DOL intends to award at least 30 percent of grant funds to new applicants and no more than 70 percent of grant funds to previously awarded organizations that have received REO grants in the past five years.

Organizations that have received grants under any of the following Funding Opportunity Numbers are considered previously-funded grantees and will not be considered under the new applicant category for funding.

- FOA-ETA-18-02
- FOA-ETA-17-02
- FOA-ETA-16-09
- FOA-ETA-16-06
- FOA-ETA-16-03
- FOA-ETA-15-07-A
- FOA-ETA-15-07
- FOA-ETA-15-04
- FOA-ETA-15-03
- FOA-ETA-15-01
- SGA/DFA PY-13-03
- SGA/DFA PY-13-09

DOL intends to award grants to a combination of rural- and urban-serving organizations. For this grant announcement, a rural area is defined as being located in a non-metropolitan county or counties. To determine whether your proposed service area is in a non-metropolitan county, go to <https://www.census.gov/geo/maps-data/maps/statecbsa.html>.

Under the first option, "February 2013," select a map of your state. Counties shown in either white or light green (micropolitan areas) are considered non-metropolitan counties under this grant announcement, while counties in dark green count as metropolitan areas. All projects' target areas must be located in high-crime, high-poverty communities, further described in Section IV.B.4(b).

Applicants must not propose to exceed an \$8,000 cost-per-participant (CPP), which includes administrative, planning, and follow-up costs. Applications that exceed \$8,000 CPP will be disqualified and not be reviewed or move forward in the merit review process. The CPP calculation divides the total amount of funding the applicant is requesting to serve an adult or young adult population by the number of proposed participants. Grantees must serve at least the number of participants proposed in their application. Intermediary organizations submitting applications requesting the maximum \$4,500,000 must ensure that their sub-grantees cumulatively serve at least 563 participants over 39 months; non-intermediary organizations submitting applications requesting the maximum \$1,500,000 must serve at least 188 participants over 39 months. Applicants applying as intermediary organizations must select and identify in their application their intended sub-grantees. DOL does not require applicants to competitively select local sub-grantees. Applicants may, but are not required to, select their local offices, affiliates, or members to serve as one or more sub-grantees.

## **B. PERIOD OF PERFORMANCE**

These grants have a 39-month period of performance, which includes up to three months of planning, a required 24-month period of operation, and a required 12-month period for follow-up services. Grantees must meet their enrollment goal and ensure that each participant receives the full menu of services within the period of operation and be able to ensure that each participant receives the 12 months of follow-up services during the performance period of the grant. A minimum of five percent of total funds must be reserved for the 12-month follow-up period. The anticipated start date for these projects is July 1, 2019.

To ensure that grantees are prepared to begin program implementation, the Federal Project Officer (FPO) will review the completion of specific preliminary steps within the identified planning period of the grant. Grantees must complete these key preliminary steps during the planning period: hiring key staff (Director, Fiscal Manager, and Case Manager), securing locations to house the program, finalizing



sub-grant agreements, meeting with any additional partners identified in the application to solidify partnerships, and ensuring readiness for inputting data into the DOL Workforce Integrated Performance System (WIPS) and any DOL provided Case Management or Access Database system (if deemed applicable by DOL). The Department may subject grantees that do not meet these preliminary steps to corrective action. The application to the FOA serves as the Statement of Work for the grant.

### **III. ELIGIBILITY INFORMATION**

---

#### **A. ELIGIBLE APPLICANTS**

All applicants must comply with the eligibility requirements below:

- All eligible applicants must be organizations with IRS 501(c)(3) non-profit status, including women's and minority organizations; state or local governments; or any Indian and Native American entity eligible for grants under Section 166 of (WIOA).
- Entities eligible for WIOA Section 166 grants include: Federally-recognized Indian tribes; Tribal organizations as defined in 25 U.S.C. 450b; Alaska Native-controlled organizations; Native Hawaiian-controlled organizations; Indian-controlled organizations serving Indian and Native Americans (INA); a consortium of eligible entities that meet the legal requirements for a consortium as defined at 20 CFR 684.200(e); and State-recognized tribal organizations as defined in 20 CFR 684.200(g).
- Eligible applicants may be rural- or urban-serving organizations. For the purposes of this FOA, a rural area is an area within a non-metropolitan county as described above in Section II.A.

The Department requests applicants applying with IRS 501(c)(3) non-profit status submit verification of the non-profit status. If you have submitted this documentation previously in another application submission, please submit it again for this application. For applicants applying with IRS 501(c)(3) non-profit status that do not submit documentation of this status, the Department will check IRS data to ensure the applicant has this status.

The Department requests that applicants indicate if they are applying as either an intermediary organization (for the purpose of this Announcement, intermediary organizations are defined as organizations that have an affiliate network or offices in at least three communities and across at least two states) or as a non-intermediary organization (for the purpose of the Announcement, non-intermediary organizations are those with single sites or multiple sites within one state) in their application.

Applicants must identify their target population in their application. Applicants may propose to serve either adults (ages 25 or older who have been incarcerated in the adult criminal justice system and released from prison or jail within two years of enrollment or are currently under supervision) or young adults (ages 18-24 who have been involved in the juvenile or adult justice system or are high school dropouts) but may not serve both with the same application. The Department requests that applicants indicate which target population they intend to serve by using the Funding Opportunity Numbers below:

If applying to serve the adult population, submit applications under FOA-ETA-19-01-A.

If applying to serve the young adult population, submit applications under FOA-ETA-19-01-YA.

Applicants may submit up to two (2) applications in response to this FOA, including a maximum of one (1) to serve adults and one (1) to serve young adults. Applicants may not propose to serve young adults and adults in the same application.

Applications that do not identify a target population or that propose to serve both young adults and adults will be disqualified and not reviewed or moved forward in the merit review process.

Eligible applicants include current or former DOL grantees. New applicants that have not received previous DOL grants are also encouraged to apply.

All projects' target areas must be located in high-crime, high-poverty communities; applicants must show this using the instructions in section IV.B.4(b). Sample tables showing high-crime, high-poverty status are in Section IV below. Applicants proposing target areas that are not in high-crime, high-poverty communities will be disqualified and not move forward through the merit review process.

Furthermore, applicants will receive priority consideration of two (2) bonus points if the applicant (if applying as a non-intermediary organization) or at least one sub-grantee (if applying as an intermediary organization) has at least one census tract in their target area designated by the Secretary of Treasury as a qualified opportunity zone; applicants will not receive additional bonus points for more than one opportunity zone sub-grantee. For more information on opportunity zones, go to: <https://www.irs.gov/newsroom/opportunity-zones-frequently-asked-questions>.

**B. COST SHARING OR MATCHING**

This program does not require cost sharing or matching funds. Including such funds is not one of the application screening criteria and applications that include any form of cost sharing or match will not receive additional consideration during the review process. Instead, the agency considers any resources contributed to the project beyond the funds provided by the agency as leveraged resources. Section IV.B.2 provides more information on leveraged resources.

**C. OTHER INFORMATION**

**1. Application Screening Criteria**

You should use the checklist below as a guide when preparing your application package to ensure that the application has met all of the screening criteria. Note that this checklist is only an aid for applicants and should 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.

<b>Application Requirement</b>	<b>Instructions</b>	<b>Complete?</b>
The deadline submission requirements are met.	Section IV.C	
Application is from an eligible organization.	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. <i>(We will attempt to open the document, but will not take any additional measures in the event of problems with opening.)</i>	Section IV.C.2	
Application's Federal funds request does not exceed the ceiling amount of \$4,500,000 for intermediary organizations or \$1,500,000 for non-intermediaries.	Section II.A	
Application does not exceed the \$8,000 cost-per-participant (CPP) rate.	Section II.A	
Application identifies the target population and does not propose to serve both young adults and adults. (Applications that do not identify a target population or that propose serving both adults and young adults will be disqualified and not move forward in the merit review process.)	Section III.A	
Applicant has completed SAM Registration.	Section IV.B.1	
Application includes SF-424, Application for Federal Assistance	Section IV.B.1	
SF-424 includes a DUNS Number	Section IV.B.1	
Application includes SF-424A, Budget Information Form	Section IV.B.2	
Application includes Budget Narrative	Section IV.B.2	
Application includes Project Narrative	Section IV.B.3	

Application Requirement	Instructions	Complete?
<p>Poverty, Crime Rates and Map attachments for all applicants that includes the target area of each community to be served and show that each of these communities are located in high poverty and high crime areas:</p> <ul style="list-style-type: none"> <li>• High Poverty Table using data from Census Bureau website showing that each target area has a poverty rate of at least 25% (applicants using zip-codes will be disqualified) per the instructions in Section IV.B.4; and</li> <li>• Crime Rate Table demonstrating that the service area is high crime per instructions in Section IV.B.4.</li> <li>• A map showing that the target area is contiguous.</li> </ul>	Section IV.B.4(b)	

## 2. Number of Applications Applicants May Submit

We will consider up to two (2) applications from each organization, including one (1) for each target population, identified in the Funding Opportunity Numbers below. In each application, the Department requests that applicants select to be identified as either an intermediary organization or a non-intermediary organization. If we receive multiple applications from the same organization for a single Funding Opportunity Number, we will only consider the most recently received application that met the deadline, regardless of the target population identified in the application. The earlier submission(s) will not be reviewed. If the most recent application is disqualified for any reason, we will not replace it with an earlier application. Any application proposing to serve both target populations in the same application will be disqualified and will not move forward in the merit review process. As stated above, we will only accept one application from each organization for each opportunity number. In the event an applicant submits an application under the wrong opportunity number and that application is not otherwise disqualified, such as for the submission of multiple applications under a single Funding Opportunity Number, the Department will place that application in the correct adult or young adult category.

**Applicants applying to serve the Adult population apply under Funding Opportunity Number: FOA-ETA-19-01-A**

**Applicants applying to serve the Young Adult population apply under  
Funding Opportunity Number: FOA-ETA-19-01-YA**

**3. Eligible Participants**

***a) Participants Eligible to Receive Training***

**(1) Young Adults**

An individual is eligible to participate in a program funded through this FOA if that individual, on the date of enrollment (the date of enrollment is when the individual has gone through the application process, been accepted, and received confirmation that they will participate in the program):

- is at least 18 years and not older than 24 years of age;
- is a high school dropout\* or currently involved or has been involved with the juvenile or adult justice system, which includes:
  - currently or previously incarcerated;
  - under the supervision of the justice system, either in out-of-home placements, on probation, or on parole;
  - under an alternative sentence by the justice system; or
  - under a diversion program as an alternative to prosecution; and
- must reside in or is returning to the target area.

\*Not more than 10 percent of participants may be enrolled as high school dropouts without having involvement in the juvenile or adult justice system.

