

U.S. DEPARTMENT OF LABOR  
Employment and Training Administration

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**NOTICE OF AVAILABILITY OF FUNDS AND FUNDING OPPORTUNITY  
ANNOUNCEMENT FOR THE H-1B ONE WORKFORCE GRANT PROGRAM**

**ANNOUNCEMENT TYPE:** *Initial*

**FUNDING OPPORTUNITY NUMBER:** *FOA-ETA-20-13*

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER:** *17.268*

**KEY DATES:** *The closing date for receipt of applications under this Announcement is November 12, 2020. We must receive applications no later than 4:00:00 p.m. Eastern Time.* On approximately October 7, 2020, a Frequently Asked Questions (FAQs) page about the H-1B One Workforce Grant Program will be available at <https://www.dol.gov/agencies/eta/skills-grants/h1-b-skills-training>. Please check this link frequently for future updates, as additional FAQs may be added. A pre-recorded Prospective Applicant Webinar will be available at the same link on approximately October 7, 2020 and available for viewing any time after that date. While a review of this Webinar is strongly encouraged to support successful grant applications, it is not mandatory.

**ADDRESSES:** *Address mailed applications to:*

*The U.S. Department of Labor  
Employment and Training Administration, Office of Grants Management  
Attention: Brinda Ruggles, Grant Officer  
Reference FOA-ETA-20-13  
200 Constitution Avenue, NW, Room N4716  
Washington, D.C. 20210*

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

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## **EXECUTIVE SUMMARY**

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The purpose of this funding opportunity is to encourage applicants to develop replicable, comprehensive workforce strategies for preparing the workforce for middle-to high-skilled H-1B occupations within key sectors, such as Information Technology (IT), advanced manufacturing, and transportation that are being transformed by technological advancements and automation. To address these challenges, the Employment and Training Administration (ETA), U.S. Department of Labor (DOL, or the Department, or we), announces the availability of up to \$150 million in grant funds authorized under section 414(c) of the American Competitiveness and Workforce Improvement Act of 1998 (ACWIA), as amended (codified at 29 USC 3224a) for the H-1B One Workforce grant program. We expect to fund approximately 15–30 grants, with individual grant amounts ranging from \$500,000 to \$10 million.

Under this FOA, applicants will form public-private partnerships to engage industry through sector partnerships to develop and deploy innovative workforce solutions to address common workforce challenges. With this funding, ETA will support the IT/cybersecurity, advanced manufacturing, and transportation sectors to upskill its present workforce and train a new generation of workers to build a pipeline for the future workforce.

These public-private partnerships, referred to as H-1B One Workforce Partnerships, will leverage resources across federal, state, and local funding streams, as well as from the private sector. H-1B One Workforce Partnerships will work toward a coordinated approach to preparing a skilled workforce within an economic region. All applicants must demonstrate that they are leveraging at least 25 percent of the total amount of the grant funds requested. By engaging partners and aligning grant projects with broader workforce activities, applicants will position their projects to sustain efforts beyond the grant period of performance.

The COVID-19 pandemic has caused many education and training providers and employers to rethink how to deliver training. In addition to an innovative mix of training strategies, applicants are encouraged to leverage innovative modes of training delivery, including online, distance, and other technology-enabled learning. The H-1B One Workforce Partnerships will deploy training to provide individuals with skills necessary to advance along a career pathway to employment in middle- to high-skilled H-1B industries and occupations. Through this partnership, applicants will offer options for skills attainment through a variety of training models, including on-the-job

training; customized training; incumbent worker training; Registered Apprenticeship Programs, Industry-Recognized Apprenticeship Programs, and pre-apprenticeship programs; other work-based learning activities, such as paid work experience and paid internships; and classroom, competency-based, and online training strategies.

The following four types of organizations qualify as eligible lead applicants:

- Businesses, business-related nonprofit organizations, such as industry and trade associations, and organizations functioning as a workforce intermediary for the express purpose of serving the needs of an industry;
- Education and training providers, including community colleges, other community-based and faith-based organizations, and for-profit educational and training institutions;
- Entities involved in administering the public workforce system established under the Workforce Innovation and Opportunity Act (WIOA); and
- Economic development agencies.

Eligible participants served through this grant program must be at least 17 years old and not currently enrolled in secondary school within a local educational agency. Among the individuals eligible to receive training, those of interest include unemployed and underemployed individuals seeking full-time employment, and incumbent workers needing to upskill or reskill to retain employment or advance into middle- to high-skilled positions.