**(2) Adults**

An individual is eligible to participate in a program funded through this FOA if that individual, on the date of enrollment:

- is 25 years of age or older;
- must reside in or is returning to the target area; and
- is one of the following:
  - was previously incarcerated and released from prison or jail within two years of enrollment, or
  - is currently under supervision (which includes individuals: confined in a correctional facility with a release date within six months, residing in a residential reentry center, on electronic monitoring or home-based monitoring, or enrolled in a jail-based work release center).

Grantees have the discretion to enroll individuals convicted of violent offenses or sexual offenses and those assessed as high-risk of either offense. Grantees that choose to serve these populations must conduct a rigorous risk assessment of each participant assessing criminogenic need, (i.e., causing or likely to cause criminal behavior). Applicants proposing

to serve these populations may adjust their outcomes accordingly; enrollment goals based on cost-per-participant may not be reduced. In all cases, grantees must have clear and consistent written enrollment policies that address program enrollment. Grantees must submit their written enrollment policies as a condition of award. More information on risk assessments can be found at:

<http://csgjusticecenter.org/reentry/the-reentry-and-employment-project/>, as well as in Section VIII, Part H of this FOA.

NOTE: Male participants are required to register for the selective service before participating in services. Grantees should determine eligibility of male participants by accessing the Selective Service System at <https://www.sss.gov/>. For additional guidance, including how this requirement applies to male participants incarcerated at the time of their 18<sup>th</sup> birthdays, please see Training and Employment Guidance Letter (TEGL) 11-11. Change 2 clarifies the implementation of the Selective Service registration requirements of the Workforce Investment Act (WIA) of 1998 § 189(h) for grantees funded or authorized by Title I of WIA, located at: [http://wdr.doleta.gov/directives/attach/TEGL/TEGL\\_11-11\\_change2.pdf](http://wdr.doleta.gov/directives/attach/TEGL/TEGL_11-11_change2.pdf). This guidance applies to grants funded or authorized by WIOA.

***b) Veterans' Priority for Participants***

38 U.S.C. 4215 requires grantees to provide priority of service to veterans and spouses of certain veterans for the receipt of employment, training, and placement services in any job training program directly funded, in whole or in part, by DOL. The regulations implementing this priority of service 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](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2816). This guidance applies to programs funded under WIOA. For additional information on veteran's priority of service and WIOA, please see TEGL 19-16. TEGL 19-16 is available at [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=3851](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=3851)

#### IV. APPLICATION AND SUBMISSION INFORMATION

---

##### A. HOW TO OBTAIN AN APPLICATION PACKAGE

This FOA, found at [www.Grants.gov](http://www.Grants.gov) and [https://www.doleta.gov/grants/find\\_grants.cfm](https://www.doleta.gov/grants/find_grants.cfm), contains all of the information and links to forms needed to apply for grant funding.

**NOTE:** If applying to serve the adult population, use Funding Opportunity Number **FOA-ETA-19-01-A** on Grants.gov. If applying to serve the young adult population, use Funding Opportunity Number **FOA-ETA-19-01-YA** on Grants.gov.

##### B. CONTENT AND FORM OF APPLICATION SUBMISSION

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

- [1. the SF-424 "Application for Federal Assistance;"](#)
- [2. Project Budget, 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.

In addition, the applicant's Authorized Representative's signature in block 21 of the SF-424 form constitutes assurance by the applicant of compliance with the following requirements in accordance with 29 CFR 38.25.

As a condition to the award of financial assistance from the Department of Labor under Title I WIOA, the grant applicant assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws, including: Section 188 of the WIOA, which, as interpreted through Departmental regulations, prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex (including pregnancy, childbirth, and related medical conditions, transgender status, and gender identity), national origin (including limited English proficiency), age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship status or participation in any WIOA Title I—financially assisted program or activity; Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the bases of race, color and national origin; Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities; The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs. The grant applicant also assures that as a recipient of WIOA Title I financial assistance (as defined at 29 CFR 38.4(z)), it will comply with 29 CFR part 38 and all other regulations implementing the laws listed above. This assurance applies to the grant applicant's operation of the WIOA Title I-financially assisted program or activity, and to all agreements the grant applicant makes to carry out the WIOA Title I-financially assisted program or activity. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance.

#### **Requirement for DUNS Number**

All applicants for Federal grant and funding opportunities 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 from you unless the entity has provided its DUNS number to you.
- Grant recipients may not make a subaward to an entity unless the entity has provided its DUNS number to you.

(See, Appendix A to 2 CFR section 25.)

#### **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.

## **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.

**Budget Narrative:** The Budget Narrative must provide a description of costs associated with each line item on the SF-424A. 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. 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.

The Budget Narrative must demonstrate that the cost-per-participant is at or under \$8,000. Up to five percent (5%) of grant funds may be used to provide emergency assistance for housing, substance abuse treatment, and mental health treatment for participants. Additionally, up to 1.5% of grant funds may be used for needs-related payments. 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.

**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 which has an estimated acquisition cost of \$5,000 or more per unit (or if your capitalization level is less than \$5,000, use your capitalization level) and a useful lifetime of more than one year (see 2 CFR 200.33 for the definition of Equipment). List the 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 any item, such as stipends or incentives, not covered elsewhere here.

**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 Appendix VII of 2 CFR 200, paragraph (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 below the definitions 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/oasam/boc/dcd/index.htm>.

Note that the SF-424, SF-424A, and Budget Narrative must include the entire Federal grant amount requested (not just one year).

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**

#### **A. Preparing the Project Narrative**

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

The Project Narrative is limited to 25 pages for intermediary organizations and 20 pages for non-intermediary organizations. All pages must be 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.

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:

#### **(1) Statement of Need**

Describe in both quantitative and qualitative terms the need for assistance, including the nature and scope of the problem and the consequences of not addressing the need. Incorporate demographic data and participant/beneficiary information whenever possible.

Applicants must indicate the following:

Participants Served: Identify the category of participant (young adult or adult).

If applying as a non-intermediary organization, identify the number of participants that the applicant will serve. If applying as an intermediary organization, indicate the number of participants that each sub-grantee will serve, as well as the total cumulative number of participants to be served by all sub-grantees combined.

All applicants must demonstrate that there is a sufficient pool of eligible potential participants in the target area(s) to recruit into the program.

All applicants must provide evidence to support the number of proposed participants in each of the areas to be served.

Selected Skills Training Programs: Describe the need for the selected training programs in the area(s) to be served and identify the source of this information, such as Workforce Development Boards (WDBs), business/industry groups, or labor market projections.

## (2) Reporting Matrix

The Department expects REO grantees to track and report the primary indicators of performance as listed in WIOA section 116(b)(2)(A)(i-ii), as well as REO-specific measures. As part of their data collection, all REO grantees are directed to request participants' social security numbers (SSNs). However, while REO grantees are required to request participants' SSNs, participants cannot be denied services if they choose not to disclose.

REO grantees will report on the six WIOA primary indicators of performance. These indicators are:

- 1) Employment Rate – Second Quarter After Exit (projects serving adults)
  - 1a) Education and Employment Rate – Second Quarter After Exit (projects serving young adults)
- 2) Employment Rate – Fourth Quarter After Exit (projects serving adults)
  - 2a) Education and Employment Rate – Fourth Quarter After Exit (projects serving young adults)
- 3) Median Earnings – Second Quarter After Exit
- 4) Credential Attainment – Credential attainment is both a WIOA primary indicator and a REO-specific goal. The Department is currently setting the goal for this measure at 60 percent. The description of the goal is stated below in the REO-specific goals.
- 5) Measurable Skill Gains
- 6) Effectiveness in Serving Employers

Additional information on these performance indicators can be found in Training and Employment Guidance Letter (TEGL) 10-16, Change 1: “Performance Accountability Guidance for Workforce Innovation and Opportunity Act (WIOA) Title I, Title II, Title III and Title IV Core Programs,” found at: [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=8226](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=8226). Additionally, the Department plans to release additional performance guidance that will include information specific to the REO program.

Targets for the WIOA measures will be determined post-award, except Credential Attainment as described below.

REO grantees also are expected to track, report, and meet the following REO-specific goals:

- 1) Enrollment Rate: the number of participants enrolled in the program divided by the enrollment goal. Each grantee has an individual enrollment goal derived from the grantee’s grant application. Grantees must ensure that each participant has the opportunity to receive the full menu of services prior to the end of the 24-month period of operation and receive the full 12 months of follow-up. Grantees should reach their enrollment goals by the midpoint of the program operations period, as described in Section II. B. We define enrollment as the date the individual has gone through the application process, been accepted, and received confirmation that they will participate in the program; for the adult population, this must occur within two years of release from incarceration. **The enrollment rate goal for all grantees is 100 percent.**
- 2) Recidivism Rate: the percentage of participants who were in or returning from a juvenile or adult correctional facility or on probation prior to enrolling in the program and have been convicted of a new criminal offense committed within 12 months of their release from a juvenile or adult correctional facility or placement on probation. **The goal for this measure is 20 percent or below.**
- 3) Occupational Skills Training and Apprenticeship Program Rate: the percentage of participants who enter training or an apprenticeship program. **The goal for this measure is 60 percent.**
- 4) Placement Rate: the percentage of participants who are placed into one or more of the following: Apprenticeship, Unsubsidized Employment, or Post-Secondary Education. Grantees have until the end of the grant period of performance to achieve this measure. **The goal for this measure is 70 percent.**

NOTE: Credential Attainment Rate is both a WIOA primary indicator and a REO-specific goal, as indicated above. The credential attainment rate is the percentage of those participants enrolled in an education or training

program (excluding those in on-the-job training (OJT) and customized training) who attain a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program. A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage of participants who have attained a secondary school diploma or its recognized equivalent only if the participant also is employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program. **The goal is 60 percent.**

Applicants must describe:

- Outcomes Strategies: Grant applicants must describe their strategies for achieving the REO-specific measures and WIOA primary indicators of performance outlined above and how the strength of their proposed strategies will ensure that the stated goals are met. Strategies are to be specific, quantifiable statements and clearly linked to each REO-specific measure and WIOA primary indicator of performance.
- Support Strategies: Describe how the applicant will assist staff or sub-grantees (if applying as an intermediary organization) to meet the REO-specific measures and the WIOA primary indicators of performance. Grantees will be required to report to ETA quarterly throughout the period of performance on their progress towards achieving the identified outcomes.

### (3) Project Design

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

Applicants must identify and describe:

- Evidence-Based and Evidence-Informed Interventions or Promising Practices: Identify and describe the proposed service delivery components used in this project which must be one of the following: 1) evidence-based and evidence-informed interventions; 2) new interventions that theory or research suggests are promising; or 3) a combination of these types of practices. Applicants must provide a clear theory and empirical evidence to support the choice of the type of

intervention/components. For additional information, including definitions of evidence-based and evidence-informed interventions, a list of resources, and sample model components, see Section VIII. E.