## **I. FUNDING OPPORTUNITY DESCRIPTION**

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### **A. PROGRAM PURPOSE**

As the nation responds to economic changes from the COVID-19 pandemic and ongoing rapid technological changes and advances, the public workforce system plays an essential part in providing a skilled workforce. Economic regions are seeking workers to fill critical shortages. To remain competitive, our nation will need to rethink how it educates and trains a pipeline of workers with digital and technology skills necessary to support the advancement of our country's IT/cybersecurity, advanced manufacturing, and transportation sectors, as well as other industries of the future that include artificial intelligence (AI), quantum information sciences (QIS), 5G/advanced communications, and biotechnology.

This Announcement solicits applications for the H-1B One Workforce grant program. The purpose of this grant program is to use up to \$150 million in H-1B training funds to encourage states and economic regions to work with industry stakeholders to develop dynamic workforce strategies that train workers and jobseekers for middle- to high-skilled H-1B occupations in key industry sectors. These grants will build proof of concepts of innovative training models that can be replicated by the broader workforce system. Applicants must build support for a common vision for responding to the workforce challenges within their state and economic regions, ensuring that their projects complement and leverage, but do not duplicate existing programs. By forging public-private partnerships—H-1B One Workforce Partnerships—applicants will bring together industry and employers, education and training providers, the workforce system,

state and local government, and other entities that will work collaboratively to align resources in response to employer demand and to offer novel education and job training solutions that generate positive outcomes and results.

Toward the goal of serving one workforce, leveraged resources are a critical component of the project design. H-1B One Workforce Partnerships will share data and expertise, leverage and braid public and private financial and in-kind resources to ensure that resources are sufficient to meet the service and training needs of all participants served, and establish connections and resource sharing that will be sustained beyond the grant program. Grantees will make participants aware of other federally-funded workforce training resources from across government, including training funded by the Departments of Transportation, Commerce, Veterans Affairs, and Education, as well as employment supports funded by the Supplemental Nutrition Assistance Program, in an attempt to complement those efforts and increase coordination that is sustained beyond the grant period. As another measure to leverage these resources, applicants will also be required to pursue co-enrollment for participant services across federally-funded programs, where participants can benefit from other services. In addition to leveraging federal resources, applicants must also seek to leverage private, public, and foundation resources. All applicants must demonstrate that they will leverage at least 25 percent of the total amount of the grant funds requested.

As an effective way to build a skilled workforce that addresses knowledge and skills shortages in key industry sectors, applicants must forge industry partnerships to lead and implement dynamic sector strategies. Sector strategies focus on organizing multiple employers from a high-growth industry sector that collectively define their skill needs and the credentials they use to make hiring and advancement decisions. These sector strategies can help to align state programs and resources for employers and workers in a state or region by aligning the workforce system's training programs to adapt to employer skill needs through sector-based career pathways to promote informed choice.

Sector strategies provide a means to engage directly with multiple employers from an industry sector across traditional boundaries. Economic regions do not typically correspond to state, county, local workforce development area, or municipal boundaries, but rather are defined by the interdependence of their people and organizations. Businesses operate in economic regions that may cross city, county, and state lines and education and economic development areas. Sector strategies work across these boundaries to identify and address specific workforce needs in almost every industry.

Applicants will propose industry sector partnerships to focus on key workforce challenges by selecting at least one of the below sector-based initiatives. With this funding, ETA will support the IT, advanced manufacturing, and transportation sectors to upskill and reskill the present workforce and innovate how they train a new generation of workers.

### **1. Tapping New Talent for IT**

While most occupations require some digital and technology skills, employment of computer and IT occupations is projected to grow 12 percent from 2018 to 2028—much faster than the average for all occupations.<sup>1</sup> Prior to the COVID-19 pandemic, the United States had 123,000 openings in the IT industry, including software development, network administration, and cybersecurity, and IT occupations are projected to grow at about 42,230 openings per year.<sup>2</sup> With the funding available through these grants, ETA will support innovative approaches to equipping workers with technical skills and industry-recognized certifications necessary for employment in middle- to high-skilled jobs. Applicants may opt for a mix of training strategies that work best for a variety of populations, from training older out-of-school youth who are interested in transforming their computer literacy or gaming avocations into tech careers, to transitioning service members, veterans, and military spouses, many of whom already have work experience and security clearances, to help them obtain civilian cybersecurity jobs.

### **2. Retooling the Advanced Manufacturing Workforce<sup>3</sup>**

According to industry estimates, over the next decade nearly 3.5 million manufacturing jobs will need to be filled due to retirements and growth in the sector. Nearly 2 million of those jobs may go unfilled due to a talent shortage. In addition to difficulties with adding skilled workers to the pipeline, businesses are struggling to keep pace with automation and provide the technical training skills needed for their existing workforce to remain competitive. In addition, with the retirement of 2 million baby boomers from manufacturing before 2025, manufacturers are losing embedded, institutional knowledge.