- Approaches and Methods: Outline the approaches and methods that will be used to implement the program and explain their integration into the program model, as well as the milestones showing the achievement of major tasks and outcomes within the 39-month grant period. Justify the proposed approaches and state the reason for their selection rather than other approaches. Describe how such methods will lead to the stated outcomes. While budgeting for this work, note that up to five percent (5%) of grant funds may be used to provide emergency assistance for housing, substance abuse treatment, and mental health treatment for participants. Up to 1.5% may be used for needs related payments.
- Project Timelines: Identify reasonable timelines for completion of work and describe how the applicant will achieve the work in the timeframe indicated, or, if applying as an intermediary organization, support and assist its sub-grantees to achieve the overarching work plan to implement this grant.
- Planning Phase: Describe a plan to meet the preliminary steps to be completed during the planning phase: hiring key staff (Director, Fiscal Manager, and Case Manager); securing locations to house the skills training; finalizing sub-grant agreements, as applicable; meeting with any additional partners identified in the application to solidify partnerships, as applicable; and ensuring readiness for inputting data into the DOL Workforce Integrated Performance system (WIPS) and any DOL provided Case Management or Access Database system (if deemed applicable by DOL) and, if applying as an intermediary organization, assist sub-grantees to meet these preliminary steps.
- Work Plan: Provide a detailed narrative description of the proposed plan for accomplishing the work (the work plan) describing how the project will operate throughout the funding period and include a graphic illustration, such as a Gantt chart or a flow chart as an attachment to the Project Narrative, showing how the applicant will successfully achieve outcomes. Include in the work plan: 1) all functions, activities or major tasks and the assignment of responsibilities for those major tasks identified in the application; 2) factors that might accelerate or delay the work and how the applicant will address such factors amid program operations; and 3) any potential barriers with a description of how the project will overcome these barriers. If applying as an intermediary organization, clearly identify the roles and responsibilities of both the applicant and all sub-grantees.



- Employment-Focused Services: Employment-focused services must be included in the project design and must span throughout the participant's participation in the program. Identify the employment-focused service(s) that will be incorporated in your program model. Include at least one of the following approaches: skills training leading to industry-recognized credentials, apprenticeship, work-based learning, or career pathways. Applicants must ensure that the skills training provided has no state or local licensing regulations that prohibit individuals with criminal records from obtaining a license in that career. Applicants must identify and explain how their approach will be combined with the evidence-based and evidence-informed interventions or promising practices identified above to lead to improved employment outcomes for program participants.
- Case Management and Legal Services: Case management and legal services are fundamental services that are essential in all reentry programs. Both of these types of services must begin at the time of enrollment and continue throughout the participant's participation in the program, including the follow-up period, and must be consistent with the regulations and guidance under WIOA. Applicants must provide the case management and legal services component and must identify and justify in their application how the services will be provided. Specifically, applicants must at a minimum:
  - Identify and justify how services will be provided (direct, contracted, or through other organization collaborations); if applying as an intermediary organization, this must be identified for each subgrantee;
  - Identify and provide justification for the ratio of case managers to participants and how the case managers will act as advocates for program participants, including the frequency of their interactions;
  - Identify the specific legal services, such as but not limited to expungement or diversion, that will be available to program participants and how these services will be provided;
  - Identify, justify, and describe the promising practices, evidence-based or evidence-informed types of case management services and/or activities provided; and
  - Describe how case management and legal services will be provided at the time of enrollment and continue throughout the participant's participation in the program, including the follow-up period.

#### (4) Partnerships and Related Services

##### Main Partnerships

All applicants must partner with the justice system (examples: correctional facilities, parole, probation, residential reentry centers, and law enforcement) and employers. Applicants must identify their partners and describe the

specifics of their partnership in a Memorandum of Understanding or Letter of Commitment signed by the authorizing agent of the partner organization, which describes:

- Services provided to the organization or participants
- Procedures for enrollment or recruitment, if applicable; and
- Plan for coordination of services between partners, including coordination between pre-release and post-release service providers, if applicable.

NOTE: Memoranda of Understanding and Letters of Commitment must be included as attachments and will not be counted as part of the technical proposal.

The Department strongly encourages recipients of funding under this FOA to participate as additional one-stop partners. Partnering with the workforce system provides mutual benefits, including the enhancement of services and outreach. For additional information about the roles and responsibilities of additional partners, please see Training and Employment Guidance Letter 17-16.

Grantees are encouraged to leverage resources with local organizations to provide housing and/or substance abuse and mental health treatment for participants. However, up to five percent (5%) of grant funds may be used to provide emergency assistance for housing, substance abuse treatment, and mental health treatment for participants. An additional 1.5% of grant funds may be used for needs-related payments. Grantees must submit a written policy on the use of these funds, including the procedures for participants to request assistance, selection criteria, and process for procuring these services as a condition of award.

#### Additional Partnerships and Commitments

##### Non-intermediary Applicants

- Partnerships: Describe how the applicant will partner and collaborate with additional organizations to support the program model and lead to the identified outcomes.
- Commitments: Provide signed and dated Letters of Commitment or Memoranda of Understanding between the applicant and partner organizations that propose to provide services to support the program model and lead to the identified outcomes.

##### Intermediary Organization Applicants

- Sub-Grantee Partnerships: Describe how the applicant will ensure that sub-grantees will partner and collaborate with additional organizations to support the program model and lead to the identified outcomes.

- Sub-Grantee Commitments: Provide signed and dated Letters of Commitment or Memoranda of Understanding between the applicant and each identified sub-grantee.

#### (5) Organizational, Administrative, and Fiscal Capacity

Applicants must identify and describe:

- Staff, Organizational Structure, and Multi-site Management:

Provide information on:

- How the applicant will manage and staff the project;
  - How the applicant will oversee multiple sites, as applicable;
  - The applicant's current mission, structure, and relevant experience;
  - A description of how staff, organizational structure, and multi-site management contribute to the ability of the applicant to conduct the project and meet program expectations and requirements. Include information about any organization(s) under contract with the applicant that will have a significant role in implementing the project and any previous experience implementing projects of similar design or magnitude;
  - A description of programmatic capability and any past experience, if applicable, serving justice-involved individuals; and
  - A description of the applicant's fiscal and administrative controls in place to manage Federal funds. Include the applicant's capability to sustain some or all project activities after Federal financial assistance has ended.
- If applying as an intermediary organization, also include:
    - A plan for supporting and sustaining some or all sub-grantee projects;
    - A description of each sub-grantee's current mission, structure, and relevant experience; and
    - How these factors contribute to the ability of each sub-grantee to implement the project and meet program expectations.

#### (6) Past Performance – Programmatic Capability

Organizations will receive points based on past performance data. All applicants must submit information for the Past Performance criteria identified below. This past performance document will not be counted against the page limit.

If you have received federally and/or non-federally funded assistance agreements (federal assistance agreements include Federal grants and cooperative agreements but not Federal contracts) similar in size, scope, and relevance to the proposed project that have been completed within the last five years of the closing date of this Announcement, the applicant must submit a

Past Performance Chart for the most recently completed agreement. If you have completed a REO grant within the past 5 years, your Past Performance Chart must reflect that grant. However, if you have not completed a REO grant but have completed any other ETA agreement, you must submit a chart for that agreement. A completed grant means the period of performance has ended. Please note that current REO grantees that are still within their period of performance and have not completed any other REO grants within the past five years must include past performance data for a different grant similar in size, scope, and relevance. Examples of REO grants that may have been completed within the past five years include some Training to Work, Face Forward, and Linking to Employment Activities Pre-release Specialized American Job Centers grants. If you are unsure if you have a past REO grant, please contact the agency contact listed in Section VII of this FOA.

This chart must include the grantor contact name and telephone number.

**i. - Performance Goals:**

The Past Performance Chart must include the overall objectives of the grant, population served, funding amount, and grantor contact information. The chart must detail: 1) placement in education or employment and 2) certificate/degree attainment. Where applicable, the certificate/degree attainment will be calculated as the weighted rate of the combined high school diploma/equivalency and the industry recognized certificate attainment rates (i.e., the sum of the numerators for both metrics will be divided by the sum of the denominators for both metrics). All applicants must specifically address the placement in education or employment and certificate/degree attainment outcomes. Applicants substituting alternative outcomes will receive zero points for any alternative outcome submitted.

In the chart, applicants must identify the total number of participants enrolled in the program and the performance outcome for each metric (placement in education or employment and certificate/degree attainment). The performance outcome for each metric must be displayed as both a fraction (i.e., the numerator equal to the number of program participants who achieved the identified indicator and the denominator equal to the total program participants eligible for the identified indicator) and a percentage. For example, if using the employment/education placement measure, the performance metric description might be: Participants who were placed into unsubsidized jobs within one year of program completion divided by total program participants eligible to be placed into unsubsidized jobs within one year of program completion.

Applicants will receive points based on past performance demonstrated in the performance chart. The performance chart must clearly identify the indicators being used and must include definition for how the outcome is calculated (i.e., the numerator and denominator for the outcome).

**ii. - Spending Rate Analysis**

All applicants must submit, as part of the chart of past performance described above, the total grant amount and the percentage of grant funds spent during the original period of performance for their most recently completed grant, as specified above. Applicants will receive points for their spending rate as demonstrated in the chart they provide.

Below is a sample format for the chart:

<b>Name of Previous Grantor Organization:</b>				
<b>Grantor Contact - Name, Title, Signature (if non-ETA grant), E-mail Address, and Telephone Number:</b>				
<b>Project Title and Grant Number:</b>				
<b>Project Period of Performance:</b>				
<b>Number of Participants Enrolled:</b>				
<b>Population Served:</b>				
<b>Performance Goals</b>				
<b>Metric</b>	<b>Performance Indicator (Goal)</b>	<b>Performance Outcome</b>	<b>Performance Outcome / Performance Goal</b>	<b>Percentage Rate of Actual Achievement</b>
<i>placement into education and/or employment</i>	<i>60</i>	<i>58</i>	<i>58/60</i>	<i>97%</i>
<i>certificate/degree attainment</i>				
<b>Spending Rate Analysis</b>				
<b>Grant Funds Received:</b>	<b>Grant Funds Spent by end of Period of Performance:</b>	<b>Total Spent / Total Grant Funds</b>	<b>Percentage Rate of Spending:</b>	
<i>Example: \$1,000,000</i>	<i>\$800,000</i>	<i>\$800,000 / \$1,000,000</i>	<i>89%</i>	

**iii. - Fiscal Viability:**

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

**(7) Budget and Budget Justification**

Please see **Section IV.B.2.** for information on requirements related to the budget and budget justification.

#### **4. Attachments to the Project Narrative**

In addition to the Project Narrative, you must submit attachments. All attachments must be clearly labeled. We will only exclude 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 resumés 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 less and only use standard characters in file names: A-Z, a-z, 0-9, and underscore (\_). File names may not include special characters (e.g. &, -, \*, %, /, or #), 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.