### **3. Building the Transportation Workforce of the Future**

Prior to the COVID-19 pandemic, the Departments of Transportation and Labor estimated that during the period of 2012 to 2022, the transportation sector needed to hire approximately 4.6 million workers to service our transportation system. [Source: *Department of Transportation/Department of Labor, 2019*]. While all aspects of the transportation sector—including automobiles, aviation, and mass transit—are impacted by mobility restrictions during the pandemic, the economic recovery will require skilled workers to adapt and change with evolving transportation modes, new technologies, and increasing automation. These changes will “transform the way people and goods move about, as shared and autonomous vehicles could offer the opportunity for faster, cleaner, cheaper, and safer transportation.”<sup>4</sup>

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<sup>1</sup> Occupational and Outlook Handbook, Computer and Information Technology, Bureau of Labor Statistics, April 10, 2020.

<sup>2</sup> <https://www.bls.gov/emp/tables/occupational-separations-and-openings.htm>.

<sup>3</sup> *Economic and Operational Impacts of COVID-19 to Manufacturers*, March 2020, <https://www.nam.org/coronasurvey/>.

<sup>4</sup> Burt Rea, Stephanie Stachura, Laurin Wallace, Derek M. Pankratz. “Making the future of mobility work: How the new transportation ecosystem could reshape jobs and employment” *Deloitte Review*, Issue 21, July 2017, <https://www2.deloitte.com/us/en/insights/deloitte-review/issue-21/transportation-ecosystem-future-of-mobility-reshaping-work.html>.

As our national modes of transportation change and the demands for upgrading the infrastructure for different transportation modes intensify, states need comprehensive workforce strategies for preparing the workforce to meet these demands. While individual transportation modes have assessed their own gaps in the past, moving forward it will be important for states to develop a cross-modal vision that addresses workforce development across different transportation modes.<sup>5</sup>

H-1B One Workforce Partnerships will address the workforce challenges identified in any of the above proposed sector-based initiatives. In addition, grantees will actively engage the required employer partners in implementing the sector strategy within six key areas: (1) providing leadership to the project and setting strategic direction; (2) informing the identification and mapping of the necessary skills and competencies for the program(s); (3) providing work-based learning opportunities; (4) assisting with curriculum development and program design; (5) where appropriate, informing the design of an assessment or validating credentials that will address industry skill needs; and (6) providing resources, such as mentors, the donation of facilities, faculty, equipment, or other contributions to support the proposed project, and hiring qualified training participants. Through the projects funded under this grant program, grantees will create and maintain relationships with employers and regional industry representatives throughout the duration of the project with the intention of sustaining those relationships beyond the grant period.

Building strong relationships with employers throughout the project is essential to stronger labor market focus and connections for the participants. Employers engaged in a particular sector's strategy should commit to hire, promote, and/or retain qualified program participants completing the training. In addition, the Department is interested in providing rigorous work-based training opportunities for program participants (such as on-the-job training, Registered Apprenticeship Programs (RAP) and Industry-Recognized Apprenticeship Programs (IRAP), internships, and paid work experience) as a key component of the proposed sector-based training program.

To ensure that coordinated workforce development strategies and partnerships will be sustained beyond the period of performance, all applicants must address in their project narratives how they intend to sustain their activities and embed their lessons learned into their broader workforce strategies. This plan may include maintaining the workforce development model, strategic accomplishments, or innovations such as program designs, policy changes, and partnerships, and may include new approaches to employer engagement and new training components. As the process of designing a sustainability plan is iterative, it should begin as early as possible in the grant lifecycle. In addition, accomplishments or innovations that support a broader workforce development agenda—in particular, those that align with the strategic priorities of industry partners, the public workforce system, and economic development agencies—often have a greater likelihood of being sustained.

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<sup>5</sup> *Transportation News: Transportation Workforce of the Future*, September-October, 2019. <http://onlinepubs.trb.org/onlinepubs/trnews/trnews323.pdf>.



Applicants are required to track and report participant-level characteristics and data on the proposed outcomes and outputs that the project will achieve during the period of performance. Outcomes are measurable characteristics that directly result from the implementation of specific project design activities. Outputs are tangible products or services that result from the project. In addition, the Department requires H-1B grants to align with and report on the six WIOA primary indicators of performance, as set forth in WIOA section 116(b)(2).<sup>6</sup> More detail on performance reporting expectations can be found in Section IV.B.3. Project Narrative.

## **B. PROGRAM AUTHORITY**

The H-1B One Workforce grant program is authorized under section 414(c) of the American Competitiveness and Workforce Improvement Act of 1998 (ACWIA), as amended (codified at 29 U.S.C. 3224a). These grants are financed by a user fee paid by employers to bring foreign workers into the United States under the H-1B nonimmigrant visa program.