#### **Required Attachments**

##### **a. Abstract**

You must submit an up to two-page abstract summarizing the proposed project, including, but not limited to, the scope of the project and proposed outcomes. 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:

1. the applicant's name;
2. the project title;
3. a description of the area to be served by the applicant or each sub-grantee, if applying as an intermediary organization;
4. the number of participants to be served (total, and per sub-grantee, if applying as an intermediary organization);
5. the funding level requested;
6. the total cost per participant;
7. the target population to be served (Adults or Young Adults);
8. identification as applying as a non-intermediary or intermediary organization;
9. a list of all sub-grantees that will implement the proposed project design, if applicable;
10. a list of the specific cities, towns, or counties that the applicant plans to serve and identification of whether each city, town, or county is rural or urban (as defined in Section II.A);

11. whether the applicant is new or previously-funded as defined in the Executive Summary;
12. the census tract number in your target area, or sub-grantee's target area, designated as a qualified opportunity zone, if applicable; and
13. a brief summarization of the proposed project, including, but not limited to, the scope of the project and proposed outcomes, including:
  - the selected methods - evidence-based and evidence-informed program design, interventions that theory and research suggest are promising, or a combination of the two; and
  - how the selected methods will improve the employment outcomes for this population, including the proposed outcomes for the project.

The Abstract is limited to two double-spaced single-sided 8.5x11 inch pages with 12 point text font and 1 inch margins. When submitting in grants.gov, this document must be uploaded as an attachment to the application package and specifically labeled "Abstract."

b. Poverty Table, Crime Rate Table, and Map

All projects' target areas must be located in high-crime, high-poverty communities. Applicants must demonstrate this through tables, of which, suggested formats are detailed below. If you use different table formats, all of the elements in the suggested table formats must be included. All applicants must provide a Poverty Rate Table, Crime Rate Table, and also include a service area map showing that the census tracts are contiguous.

When submitting in <https://www.grants.gov>, the document providing the information described in more detail below demonstrating that the target areas are high-crime and high-poverty must be uploaded as an attachment to the application package and specifically labeled "Poverty and Crime Rate Attachment", and the map must be labeled "Service Area Map." Applications that do not include this information will be disqualified and will not move through the merit review process.

Sub-Grantees by Intermediary Organizations and Poverty and Crime Data

Applicants applying as intermediary organizations must select and identify in their application their intended sub-grantees. DOL does not require applicants to competitively select local sub-grantees. Applicants may, but are not required to, select their local offices, affiliates, or members to serve as one or more sub-grantees. Applicants must include all poverty and crime rate data requested in this section for each sub-grantee and target community. Applications for intermediary organizations that do not include this information will be disqualified and will not move through the merit review process.

High-Poverty

Applicants must use the latest available American Community Survey Five-Year (ACS) data to find the cumulative poverty rate in their target community or communities and provide this information as a High Poverty Table. High-poverty communities are communities with poverty rates of at least 25 percent, as exhibited through the use of ACS data.

Applicants serving target areas that are sub-areas of a city or sub-areas of a non-metropolitan county will need to identify individual census tracts within the target area by using the directions for using ACS data outlined in Section VIII, Part F. Applicants serving sub-areas of a city or sub-areas of a non-metro county must submit as an attachment a poverty rate table that shows the overall population and the population living below the poverty level of each Census Tract in the applicant's target area(s) and a map showing that the Census tracts are contiguous. Applications using zip codes instead of census tracts on this attachment will be disqualified and not move forward through the merit review process. The table must show that the percentage of the entire target area living beneath the poverty line is at least 25 percent of the overall population of the target service area.

The directions for Indian Reservations, Trust Lands, OTSAs, Alaska Native Village Statistical Area (ANVSAs), or Native Hawaiian Homelands for using ACS data are outlined in Section VIII, Part G.

Some applicants may be planning to serve an entire city or county or contiguous counties that have a poverty rate of 25 percent or above and these applicants can document the poverty rate of the city or county by going to the Census Bureau's American FactFinder home page at <https://factfinder.census.gov>. At the very top of the page under **Community Facts**, type in the name of the city or county, and click **GO**. When data on the city or county comes up, select **Poverty** on the list of options provided on the left, and the poverty rate will come up. If it is 25 percent or above, note the poverty rate in your Poverty Table in your Poverty and Crime Rate Attachment.

Applications that have a service area wherein less than 25 percent of the total population lives below the poverty line will be disqualified and not move forward through the merit review process.

A suggested format for the poverty table is as follows:

<b>Poverty Table</b>		
<b>Census Tract Number</b>	<b>Total Population</b>	<b>Population Below Poverty</b>
Census Tract 1	4,000	1,000
Census Tract 2	4,500	2,000
Census Tract 3	3,500	1,000



Census Tract 4	4,000	1,500
Census Tract 5	4,000	1,500
Total	20,000	7,000

Poverty Rate is 7,000 divided by 20,000 equals .35 times 100 equals 35 percent.  
If target area is two or more contiguous non-metro counties or adjacent Tribal Lands, use counties or Tribal Lands rather than Census tracts.

### High-Crime

High-crime communities are communities with crime rates within the targeted area that are higher than the crime rate of the overall city (for sub-areas of cities); of the overall county (for sub-areas of non-metropolitan areas, as outlined below); of the overall county (if the entire city is the target area); or of the entire state (if the city makes up the entire county); or of the average of the other non-metropolitan counties in the state (if proposing to serve an entire county or set of counties). Applications to serve an Indian Reservation, Trust Land, OTSA, ANVSA, or Native Hawaiian Homelands must show that the crime rate of their Reservation or Native Land is higher than that of the average of non-metropolitan counties in their state.

Applicants must compare the most recently available crime rates of the police precinct, sheriff's office, county police department, or other relevant jurisdiction that most closely overlaps with their target community to the crime rate of the overall city (for sub-areas of cities) of the overall county (for sub-areas of non-metropolitan areas); of the overall county (if the entire city is the target area); or of the entire state (if the city makes up the entire county); or of the average of the other non-metropolitan counties in the state (if proposing to serve an entire county or set of counties). Applicants must include this information for each target area in a Crime Rate Table.

A suggested format is as follows:

High Crime Data		
High Crime – Overall Geographic Area	X	Insert Description of Geographic Area here Insert Source here
High Crime – Target Area	Y	Insert Description of Target Area here Insert Source here

### Service Area Maps

Applicants must submit a map showing that the service areas are contiguous. Subgrantees of intermediary organizations are not required to be contiguous. However, the subgrantees target area is required to be contiguous.

### **Requested Attachments**

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

- a) Past Performance Chart: This attachment must include the Chart of Past Performance for all applicants. See Section IV.B.3.A(6) for additional instructions.

When submitting in <https://www.grants.gov>, these documents must be uploaded as an attachment to the application package and specifically labeled “Past Performance.”

- b) Signed and dated Letters of Commitment or Memoranda of Understanding between: the applicant and main partner organizations that propose to provide services to support the program model, as well as the applicant and additional partners proposing to provide support to the program for non-intermediary organizations or the applicant and the identified subgrantees for intermediary organizations as described in Section IV.B.3.A.(4).

When submitting in <https://www.grants.gov>, these letters must be uploaded as an attachment to the application package and specifically labeled “Letters of Commitment.”

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

When submitting in <https://www.grants.gov>, this document must be uploaded as an attachment to the application package and specifically labeled “NICRA.”

- d) Documentation from the Internal Revenue Service that verifies the applicant’s non-profit 501(c)(3) status (for entities applying as non-profit organizations only). The Department requests that all applicants applying

as a non-profit submit this verification even if the applicant is a current DOL grantee. If not provided, the Department will review Internal Revenue Service data to ensure an applicant's public or private non-profit status. This attachment does not impact scoring of the application.

When submitting in <https://www.grants.gov>, this document must be uploaded as an attachment to the application package and specifically labeled "Non-Profit Status."

- e) A graphic illustration such as a Gantt chart or a flow chart of the applicant's work plan, as described in Section IV.B.3.A(3).

When submitting in <https://www.grants.gov>, this item must be uploaded as an attachment to the application package and specifically labeled "Work Plan."

- f) 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.
- g) The Auditor's Report for the most recently completed independent audit, completed within three (3) years of the application due date. This attachment impacts the scoring of the application.

#### C. **SUBMISSION DATE, TIME, PROCESS AND ADDRESS**

We must receive your application by **April 25, 2019**. You must submit your application either electronically on <https://www.grants.gov> 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 ensure that the risk of late receipt of the application is minimized. 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).

##### **1. Hardcopy Submission**

All applications submitted in hardcopy by mail or hand delivery (*including overnight delivery*) submissions **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 physically submitted by both hard copy and through <https://www.grants.gov>, a letter must accompany the hard-copy application stating which application to review. If no letter accompanies the hard copy, we will review the copy submitted through <https://www.grants.gov>.

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: Melissa Abdullah, Grant Officer  
Reference FOA-ETA-19-01  
200 Constitution Avenue, NW, Room N4716  
Washington, DC 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 **3<sup>rd</sup> 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 much as **four weeks** to complete, and this time should be factored into plans for timely electronic submission in order to avoid unexpected delays that could result in the rejection of an application.

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 <https://www.grants.gov> constitutes a submission as an electronically signed application. The registration and account creation with <https://www.grants.gov>, with E-Biz POC approval, establishes an Agency Organizational Representative (AOR). When an application is submitted through <https://www.grants.gov>, the name of the AOR that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz 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**

<https://www.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 (GRANTXXXXXXX) with the successful transmission of the application, serving as proof of their 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 sole responsibility to ensure a timely submission. While it is not required that an application be successfully validated before the deadline for submission, it is prudent to reserve time before the deadline in case it is necessary to resubmit an application that has not been successfully validated. Therefore, enough time should be allotted for submission (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](mailto:support@grants.gov).

The Grants.gov Contact Center is open 24 hours a day, seven days a week. However, it is 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, which you may apply to do at any time. (See 2 CFR 200.414(f) for more information on use of the de minimis rate.)

## **2. Salary and Bonus Limitations**

None of the funds appropriated under the heading “Employment and Training” in the appropriation statute(s) may be used by a recipient or subrecipient of such funds to pay the salary and bonuses of an individual, either as direct costs or indirect costs, at a rate in excess of Executive Level II. This limitation does not apply to contractors providing goods and services as defined in the Audit Requirements of the OMB Uniform Guidance (see 2 CFR 200 Subpart F). Where States are recipients of such funds, States may establish a lower limit for salaries and bonuses of those receiving salaries and bonuses from subrecipients of such funds, taking into account factors including the relative cost-of-living in the State, the compensation levels for comparable State or local government employees, and the size of the organizations that administer Federal programs involved including Employment and Training Administration programs. See Public Law 113-235, Division G, Title I, section 105, and Training and Employment Guidance Letter number 05-06 for further clarification:

[https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2262](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2262).