## **C. TARGET INDUSTRIES AND OCCUPATIONS**

The H-1B One Workforce grant program will fund projects that create a pipeline of workers for key industry sectors that lead to well-paying, middle- and high-skilled jobs across a diversity of H-1B industries and occupations.

To help companies in the transportation, advanced manufacturing, and IT sectors reduce the need for skilled foreign workers under the H-1B visa program, applicants must design their workforce training program(s) to target one of the following:

**Option 1:** Occupations in an H-1B industry – Applicants may choose to expand training programs in an H-1B industry. An H-1B industry is an industry in which the Department has certified H-1B visas for occupations in that industry. Appendix A is a list of H-1B industries that are acceptable for applications. Given the focus of this FOA, these industries are IT and IT-related industries, advanced manufacturing, and professional services that include engineering and surveying occupations important to the transportation sector. Applicants may propose occupations across one or more H-1B industries, target multiple occupations within an H-1B industry, or narrow their focus to a specific occupation within an H-1B industry.

*If using Option 1, applicants that do not clearly identify they are serving one of the H-1B industries identified in Appendix A will be found non-responsive and will not be considered.*

**Option 2:** H-1B occupations – Applicants may choose to target a specific H-1B occupation(s) for which a significant number of H-1B visas has been certified, even if that occupation is not in one of the identified H-1B industries listed in Appendix A. If this occupation is not within the H-1B industries identified in Appendix A, the

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<sup>6</sup> TEGL No.14-18, *Aligning Performance Accountability Reporting, Definitions, and Policies Across Workforce Employment and Training Programs Administered by the U.S. Department of Labor (DOL)*, March 25, 2019.

application must provide data showing that the H-1B occupation is one for which a significant number of H-1B visas have been certified and demonstrate that this occupation is related to one of the key sectors of transportation, IT, and advanced manufacturing. Applicants must use verifiable data to make this demonstration, such as data provided by DOL's Foreign Labor Certification Data Center. Applicants may propose to serve more than one H-1B occupation.

*If using Option 2, applicants that do not demonstrate they are proposing to serve an H-1B occupation and provide justification for a specific H-1B occupation(s) on the application will be found non-responsive and will not be considered.*

This grant program is designed to build individuals' skills so they are prepared to be placed into in-demand middle- and high-skilled jobs in H-1B industries or occupations within the transportation, advanced manufacturing, and IT sectors, or occupations along a career pathway to in-demand middle- and high-skilled H-1B occupations in the three key sectors. While program participants do not need to have these skill levels to enter the H-1B One Workforce training program, grant projects must be established to help move workers along a career pathway that will result in employment in middle- and high-skilled jobs within the key industries.

#### **D. GEOGRAPHIC SCOPE**

Applicants must identify the geographic scope of the proposed project. Applicants may choose one of the following geographic scopes: local/regional, statewide, or national. The geographic scope is the physical service area in which awarded applicants will serve participants.

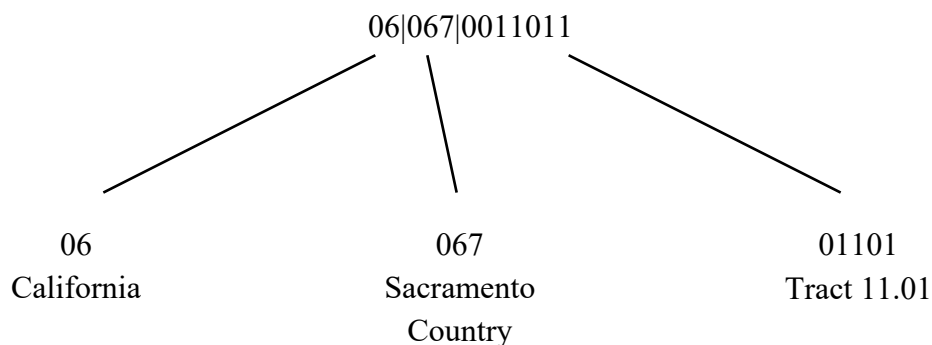
- **Local/regional** means serving a part of one state or a contiguous area that includes multiple sites in a regional workforce area or economic region that may cross more than one state.
- **Statewide** means serving an entire state or multiple non-contiguous sites (or economic regions) within one state.
- **National** means serving multiple economic regions in multiple states across the country. The service area does not need to be contiguous.

Economic regions are defined primarily by the movement of goods, capital, labor, consumption, and other economic forces within a geographic area. Defining an economic region involves identifying the surrounding area, communities, counties, and municipalities that have similar industry and employment characteristics, looking beyond traditional political boundaries; and identifying the workforce needs of the identified areas.

Applicants that demonstrate, in their abstract, that at least one census tract within their physical service area is designated by the Secretary of Treasury as a qualified Opportunity Zone will receive two points toward their overall application score. Applicants will not receive additional points for multiple Opportunity Zones within the proposed physical

service area. For more information on Opportunity Zones, go to <https://www.irs.gov/newsroom/opportunity-zones-frequently-asked-questions>.

Please be aware the Internal Revenue Service list provides the full 11-digit census tract number. Use the example below to identify your census tract number(s):



06 – Identifies California

067 –Identifies Sacramento County, California

001101 – Identifies Census Tract 11.01 within Sacramento Country, California.

## **E. PROGRAM DESIGN AND ALLOWABLE ACTIVITIES**

The H-1B One Workforce grant program will build a pipeline of workers that will help position states and regions in meeting current and future workforce challenges. Successful applicants will design their grant projects from both (1) a strategic level, such as describing their planned activities for convening sector partnerships, assessing the needs of their proposed sectors within a particular geographic scope, or devising a comprehensive workforce strategy; and (2) an operational level, such as incorporating in their plans how they would implement their comprehensive workforce strategy and deploy the training activities.

Applicants must propose projects that comprise all of the following activities:

- A. Build new or expand existing sector partnerships that develop a workforce strategy across state and regional workforce and related sector agencies, including employers within the proposed sector-based initiative(s) and education and training entities;
- B. Establish new or expand career pathways in the proposed sector-based initiative(s) that focus on the skills, competencies, and credentials needed for jobs within the targeted H-1B industries and occupations;
- C. Offer high-quality training options (such as work-based learning training models) to prepare individuals to successfully move into middle- to high-skilled employment within the targeted H-1B industries and occupations;
- D. Ensure that participants receive the supportive services necessary to participate fully in employment and training activities;

- E. Develop a new or leverage an existing system for reviewing and collecting data, and monitor results to assess program performance; and
- F. Create a new or leverage an existing infrastructure to successfully sustain the program components and partnerships after the life of the grant.

### **1. Career Pathways**

Under this FOA, training along a career pathway may start with entry-level occupations, but must lead to employment in middle- and high-skilled positions in H-1B industries and occupations that support the development of the proposed sector-based initiative(s). Career pathways must be sector-focused and incorporate the needs and hiring opportunities of employers within a specific industry sector, and provide planned and sequenced coursework, training, and/or work experience that leads to attainment of recognized postsecondary credentials.

Projects must develop career plans for participants that will help each participant navigate and assess their various career pathway options within a specific sector strategy, including identifying skills and competencies needed for those occupations, and describing how the education and training provided will assist individuals in moving along a career pathway within the targeted industry sector. Career Pathway programs integrate academic and occupational skills training aligned with employer-validated work readiness standards and competencies. The clear sequence of coursework and/or credentials allows progression through a variety of postsecondary credentials that demonstrate marketable skills in various occupations in an industry sector.

### **2. Training and Education Services**

Projects funded under this FOA will provide a range of training and education services that lead to middle- and high-skilled jobs in the proposed sector-based initiative. An innovative mix of services will include assessment, coaching and counseling, and occupational skills training that lead to recognized postsecondary credentials.<sup>7</sup> All projects must incorporate a strong upfront assessment component that allows for a customization of services and training to meet the needs of the program participants to get a job, retain their employment, or advance to a new position in the targeted sector. This could include the use of customized online assessment tools.

Applicants must consider including robust, comprehensive, and customized work-based learning strategies, such as On-the-Job Training; customized training for cohorts; Incumbent Worker Training; Registered Apprenticeship Programs, Industry-Recognized Apprenticeship Programs, and pre-apprenticeship programs that articulate to grant-funded apprenticeship programs; and paid work and paid internships. Other allowable training strategies are classroom, competency-

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<sup>7</sup> See Training and Employment Guidance Letter (TEGL) No.14-18, *Aligning Performance Accountability Reporting, Definitions, and Policies Across Workforce Employment and Training Programs Administered by the U.S. Department of Labor (DOL)*, March 25, 2019, and Training Employment Notice (TEN) No. 25-19, *Understanding Postsecondary Credentials in the Public Workforce System*, June 8, 2020, for information on recognized postsecondary credentials.

based, and technology-based training strategies. Co-enrolling participants into WIOA programs or other federally-funded training programs, such as those supported by the Departments of Education, Transportation, Veterans Affairs, and others, where appropriate, to leverage training costs is encouraged. The intent of co-enrollment is to meet the training and employment needs of program participants by leveraging the resources and services available through other funding sources.

Applicants may propose these strategies or a combination of these strategies to meet the needs of employers and jobs seekers and allow flexibility for program delivery. Applicants may also incorporate online training strategies and virtual service delivery models to address challenges related to the COVID-19 pandemic.