## **3. 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](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 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.”***

#### **4. Use of Grant Funds for Participant Wages**

Organizations that receive grants through this FOA may use grant funds to pay for the wages of participants where the objective assessment and the Individual Career Plan indicate that work experiences are appropriate. Further, the provision of stipends to skills training enrollees for the purposes of wage replacement is an allowable cost under this FOA. Payment may take the form of wages or stipends. Generally, participants may receive stipends for participating in classes and skills training. Wages are compensation for services performed for an employer. Grantees must comply with WIOA Section 181 and WIOA regulations detailing the applicable wage and labor standards. When paying participant stipends, grantees must maintain documentation of the process for determining the amount of the stipend and the distribution. Grantees providing wages or stipends to participants should be aware of the implications under IRS provisions. Please consult [www.irs.gov](http://www.irs.gov) for more information.

In addition, grantees may provide incentive payments to participants for recognition and achievement tied to skills training activities and work experiences. Incentive payments must align with the goals of the grant. The grantee must have policies and procedures in place governing the award of incentives; any incentives provided under the grant must align with these organizational policies. Generally, incentive payments are considered miscellaneous compensation and are taxable. Please consult [www.irs.gov](http://www.irs.gov) for more information. Under this FOA, grantees can use no more than 1.5 percent of the grant award for incentive payments.

Needs-related payments are a form of supportive services paid directly to participants that enable the individual to participate in skills training. Up to 1.5 percent of grant funds awarded under this FOA may be used to provide needs-related payments, such as those authorized under WIOA to assist participants with costs related to transportation, child care, food, or other household items, such as paying a utility bill to prevent shut off. Needs-related payments must tie directly to the cost identified, and grantees must ensure the payments are documented to support both the participant’s need for the service *as well* as the actual transaction. The 1.5% for needs related payments is separate and over and above the 5% described above that may be spent to provide emergency

assistance for housing, substance abuse and mental health treatment for participants. Grantees must have a consistent policy in place on the provision of needs-related payments.

**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.

**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>Criterion</b>	<b>Points (maximum)</b>
1. Statement of Need ( <a href="#">See Section IV.B.3.A.(1) Statement of Need</a> )	10
2. Reporting Matrix ( <a href="#">See Section IV.B.3.A.(2) Reporting Matrix</a> )	10
3. Project Design ( <a href="#">See Section IV.B.3.A.(3) Project Design</a> )	44
4. Partnerships and Related Services ( <a href="#">See Section IV.B.3.A.(4) Partnerships and Related Services</a> )	10
5. Organizational, Administrative, and Fiscal Capacity ( <a href="#">See Section IV.B.3.A.(5) Organizational, Administrative, and Fiscal Capacity</a> )	6
6. Past Performance – Programmatic Capability ( <a href="#">See Section IV.B.3.A.(6) Past Performance – Programmatic Capability</a> )	15
7. Budget and Budget Justification ( <a href="#">See Section IV.B.2. Project Budget</a> )	5
<b>TOTAL</b>	<b>100</b>
<b>Priority Consideration: Apprenticeship - 2 points and Opportunity Zone - 2 points. Applicants may receive points in all categories. Model - <a href="#">See Section V.A. Priority Consideration</a></b>	<b>4</b>

**1. Statement of Need**

(Up to **10** points)

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

**Participants Served:** The clear identification of the target population (Adult or Young Adult) of participants that will be served.

If applying as a non-intermediary, the clear and plausible identification of the number of participants the applicant will serve.

If the applicant is applying as an intermediary, the clear and plausible identification of the number of participants each subgrantee will serve and the cumulative number the grant will serve.

The extent to which the applicant clearly demonstrates and supports with evidence that there is a sufficient pool of eligible potential participants in the geographic coverage area of the proposed project to justify the proposed number of eligible participants they plan to serve.

(Up to 4 points)

**Need for Selected Skills Training Programs:** The extent to which the applicant clearly and accurately identifies the need for the selected skills training programs and provides a credible source for this information in the area(s) to be served.

(Up to 6 points)

## **2. Reporting Matrix**

(Up to **10** points)

**Outcomes Strategies:** The extent to which the applicant clearly proposes specific, quantifiable strategies for achieving each of the REO-specific measures and the WIOA primary indicators of performance identified in section IV(B)(3)(A)(2) of this FOA. The strength of the applicant's proposed strategies and the reasonable justification of how these strategies will ensure that the stated outcomes are achieved. (Up to 8 points)

**Support Strategies:** The extent to which the applicant justifies how its proposed support strategies will assist staff or sub-grantees (if applying as an intermediary) in achieving the identified outcomes. (Up to 2 points)

## **3. Project Design**

(Up to **44** points)

**Evidence-Based and Evidence-Informed Interventions and Promising Practices:** The extent to which the applicant clearly describes and justifies the use of the identified: 1) evidence-based and evidence-informed interventions; 2) new interventions that theory or research suggests are promising; or 3) a combination of these types of practices that it proposes to implement directly, for non-intermediary organizations, or through sub-grantees, for intermediary organizations, in its project design to increase the employment outcomes for this

population. Implicit in this description is how the evidence on a particular intervention relates to the intended activities.

The extent to which the applicant clearly proposes a feasible and realistic intervention infused with a combination of service delivery components that are evidence-based or evidence-informed or are promising practices and provide a clear theory and credible empirical evidence to support its choice of interventions/components. (Up to 10 points)

**Approaches and Methods:** The extent to which the applicant clearly describes the approaches and methods used to implement this program, as well as convincingly describes the strength of those approaches and their integration into the program model. The extent to which the applicant includes a clear and plausible description of the milestones associated with achieving major tasks and its ability to achieve outcomes, as well as a credible and convincing explanation for why these strategies and approaches are superior to alternative strategies and approaches. The extent to which the proposed methods to provide services are clearly described. The extent to which the applicant provides a convincing description of how the proposed methods will lead to the stated outcomes. (Up to 5 points)

**Project Timelines:** The extent to which the application reflects coherent and feasible timelines for completing tasks and achieving outcomes. The extent to which the proposed support and assistance for staff or sub-grantees, if applying as an intermediary, will lead to the achievement of the overarching work plan. (Up to 3 points)

**Planning Phase:** The extent to which the applicant clearly describes and justifies a feasible plan for meeting the preliminary steps during the planning phase and assisting sub-grantees, as applicable, to meet these preliminary steps, including hiring key staff (Director, Fiscal Manager, and Case Manager); securing locations to house the skills training; finalizing sub-grant agreements, as applicable; meeting with any additional partners identified in the application to solidify partnerships; and ensuring readiness for inputting data into the DOL Workforce Integrated Performance system (WIPS), and any DOL provided Case-Management or Access Database system (if deemed applicable by DOL). (Up to 3 points)

**Work Plan:** The extent to which the applicant's detailed work plan (through the combination of the narrative description and graphic illustration) clearly and feasibly demonstrates how the project will operate through the funding period. The extent to which the work plan includes a clear and thorough description of all functions or activities in the application. The extent to which the applicant's work plan is feasible in assisting the applicant in accomplishing the REO goals and the WIOA primary indicator targets and collecting data to report on the WIOA primary performance indicators associated with this grant. The extent to which the work plan persuasively identifies potential barriers and means for overcoming them and any potential factors that might accelerate or delay the project, including

clearly indicating the major tasks and assigning responsibilities for those major tasks. The extent to which the work plan clearly and logically identifies the roles and responsibilities of the applicant and each sub-grantee, if applying as an intermediary. (Up to 5 points)

**Employment-Focused Services:** The strength of the applicant's plan to provide employment-focused services to all program participants throughout their participation in the program. The extent to which the applicant describes and justifies the employment-focused service(s) that will be incorporated in the program model and includes at least one of the following approaches: apprenticeship, skills training leading to industry-recognized credentials, work-based learning, or career pathways. The strength of the applicant's plan to integrate this component with the evidence-based and evidence-informed interventions, promising practices, or a combination of the two identified above to lead to improved employment outcomes for program participants. (Up to 10 points)

**Case Management and Legal Services:** The strength of the applicant's plan to ensure that staff or sub-grantees, as applicable, provide a case management and legal services component at the time of enrollment and continuing through participation in the program and follow-up services, including:

- Clearly identifying and convincingly justifying how the services will be provided (direct, contracted, or through other organization collaboration). If applying as an intermediary, the extent to which this information is clearly identified and convincingly justified for each subgrantee (up to 1 point);
- Clearly identifying and providing a convincing justification for the ratio of case managers to participants and how the case managers will act as advocates for program participants, including the frequency of their interactions (up to 2 points);
- Clearly identifying the legal services that will be available to program participants and how these services will be provided (up to 2 point);
- Clearly identifying, justifying, and clearly describing the evidence-informed types of case management services or activities provided (up to 2 points); and
- Clearly demonstrating the applicant's clear and plausible commitment to provide case management services from the time of enrollment in the program and continuing throughout the participant's participation in the program, including the follow-up period. (up to 1 point).

(Up to 8 points)

#### **4. Partnerships and Related Services**

(Up to **10** points)

Main Partnerships

The extent to which the applicant has clearly and reasonably demonstrated their main partnerships with the justice system (examples: correctional facilities, parole, probation, residential reentry centers, and law enforcement), and employers. This is demonstrated by the information in the attached signed Memoranda of Understanding or Letters of Commitment describing:

- Services provided to the organization or participants;
- Procedures for enrollment or recruitment, if applicable; and
- Collaboration and coordination between the applicant and partner(s), including coordination between pre-release and post-release service providers, if applicable.

Justice System (up to 3 points)

Employers (up to 3 points)

### **Additional Partnerships and Commitments**

#### **Non-intermediary Applicants**

**Partnerships:** The strength of the applicant's strategy to partner and collaborate with additional organizations to support the program model and the attainment of identified outcomes. (Up to 2 points)

**Commitments:** The strength of identified partnerships as exemplified through the signed and dated Letters of Commitment or Memoranda of Understanding between the applicant and each identified partner. (Up to 2 points)

#### **Intermediary Organization Applicants**

**Sub-Grantee Partnerships:** The strength of the applicant's strategy for ensuring that sub-grantees will partner and collaborate with additional organizations to support the program model and the attainment of the identified outcomes. (Up to 2 points)

**Sub-Grantee Commitments:** The strength of the collaboration between the applicant and its sub-grantees, as exemplified through the signed and dated Letters of Commitment or Memoranda of Understanding, between the applicant and each sub-grantee. (Up to 2 points)

## **5. Organizational, Administrative, and Fiscal Capacity**

(Up to 6 points)

**Staff, Organizational Structure, and Multi-site Management:** The extent to which the applicant has clearly and credibly demonstrated it has the capacity to carry out this proposed project, including:

- The applicant's current mission, structure, and relevant experience;
- A clear, feasible plan to manage multiple sites, if applicable;
- If applying as an intermediary:
  - A clear description of each sub-grantee's current mission, structure, and relevant experience; and

- A convincing explanation of how these factors contribute to the ability of each sub-grantee to implement the proposed project;
  - The extent to which the applicant details and connects management and staffing patterns to this project design;
  - The strength of the experiences and capability of the applicant's organization to effectively implement and conduct this project and its requirements and meet program expectations, including the applicability of any previous experience implementing projects of similar design or magnitude;
  - Any organizations under contract with the applicant that will have a significant role in the project;
  - A clear and convincing demonstration that the applicant has the programmatic capability, if applicable, to serve justice-involved individuals;
  - A clear and convincing demonstration that the organization has the fiscal and administrative controls needed to manage federal funds;
  - The extent to which the applicant convincingly demonstrates the organization's capability to sustain some or all of the project activities after Federal financial assistance ends; and
  - The extent to which the applicant clearly and convincingly demonstrates the intermediary's capability to support and sustain some or all sub-grantee projects, if applying as an intermediary, after Federal financial assistance ends.
- (Up to 6 points)

#### **6. Past Performance – Programmatic Capability** (Up to 15 points)

All applicants must provide a performance chart as specified in Section IV.B.3.A.6 (Past Performance – Programmatic Capability). **Applicants that do not provide both of the following will receive 0 points for subsections a-b below:**

- performance chart, and
- previous grantor contact information.

**See Section IV.B.3.A.6 for additional information.**

Applicants will be evaluated on the following criteria:

- a) Performance Goals (Maximum 8 points)
  - Applicants that met or exceeded both performance goals for their most recently completed grant will receive 8 points for this subsection.
  - Applicants that met or exceeded one performance goal but did not meet the other performance goal will receive 4 points for this subsection.
  - Applicants that did not meet either performance goal will receive 0 points for this subsection.

b) Spending Rate Analysis (Maximum 3 points)  
During the original period of performance:



- Applicants that expended at least 98 percent of the grant funds for their most recently completed grant will receive 3 points.
- Applicants that expended at least 90 percent but less than 98 percent of the grant funds for their most recently completed grant will receive 2 points.
- Applicants that expended at least 80 percent but less than 90 percent of the grant funds for their most recently completed grant will receive 1 point.
- Applicants that expended less than 80 percent of the grant funds for their most recently completed grant will receive 0 points.

All applicants must provide an Auditor's Report as specified in Section IV.B.3.A(6) (Past Performance – Programmatic Capability). **Applicants that do not provide the Auditor's Report will receive 0 points for subsection c below.**

c) Fiscal Viability (Maximum 4 points):

- New applicants that provide an Auditor's Report with an Unqualified Opinion will receive 4 points.
- New applicants that provide an Auditor's Report with a Qualified Opinion will receive 2 points.
- New applicants that provide an Auditor's Report with an Adverse Opinion, a Disclaimer of Opinion, or no Opinion will receive 0 points for this sub-criterion.

## 7. Budget and Budget Justification

(Up to 5 points)

- The extent to which the budget narrative provides a description of costs associated with each line item on the SF-424A and that the costs are reasonable and adequately reflect the services provided as outlined in Section IV.B.2. It should also include a description of leveraged resources provided (as applicable) to support grant activities. Also, a minimum of five percent of total funds must be reserved for the 12-month follow-up period. (4 points)
- The extent to which the totals on the SF-424A and the Budget Narrative align. (1 points)

### Priority Consideration (Up to 4 points)

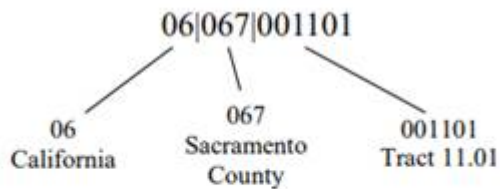
Applicants may receive points in each category totaling 4 points.

#### Apprenticeship Model (2 points)

The Department is especially interested in program models that offer apprenticeship opportunities. If proposing an apprenticeship model, the applicant must identify the industry in which the apprenticeship will take place, and the applicant must demonstrate in the application that their project model, partnerships, and budget can deliver these services. Applicants must describe the model in the Project Design section of the application.

### **Designated Qualified Opportunity Zone (2 bonus points)**

Applicants that demonstrate, in item number 12 of their abstract, at least one census tract (if applying as a non intermediary) or at least one sub-grantee (if applying as an intermediary) has at least one census tract in their target area designated by the Secretary of Treasury as a qualified opportunity zone. Designated opportunity zone census tracts can be found at: <https://www.irs.gov/pub/irs-drop/n-18-48.pdf>. Applicants will receive 1 bonus point priority consideration if at least one census tract in their target area is listed in this document. Please be aware the IRS list provides the full 11-digit census tract number. Use the example below to identify your census tract number:



06 – identifies California,  
067 – identifies Sacramento County within California, and  
001101 – identifies Census Tract 11.01 within Sacramento County.

## **B. REVIEW AND SELECTION PROCESS**

### **1. Merit Review and Selection Process**

A technical merit review panel will carefully evaluate applications against the selection criteria to determine the merit of applications. These criteria are based on the policy goals, priorities, and emphases set forth in this FOA. Up to 104 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 his/her attention.

The government may elect to award the grant(s) with or without discussions with the applicant. Should a grant be awarded without discussions, the award will be based on the applicant's signature on the SF-424, including electronic signature via E-Authentication on <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 by DOL at 29 CFR Part 98 [Government-wide Debarment and Suspension (Non-procurement)]. 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:

- (1) Financial stability;
- (2) Quality of management systems and ability to meet the management standards prescribed in the Uniform Grant Guidance;
- (3) History of performance. The applicant’s record in managing awards, cooperative agreements, or procurement awards, if it is a prior recipient of such Federal awards, including timeliness of compliance with applicable reporting requirements and, if applicable, the extent to which any previously awarded amounts will be expended prior to future awards;
- (4) Reports and findings from audits performed under Subpart F – Audit Requirements of the Uniform Grant Guidance or the reports and findings of any other available audits and monitoring reports containing findings, issues of non-compliance, or questioned costs;
- (5) The applicant’s ability to effectively implement statutory, regulatory, or other requirements imposed on recipients.

NOTE: As part of the Employment and Training Administration’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 Training and Employment Guidance Letter [\(TEGL\) 23-15](#).

Depending on the severity of the findings and whether the findings were resolved, the Grant Officer may, at his/her discretion, elect to not 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**

<b>SECTION A: PURPOSE</b>			
<p>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.</p> <p>(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.</p> <p>(2) Entries in accounting records should refer to subsidiary records and/or documentation which support the entry and which can be readily located.</p> <p>(3) The accounting system should provide accurate and current financial reporting information.</p> <p>(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.</p>			
<b>SECTION B: GENERAL</b>			
1. Complete the following items:			
a. When was the organization founded/incorporated ( <i>month, day, year</i> )	b. Principal officers <span style="float: right;">Titles</span>		
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, non-profit, 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. ( <i>12 months</i> ) \$	
<b>SECTION C: ACCOUNTING SYSTEM</b>			
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?	Yes	No	Not Sure
If so, who approved it (Federal Cognizant Agency or a Pass-through Entity)? What are the effective dates?			
8. Does the accounting/financial system include budgetary controls to preclude incurring obligations in excess of:			
a. Total funds available for a grant?	Yes	No	Not Sure
b. Total funds available for a budget cost category (e.g. Personnel, Travel, etc.)?	Yes	No	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
<b>SECTION D: FINANCIAL STABILITY</b>			
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.			
<b>SECTION E: FINANCIAL STATEMENTS</b>			
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:			
<b>SECTION F: ADDITIONAL INFORMATION</b>			
1. Use this space for any additional information ( <i>indicate section and item numbers if a continuation</i> )			

## VI. AWARD ADMINISTRATION INFORMATION

### A. AWARD NOTICES

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

Selection of an organization as a recipient does not constitute approval of the grant application as submitted. Before the actual grant is awarded, we may enter into negotiations about such items as program components, staffing and funding levels, and administrative systems in place to support grant implementation. If the negotiations do not result in a mutually acceptable submission, the Grant Officer reserves the right to terminate the negotiations and decline to fund the application. We reserve the right to not fund any application related to this FOA.

**B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

**1. Administrative Program Requirements**

All grantees will be subject to all applicable Federal laws, 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:

- a. 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)
- b. All recipients must comply with the applicable provisions of the Workforce Innovation and Opportunity Act (WIOA), Public Law No. 113-328, 128 Stat. 1425 (codified as amended at 29 U.S.C. 3101 et seq.) and the applicable provisions of the regulations at 20 CFR 675 et seq. Note that 20 CFR part 683 (Administrative Provisions) allows unsuccessful applicants to file administrative appeals.
- c. All entities must comply with 29 CFR Part 93 (New Restrictions on Lobbying), 29 CFR Part 94 (Governmentwide Requirements for Drug-Free Workplace (Financial Assistance)), 29 CFR Part 98 (Governmentwide Debarment and Suspension, and drug-free workplace requirements), and, where applicable, 2 CFR Part 200 (Audit Requirements).
- d. 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.
- e. 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.
- f. 29 CFR Part 32—Nondiscrimination on the Basis of Handicap in Programs or Activities Receiving Federal Financial Assistance.
- g. 29 CFR Part 35—Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance from the Department of Labor.

- h. 29 CFR Part 36—Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance.
- i. 29 CFR Part 38 – Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Innovation and Opportunity Act.
- j. 29 CFR Parts 29 and 30—Labor Standards for the Registration of Apprenticeship Programs, and Equal Employment Opportunity in Apprenticeship and Training, as applicable.
- k. 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.
- l. Standard Grant Terms and Conditions of Award—see the following link:  
<https://www.doleta.gov/grants/resources.cfm>

## **2. Other Legal Requirements**

### ***a) Religious Activities***

The Department notes that the Religious Freedom Restoration Act (RFRA), 42 U.S.C. Section 2000bb, applies to all Federal law and its implementation. If an applicant organization is a faith-based organization that makes hiring decisions on the basis of religious belief, it may be entitled to receive Federal financial assistance under 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 s(c) (4) that engage in lobbying activities are not eligible to receive Federal funds and grants. No activity, including awareness-raising and advocacy activities, may include fundraising for, or lobbying of, U.S. Federal, State or Local Governments (see 2 CFR 200.450 for more information).

### ***c) Transparency Act Requirements***

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

- Except for those excepted from the Transparency Act under subparagraphs 1, 2, and 3 below, you must ensure that you have the necessary processes and systems in place to comply with the

subaward and executive total compensation reporting requirements of the Transparency Act, should they receive funding.

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

1. 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);
2. Federal awards to entities that had a gross income, from all sources, of less than \$300,000 in the entities' previous tax year; and
3. Federal awards, if the required reporting would disclose classified information.