**a. On-the-Job Training (OJT)**

OJT can bridge the divide between unemployment and employment by addressing the gap between an individual's skills and what is required for a particular occupation. Individuals who participated in OJT in the past have demonstrated improved labor market attachment and enhanced job tenure, as illustrated by higher rates of job placement and retention. OJT also offers participants a "learn and earn" training option, allowing individuals to learn new skills while earning a regular paycheck. OJT is distinguished from other types of workplace training, including customized training, in several ways:

- Participants are hired by an employer and earn wages during training;
- OJT is based on an individualized training plan that reflects the results of an individual skills assessment and analysis of job requirements;
- Training is conducted in the workplace under the direction of one or more of the employer's supervisory personnel; and
- The grantee reimburses the employer for the costs of the training.

OJT has specific requirements explained in Section IV.E. Funding Restrictions. Incumbent workers are not eligible to participate in OJT.

**b. Customized Training**

Cohort-based customized training is designed to meet the specific requirements of an employer or group of employers with the commitment that the employer(s) hire an individual upon successful completion of the training. If applicants are proposing to leverage WIOA funding for this activity, they must work with Local Workforce Development Boards (Local WDB) and American Jobs Centers to negotiate and arrange for participants to receive individual training accounts to pay for cohort or customized training.

**c. Incumbent Worker Training**

Incumbent Worker Training is allowable to meet the needs of employers and particularly front-line, lower-skilled, and lower-wage workers who need training to upgrade their skills

to remain competitive and advance along a career ladder. Employers are encouraged to backfill those positions with unemployed and underemployed individuals. As such, ETA encourages applicants to work with employer partners to develop plans to create career pathways in middle- and high-skilled jobs for low-skill, low-wage workers by using incumbent worker training to move existing workers into higher-skill jobs in H-1B occupations and industries. This may also include customized cohort training to meet the needs of particular employers or groups of employers that have workers that require similar occupational skills training. The training provided to incumbent workers is developed with an employer or employer association.

**d. Registered Apprenticeship Programs, Industry-Recognized Apprenticeship Programs, and Pre-Apprenticeship Programs**

**Registered Apprenticeship Programs (RAP):** RAPs (29 CFR Part 29, Subpart A, and 29 CFR Part 30) combine an educational or instructional component with a paid work-based learning component. RAPs are registered through the DOL’s Office of Apprenticeship or a DOL-recognized State Apprenticeship Agency. Registered apprentices are paid employees and receive progressive wage increases commensurate with their skill attainment throughout the training program. Registered apprentices have a 1:1 ratio with a mentor throughout their on-the-job learning. Upon successful completion of all phases of work-based learning and related-instruction components, registered apprentices receive nationally recognized certificates of completion leading to long-term career opportunities. For more information on RAPs, please visit [www.apprenticeship.gov](http://www.apprenticeship.gov).

**Industry-Recognized Apprenticeship Programs (IRAP):** IRAPs (29 CFR Part 29, Subpart B) are high-quality apprenticeship programs that provide individuals with opportunities to obtain workplace relevant knowledge and progressively advancing skills. IRAPs are recognized through a Standards Recognition Entity. IRAPs include a paid work component and an educational or instructional component, and result in industry-recognized postsecondary credentials. IRAPs are developed or delivered by entities such as trade and industry groups, corporations, nonprofit organizations, educational institutions, unions, and joint labor-management organizations.<sup>8</sup>

**Pre-apprenticeship Programs:** A pre-apprenticeship program is defined as a set of strategies designed to prepare individuals for entry into an apprenticeship.<sup>9</sup> Pre-apprenticeship programs differ from internships, job shadowing, externships, and co-ops that also offer individuals an opportunity to experience firsthand a profession or practice, but do not always engage in “real world” experiential learning. For the purposes of this FOA, pre-apprenticeship programs funded through this grant are allowable only when

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<sup>8</sup> For more information on IRAPs, please visit <https://www.apprenticeship.gov/industry-recognized-apprenticeship-program>.

<sup>9</sup> *Describing a Quality Pre-Apprenticeship and Related Tools and Resources*, Training and Employment Notice No. 13-12, available at [https://wdr.doleta.gov/directives/attach/TEN/TEN\\_13-12.pdf](https://wdr.doleta.gov/directives/attach/TEN/TEN_13-12.pdf).

participants advance in the apprenticeship program(s) during the grant period as proposed in the application.

**e. Other Work-Based Learning Activities: Paid Work Experience and Paid Internships**

**Paid work experience** is defined as a planned and structured learning experience that takes place in a workplace for a limited period. For the purposes of this FOA, work experiences are required to be paid work experiences. The specific requirements of these paid work experience are detailed in Section IV.E. Funding Restrictions. Incumbent workers are not eligible to participate in paid work experience.

**Paid internships** provide a monitored or supervised work or service experience in an individual's career field where he or she has intentional learning goals and reflects actively on what is learned throughout the experience. These learning goals can include academic learning, career development, and skill development. Internships are considered part of a structured program where the grantee establishes the criteria for determining who will participate in these programs, and are set for a period of time that is generally limited in duration, but may be flexible to allow interns to spend limited time in the classroom. Internships support the attainment of credentials in the individual's expected career field (where such credentials exist), relate to training provided through the grant, and help participants prepare for employment opportunities on which the grant focuses. Internships do not necessarily carry an offer of regular employment upon successful completion of the internship.

For the purposes of this FOA, internships are required to be paid internships. Under this FOA, paid internships have specific requirements, which are detailed in Section IV.E. Funding Restrictions. Incumbent workers are not eligible to participate in paid internships.

**f. Classroom, Competency-Based and Online Training Strategies**

In addition to the types of work-based training previously listed, a variety of other types of training strategies may include, but are not limited to, classroom occupational training; distance learning; technology-based learning; or simulation training. All these strategies can be combined to accelerate the time to credential or program completion. Accelerated and competency-based training strategies can rapidly train participants efficiently and effectively for employment. They can include competency-based programs that give participants credit for skills they have already developed, and allow participants to move through coursework based on mastery of skills or online programs that prepare individuals for jobs in middle- to high-skilled jobs in H-1B industries and occupations.

**g. Other Activities**

A wide range of activities may assist applicants in their efforts to establish new training models, expand existing programs, and offer employment and training services. Accordingly, applicants may propose to use grant funds to undertake additional activities

designed to create an environment for employment and training opportunities, including, but not limited to, those listed in this section.

The Department wishes to ensure that individuals, employers, educators and training providers have access to the most complete, current and beneficial information about providers, programs credentials and competencies supported with these public, federal funds. To this end, the Department requires that information about all credentials (including but not limited to diplomas, badges, certificates, certifications, apprenticeships, licenses, and degrees of all levels and types) and competencies (knowledge, skills and abilities) developed or delivered through the use of these public federal funds be made publicly accessible through the use of linked open data formats that support full transparency and interoperability, such as through the use of credential transparency description language specifications. ETA will provide specific guidance and technical assistance on data elements to include in the published open data, such as information about the credential provider, the credential and its associated competencies, delivery mode, geographic coverage, the industry sector(s) and occupation(s) for which the credential was developed, related assessments, related accreditations or other quality assurances where appropriate, costs, and available outcomes.

### **3. Supportive Service Strategies**

Up to 10 percent of grant funds may be used to provide supportive services for training participants. Supportive services are those necessary to enable an individual to participate in education and training activities funded through this grant program. Examples of such services include, but are not limited to transportation, childcare, dependent care, housing, and needs-related payments. Grantees may fund supportive services through various means, including providing the actual supportive service (e.g., childcare), providing participants with a voucher for the service (e.g., public transportation cards or tokens), or providing a stipend directly to the participant. ETA strongly encourages grantees to leverage other programs in the One Workforce community for supportive services when a participant is eligible for human services or other programs, reserving grant funds for those participants that need support but are not eligible for other assistance. See Section IV.E.4. Use of Funds for Supportive Services.

## **II. AWARD INFORMATION**

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### **A. AWARD TYPE AND AMOUNT**

Funding will be provided in the form of a grant. The Department expects availability of up to \$150 million to fund approximately 15 to 30 grants ranging from \$500,000 to \$10 million each. Applicants may apply for a ceiling amount of up to \$10 million. Applicants should request funding that is commensurate with the scope and scale of the project proposed. Awards made under this Announcement are subject to the availability of federal funds. If additional funds



become available, the Department may use such funds to select additional grantees from applications submitted in response to this Announcement.

Applicants must identify in the project narrative the number of participants to be served through the project, in alignment with this FOA and based on the geographic scope of the project and the amount of funds requested. Applicants must also identify in the project narrative the number of participants to receive positive outcomes through the project, in alignment with this FOA and based on the geographic scope of the project and the amount of funds requested. See Section IV.B.3.b. Expected Outcomes and Outputs for additional details.

## **B. PERIOD OF PERFORMANCE**

The period of performance is 48 months. This performance period includes all necessary implementation and start-up activities.

## **III. ELIGIBILITY INFORMATION**

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### **A. ELIGIBLE APPLICANTS**

In keeping with the authority provided by Congress under ACWIA, grants under this program will be awarded to partnerships of private and public sector entities. Grants will be awarded to the lead applicant of the H-1B One Workforce Partnership, and the lead applicant will serve as the grantee and have overall fiscal and administrative responsibility for the grant. Eligible lead applicants must: (1) meet the definition of one of the four types of eligible lead applicants described below, and (2) establish a partnership that includes the three types of entities described as required partners below to form the H-1B One Workforce Partnership. While a lead entity may represent one of the required partners, an entity cannot serve as more than one type of required partner in the H-1B One Workforce Partnership for the purpose of meeting FOA requirements.