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

Applicants submitting applications in response to this FOA must recognize that confidentiality of PII and other sensitive data is of paramount importance to the Department of Labor and must be observed except where disclosure is allowed by the prior written approval of the Grant Officer or by court order. By submitting an application, you are assuring that all data exchanges conducted through or during the course of performance of this grant will be conducted in a manner consistent with applicable Federal law and TEGL NO. 39-11 (issued June 28, 2012). All such activity conducted by ETA and/or recipient(s) will be performed in a manner consistent with applicable state and Federal laws.

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

1. You must ensure that PII and sensitive data developed, obtained, or otherwise associated with DOL/ETA funded grants is securely transmitted.
2. To ensure that such PII is not transmitted to unauthorized users, all PII and other sensitive data transmitted via e-mail or stored on CDs, DVDs, thumb drives, etc., must be encrypted using a Federal Information Processing Standards (FIPS) 140-2 compliant and National Institute of Standards and Technology (NIST) validated cryptographic module. You must not e-mail unencrypted sensitive PII to any entity, including ETA or contractors.
3. You must take the steps necessary to ensure the privacy of all PII obtained from participants and/or other individuals and to protect



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

4. You must ensure that any PII used during the performance of your grant has been obtained in conformity with applicable Federal and state laws governing the confidentiality of information.
5. You further acknowledge that all PII data obtained through your ETA grant must be stored in an area that is physically safe from access by unauthorized persons at all times and the data will be processed using recipient-issued equipment, managed information technology (IT) services, and designated locations approved by ETA. Accessing, processing, and storing of ETA grant PII data on personally owned equipment, at off-site locations, (e.g., employee's home), and non-recipient managed IT services, (e.g., Yahoo mail), is strictly prohibited unless approved by ETA.
6. Your employees and other personnel who will have access to sensitive/confidential/proprietary/private data must be advised of the confidential nature of the information, the safeguards required to protect the information, and that there are civil and criminal sanctions for noncompliance with such safeguards that are contained in Federal and state laws.
7. You must have policies and procedures in place under which your employees and other personnel, before being granted access to PII, acknowledge their understanding of the confidential nature of the data and the safeguards with which they must comply in their handling of such data, as well as the fact that they may be liable to civil and criminal sanctions for improper disclosure.
8. You must not extract information from data supplied by ETA for any purpose not stated in the grant agreement.
9. Access to any PII created by the ETA grant must be restricted to only those employees of the grant recipient who need it in their official capacity to perform duties in connection with the scope of work in the grant agreement.
10. All PII data must be processed in a manner that will protect the confidentiality of the records/documents and is designed to prevent unauthorized persons from retrieving such records by computer, remote terminal, or any other means. Data may be downloaded to, or maintained on, mobile or portable devices only if the data are encrypted using NIST validated software products based on FIPS 140-2 encryption. In addition, wage data may only be accessed from secure locations.
11. PII data obtained by the recipient through a request from ETA must not be disclosed to anyone but the individual requestor, except as permitted by the Grant Officer or by court order.

12. You must permit ETA to make onsite inspections during regular business hours for the purpose of conducting audits and/or conducting other investigations to assure that you are complying with the confidentiality requirements described above. In accordance with this responsibility, you must make records applicable to this Agreement available to authorized persons for the purpose of inspection, review, and/or audit.
13. You must retain data received from ETA only for the period of time required to use it for assessment and other purposes, or to satisfy applicable Federal records retention requirements, if any. Thereafter, you agree that all data will be destroyed, including the degaussing of magnetic tape files and deletion of electronic data.

***e) Record Retention***

You must 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.

***f) Use of Contracts and Subawards***

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

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

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

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

including an agreement that the pass-through entity considers a contract.

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

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

***g) Closeout of Grant Award***

Any entity that receives an award under this Announcement must close its grant with ETA at the end of the final year of the grant. Information about this process may be found in ETA's Grant Closeout FAQ located at <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, e.g., avoid competition.

**4. Special Program Requirements**

***a) ETA Evaluation***

As a condition of grant award, grantees are required to participate in an evaluation. 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(s) that would receive program services or enhanced program services, or into a 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 the program's operating personnel, site 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 or support, as requested, the assignment by lottery of participants to program services (i.e. treatment group) or to the control group (i.e., no program services), including the possible increased recruitment of potential participants; and (4) follow evaluation procedures as specified by the national evaluator or evaluation contractor under the direction of DOL.

We also require that the program or project participate in an evaluation of overall performance of ETA grants and require the cooperation of the recipient as a condition of award.

***b) Performance Goals***

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

## **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 Training and Employment Guidance Letter (TEGL) 02-16 and our webpage at:

[https://www.doleta.gov/grants/financial\\_reporting.cfm](https://www.doleta.gov/grants/financial_reporting.cfm).

### **2. Quarterly Performance Reports**

You must submit a quarterly progress report within 45 days after the end of each calendar year quarter. The report must include quarterly information on grant activities, performance goals, and milestones. The last quarterly progress report will serve as the grant's Final Performance Report. This report must provide both quarterly and cumulative information on the grant activities. It must summarize project activities, employment outcomes, and other deliverables, and related results of the project, and must thoroughly document the training or labor market information approaches that you used. 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.

## **VII. AGENCY CONTACTS**

---

For further information about this FOA, please contact Samantha Stowers, Grants Management Specialist, Office of Grants Management, at (202) 693-3432. Applicants should e-mail all technical questions to [stowers.samantha@dol.gov](mailto:stowers.samantha@dol.gov) and must specifically reference FOA-ETA-19-01-A or FOA-ETA-19-01-YA, and along with question(s), include a contact name, fax, and phone number. This Announcement is available on the ETA Web site 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). Information specific to WIOA can be found on the Innovation and Opportunity Network (<https://ion.workforcegps.org/>) and on the DOL ETA website (<http://www.doleta.gov/wioa>). TEGL No.10-16 provides sub-regulatory guidance on the requirements set forth in the Workforce Innovation and Opportunity Act (WIOA), related to the implementation and operation of the performance accountability system under section 116 of WIOA and the implementing joint regulations in 20 CFR part 677 (and reprinted in 34 CFR parts 361 and 463). As explained further in this guidance, developed jointly by the U.S. Departments of Labor (DOL) and Education (ED)(Departments), WIOA requires recipients of this grant to collect and report information on all the participants described in this TEGL.

**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://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/browse?id=b8dd0aa1ecfb4b2282d6cd30c7248790> 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 the US Department of Labor'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. DEFINITIONS OF EVIDENCE-BASED AND EVIDENCE-INFORMED INTERVENTIONS**

For the purpose of this FOA, the Department has developed definitions for "Evidence-Based Interventions" and "Evidence-Informed Interventions."

Evidence-based interventions are approaches to prevention or treatments that are validated by documented scientific evidence from randomized controlled trials or from quasi-experimental or correlational studies and that show positive employment effects (for randomized controlled trials and quasi-experimental studies) or favorable associations (for correlational studies) on the primary targeted outcomes for populations or settings similar to those of the proposed project. The best evidence to support an applicant's proposed program design is one or more high-quality randomized controlled trials. The next best evidence will be studies using a strong quasi-experimental design. Correlational analysis also may be used as evidence to support an applicant's proposed program design if the correlational research had strong statistical controls for selection bias and for discerning the influence of internal factors.

Evidence-informed interventions bring together the best available research, professional expertise, and input from the target population to identify and deliver services that have promise to achieve positive outcomes for the target population. Unlike evidence-based interventions, evidence-informed interventions lack the body of strong evidence from randomized controlled trials or high-quality quasi-experiments, and instead use other research or more limited rigorous evidence (e.g., one high-quality, rigorous study) to suggest that an intervention may be promising

or that an evidence-based approach may be promising for a different population or in a different setting.

Resources that may be helpful in identifying evidence-based and evidence-informed models and components include but are not limited to:

- <http://whatworks.csgjusticecenter.org/focus-area/employment-topic>
- <http://www.crimesolutions.gov/TopicDetails.aspx?ID=36>
- <http://clear.dol.gov/>
- <http://findyouthinfo.gov/>
- <http://www.ojjdp.gov/mpg/>
- <http://www.blueprintsprograms.com/>
- <http://strategies.workforce3one.org/>
- <http://employmentstrategies.acf.hhs.gov/>

Models may include but are not limited to:

- Cognitive Behavioral Interventions
- Family reunification
- Gang prevention, e.g., cease fire model
- Mentoring
- Pre-Apprenticeship
- Risk Recidivism Models
- Satellite American Job Centers (One-Stop Centers) in Detention or Secure Confinement facilities
- Sector-Based Strategies

The resources provided here in Section VIII.E. are for informational purposes. An applicant's proposal will be scored based on the evaluative criteria outlined in the appropriate section in this Funding Opportunity Announcement.

**F. DIRECTIONS FOR USING THE AMERICAN COMMUNITY SURVEY DATA TO IDENTIFY POVERTY LEVEL OF TARGET AREAS THAT ARE SUB-AREAS OF CITIES OR SUB-AREAS OF NON-METRO COUNTIES:**

1. Begin at the Census Bureau's American Factfinder web site at <https://factfinder.census.gov>.
2. On the American Factfinder home page near the bottom of the left column under "What We Provide," click on <**American Community Survey Get Data**>.
3. On the American Community Survey page, under "Refine Your Search Results," type in "**S1701**" then click on "Go."
4. A list of data files will appear for "**POVERTY STATUS IN THE PAST 12 MONTHS**". Check the box for **2017 ACS 5-Year Estimates**, which is the first data



file listed. You need to use the 5-year data to get data at the Census tract level. Do not click on the name of the data file just yet, just check the box to save the data file for now and we will get back to it after identifying the Census tracts.

5. On the left side of page, click on **<Geographies>**. The “Select Geographies” box will come up with four tabs: List, Name, Address, and Map.

6. Double click on **<Map>**. A map of North America will come up.

7. In the upper left corner of the map is a text box with an arrow that says “Find address or place.” Type in the name of your city or of your non-metro county.

8. A list appears with the city or non-metro county you wanted included in the list as well as other places with the same name. Click on your selected city or non-metro county. A map of your city or non-metro county will come up.

9. Along the right side of the map is a series of icons. The third, which resembles three layers of tiles, is called **<Boundaries>**. Click on it, then select the 7th choice, **<Census Tracts>**. Make sure to click both boxes, then click on **<Update>** at the very bottom of the drop-down box.

10. After you click on **<Update>**, the map of your city will now display Census Tracts. You may need to close the **<Boundaries>** box to see the entire map.

11. You will probably need to zoom in on the map by clicking on the “+” at the top left of the map to make the Census Tract numbers legible. To pan around the map, click on the map and drag.

12. Next, click on the first icon on the right, which looks like an arrow pointing to a circle, called **<Select Geographies>**. Click on the down arrow under “**Select**” to open the pull-down menu, then select the 6th option, **<Census Tracts>**.

13. Next, right under the pull-down menu where you selected Census tracts, there are four boxes with different shapes in them. Select the first of the four shape boxes with a small black dot that when you hover over it says **<select using a pointer>**. Your cursor now becomes a pointer.

14. Move your pointer over the map and click on each desired Census Tract to be included in your targeted service delivery area. To conform to grant requirements, the Census Tracts that you select must be contiguous. At times you may need to zoom in further to see street boundaries.

15. The selected Census Tracts will appear gray on the map and be listed within the **<Select Geographies>** box on right, under the four shape boxes. To remove a Census Tract from the list, click on the blue **<X>**.

16. When you are satisfied with your selections, click on **<Add to Your Selections>** underneath the Census Tract listings. Your selected Census Tracts will now appear as yellow on the map, and be listed to the left of the map in the **<Your Selections>** box. If you have selected 11 or more Census tracts the Your Selections box will not list your individual Census but only lists the number of Census tracts that you selected, which is fine. At this point, do a Print Screen and copy and save the map to include in your application.

17. Next, click on **<Topics>** located to the left of the map. A dialogue box will pop up. Just click on the **<X>** to close the dialogue box.

18. Then click on the title of the data file that you previously selected for the latest 5-Year data: **"Table, File or Document Title: POVERTY STATUS IN THE PAST 12 MONTHS 2017 ACS 5-Year Estimates"**.

19. A table will display the poverty data for the Census Tracts that you selected. Use only the first row of data showing overall poverty numbers for each Census Tract. Use the first column, the total population of the Census Tract and the third column, the population below poverty. Use the directional arrows on the top of the table to move from Census Tract to Census Tract.

20. Do not look at the poverty rate of each Census Tract. Rather, create your own table using Excel with a column showing the total population of each Census Tract and a column showing the number in poverty in each Census Tract. Add up each column and divide the total number in poverty in all of the Census Tracts by the total population of all of the Census Tracts to compute the poverty rate of the target community of each sub-grantee. Include your Excel table in your application.

21. To save your work thus far, click on **<Bookmark/Save>** at the top of the table. You will be given two choices – to either "Create Bookmark" or to "Save Query." It works best if use the "Save Query" option. Click on **<Save Query>**, and it will give you the option of either opening or saving the file. Don't click on **<Save>**, but rather click on the down arrow next to **<Save>** and select **<Save As>** and you will be given the chance to browse your computer's files to get to the location where you want to save your work in your own computer files just as you would if you were saving any other document. Now you can hit **<Save>**.

22. If the overall poverty rates of the Census Tracts you selected for each sub-grantee is above 25 percent, you are done. You may need to use the zoom feature of the map at a later date when you are implementing your project to identify the streets that serve as the boundaries of the target area. In almost all cases streets forming the boundaries of Census Tracts will be shown if you zoom in close enough. In a few cases the map will not show the name of a particular street and you will have to use a street map or actually drive through the target area to identify the boundary street.

23. If the overall poverty rate of the Census Tracts you selected is less than 25 percent, you may choose to go back and add or delete Census Tracts. To retrieve a saved Query, on the bottom of the right-hand corner of the American Factfinder home page, click on **<Load Query>** and click on the **<Browse>** prompt to find the work that you saved on your computer. The saved query will return you to your page with the table of your Census tract poverty numbers. At the top right of this page, click on **<Back to Advanced Search>**. This will take you back to the Topics page and you will need to type in again **S1701** and click on **GO** and re-select the data file **“POVERTY STATUS IN THE PAST 12 MONTHS 2017 ACS 5-Year Estimates”**. Then click on Geography and then click on Maps. The map of your city will come up with your selected Census tracts. Note that to add Census tracts you will need to **re-select the boundaries, geographic type, and pointer** by repeating steps 19 through 13 above.

24. You can proceed to add Census Tracts by clicking on additional points on the map and clicking on **<Add to Your Selections>**. To delete a Census Tract, simply click on the red **<X>** next to the desired Census Tract in the **“Your Selections”** box to the left of the map. If you have selected 11 or more Census tracts the Your Selections box will not list your individual Census but only lists the number of Census tracts that you selected. Click on the + sign next to the word Census tracts and it will then list all of the individual Census tracts that you selected, and you can delete the ones you wish. As you add and delete Census Tracts, the Census Tracts included in the target area must remain contiguous.

25. Once you have added and deleted any desired Census Tracts, take a Print Screen and copy and save your new map and then repeat steps 17 through 20 to access the table showing the poverty rates of your new set of Census Tracts. Again, click on **<Bookmark/Save>** at the top of the table and select **“Save Query”** to save your work.

**G. DIRECTIONS FOR USING THE AMERICAN COMMUNITY SURVEY DATA TO IDENTIFY POVERTY LEVEL OF INDIAN RESERVATIONS, OKLAHOMA TRIBAL STATISTICAL AREAS, NATIVE ALASKAN VILLAGES, OR NATIVE HAWAIIAN HOMELANDS**

1. Go to the American Fact Finder home page at [www.FactFinder.Census.Gov](http://www.FactFinder.Census.Gov).
2. Near the bottom of the left column of American Fact Finder home page find the section titled **“What We Provide”** and click on the first bullet **American Community Survey Get Data**.
3. On the American Community Survey page, under “Refine Your Search Results” type in **S1701**. Then click on “Go”.

4. A list of data files will appear for **“POVERTY STATUS IN THE PAST 12 MONTHS”**. Check the box for **2017 ACS 5-Year Estimates**, which is the first data file listed. You need to use the 5-year data to get data on Indian Reservations and Tribal Lands. Do not click on the name of the data file just yet, just check the box to save the data file for now and we will get back to it after you identify your Reservation or Tribal Land.
5. On the left side of page click on **<Geographies>**.
6. The “Select Geographies” box will come up with four tabs: List, Name, Address and Map. It should already be open on <List>, but if not click on <List>. In the dropdown menu scroll down and select **American Indian Area/Alaska Native Area/Hawaiian Home Land—250**.
7. The American Indian Area/Alaska Native Area/Hawaiian Home Land list provides names alphabetically, but in different groups. Federally-recognized Indian reservations, trust lands, and Rancherias are listed first; then joint use areas; then Hawaiian Home Lands; then Oklahoma Tribal Statistical Areas; then Native Alaskan areas; then state-designated reservations and tribal areas; and then Tribal-designated areas. For some reservations only the reservation is listed, but for most the information is only provided for reservation and trust lands combined. It is fine to use either the reservation-only information or the reservation and trust land information.
8. Click on your reservation or Native area and then click on **Add to Your Selections**.
9. Next, click on **< Topics>** located to the left of the map. There will be a Dialogue Box pop up. Just click on the <X> to close the Dialogue Box. You may need to scroll up to close the Dialogue Box.
10. Then click on the title of the data file that you previously selected **S1701 Poverty Status in the Last 12 Months 2017 ACS 5-Year Estimates** for the latest year available. Again, be sure to use 5-Year data.
11. A table will display the poverty data for the reservation or tribal area that you selected. Use the very top row to determine the poverty rate of the overall reservation or tribal land. If the poverty rate is 25 percent or above, you may apply for this grant. Note the poverty rate in your Poverty and Crime Rate Attachment and include a statement that the poverty rate is based on the latest available Census data using the grant announcement instructions.
12. If your Native land is not listed in the dropdown menu you can check whether the county in which you are located meets the 25 percent threshold.

13. To determine if a county has a poverty rate of over 25 percent:
14. Go to <https://Factfinder.Census.gov>.
15. At the very top of the **American FactFinder** home page, under **Community Facts**, type in the name of the county and state. For example, Apache County, Arizona, and hit **GO**.
16. A page will come up showing the population of the county. On the left column of the page will be a list of various data that is available. Click on **Poverty**. The overall poverty rate of the county will come up in bold.

#### **H. REENTRY RESOURCES**

The Council of State Governments (CSG) Justice Center, in collaboration with the Center for Employment Opportunities, the U.S. Departments of Labor and Justice, and the Annie E. Casey Foundation, released a white paper on integrating reentry and employment strategies using a resource allocation and service-matching tool. The white paper introduces the Resource Allocation and Service-Matching Tool, which is based on two key dimensions—an individual’s risk of reoffending (criminogenic risk) and job-readiness.

There are four groupings that result from assessing individuals under correctional control along these dimensions. Each group can be assigned a combination of employment program components and service delivery strategies that are tailored to individuals’ risk for criminal activity and complemented by corrections interventions. For more information on this tool, the white paper can be found at <http://csgjusticecenter.org/wp-content/uploads/2013/09/Final.Reentry-and-Employment.pp.pdf>.

The National Conference of State Legislatures (NCSL) is a Department of Labor grantee that is preparing research and technical assistance materials on occupational licensing. The NCSL has produced this paper: “Improving Access to Licensed Occupations for individuals With Criminal Records” available at this link: <http://www.ncsl.org/research/labor-and-employment/barriers-to-work-individuals-with-criminal-records.aspx>.

In addition, the NCSL has a database of 34 licensed occupations that require less than a B.A. degree that shows the requirements for those licensed occupations across all 50 states. The database contains a variety of variables relevant to justice involved individuals on whether or not the licensing requirement for each occupation includes a:

- “Good Moral Character Requirement”
- “Blanket Ban for Ex-Offenders” (blanket ban means they have interpreted “good moral character” to exclude anyone with a criminal record and they do not have specific nuanced requirements regarding the nature of the record or offense or how long ago it occurred)

- “Rehabilitation Requirement”
- “Relationship Between Offense and Occupation”
- “Limitation on Scope of Inquiry” (regarding arrests or previous convictions)

The database also contains additional information on those 34 licensed occupations, including the amount of skills training required for a license, the cost of the license, required exams, etc.

The database is available at this link:

<http://www.ncsl.org/research/labor-and-employment/occupational-licensing-statute-database.aspx>.

## **I. Industry-Recognized Credentials**

US Employment and Training Administration, Labor Market Research

<https://doleta.gov/taaccct/pdf/presenters/Bosworth-Frugoli.pdf>.

The Credential Resource Guide: The purpose of this Credential Resource Guide is to provide information on the types of credentials available to workforce program participants and explain how they can acquire and leverage these credentials to build lasting careers. Located at: <https://wdr.doleta.gov/directives/attach/TEGL15-10a2.pdf>.

## **IX. OMB INFORMATION COLLECTION**

---

OMB Information Collection No 1225-0086, Expires May 31, 2019.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 20 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

Send comments about the burden estimated or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, to the attention of the Departmental Clearance Officer, 200 Constitution Avenue NW, Room N1301, Washington, DC 20210. Comments may also be emailed to [DOL\\_PRA\\_PUBLIC@dol.gov](mailto:DOL_PRA_PUBLIC@dol.gov).

**PLEASE DO NOT RETURN YOUR GRANT APPLICATION TO THIS ADDRESS. ONLY SEND 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 March 25, 2019, in Washington, D.C. by:

Melissa Abdullah

Grant Officer, Employment and Training Administration