#### **1. Eligible Lead Applicants**

For the purposes of this FOA, the following four types of entities qualify as eligible lead applicants:

- Businesses, business-related nonprofit organizations, such as industry and trade associations, and organizations functioning as a workforce intermediary for the express purpose of serving the needs of an industry;
- Education and training providers, including community colleges, other community-based organizations, and for-profit educational and training institutions;
- Entities involved in administering the public workforce system established under WIOA; and
- Economic development agencies.

Detailed eligibility requirements for each type of entity are provided below:

**i. Businesses and business-related nonprofits organizations**

These include industry or trade associations such as local Chambers of Commerce, Manufacturing Extension Partnerships, Technology Associations, small business federations, and labor-management organizations. An industry/trade association, also known as an industry trade group, business association, sector association, or industry body, is an organization founded and funded by businesses that operates in a specific industry. A range of organizations can serve in the workforce intermediary role, including any of the following: Workforce Development Boards, community colleges, labor-management organizations, industry associations, community-based organizations, non-profit workforce agencies, and state and local government agencies.

Organizations functioning as workforce intermediaries for the express purpose of serving the needs of an industry lend their expertise by having: (1) credibility with employers and workers in the H-1B occupations and industries targeted through the project; (2) access to and experience with the targeted population(s); and (3) capacity to manage a multi-partner and complex initiative bringing together project partners to plan, govern, manage, and track performance of customized services to program participants and employers.

**ii. Education and Training Providers**

For the purposes of this FOA, training providers include institutions of higher education as defined in Section 101(a) of the Higher Education Act of 1965 (20 U.S.C. 1001), including community and technical colleges and systems; joint labor-management training partnerships; nonprofit, community-based, and faith-based organizations that offer job training, including those organizations that have been approved as WIOA Eligible Training Providers; and for-profit educational institutions.

Generally, institutions of higher education include two-year and four-year colleges and universities, and Minority-Serving Institutions (including Historically Black Colleges and Universities, Tribal Colleges and Universities, and Hispanic Serving Institutions, and/or Asian American and Native American Pacific Islander Serving Institutions, such as those designated by the U.S. Department of Education at <http://www2.ed.gov/about/offices/list/ocr/edlite-minorityinst.html>), among others.

While not a requirement under this FOA, we encourage the inclusion of education and training providers that have been approved as a WIOA Eligible Training Provider and/or intend to apply for approval as a WIOA Eligible Training Provider. Education and training providers provide offer a range of in-demand, customizable and short-term training, competency-based training, as well as longer-term training programs that result in recognized postsecondary credentials, such as associate degrees and certificates and may include basic skills training, technical skills training, supportive services, and workforce development services.

### **iii. Workforce Development Entities**

For this FOA, the publicly-funded Workforce Development System entities are State Workforce Agencies, and state and local Workforce Development Boards that administer WIOA funds. These organizations have expertise in workforce development and may provide leadership in implementing the following types of activities: (1) understanding and analyzing the need for education and training in the local area, including identifying targeted industries, occupations, sector strategies, hiring needs, and populations to be served, and providing relevant sources of data, including labor market information and other tools or reports; (2) assessing potential participants for the grant program; (3) identifying and referring candidates for education and training in the grant program; (4) providing additional supportive services; (5) connecting and placing participants with employers that have job openings; and (6) collecting, tracking, and reporting participant data to ETA.

### **iv. Economic Development Agencies**

State, regional, and/or local economic development agencies work closely with employers, understand regional economic needs, and are involved in activities that help to generate and retain existing jobs, and stimulate industrial and commercial growth. The role of economic development agencies is to seek out new economic opportunities and retain their existing employer community. Economic development agencies do not create jobs, but support new and existing businesses in doing so. Economic development agencies may support the project by ensuring that there are sufficient economic development programs and incentives in place to assist the businesses in achieving their goals. Applicants are strongly encouraged to consider integrating employment and training programs with collaborative regional economic development strategies that align with key economic development investments to ensure that workers are being prepared for growth industries in their regional economy.

## **2. Role of Lead Applicant**

Lead applicants must identify their institution type in Section 9 of the SF-424 Application for Federal Assistance.

Please note that all elements of 2 CFR Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards) and 2 CFR Part 2900 (DOL's Supplement to 2 CFR Part 200) apply to any entity that carries out a federal award as a recipient or subrecipient, including for-profit organizations. This includes the monitoring and the examination of their records. **In addition, the entity may not earn or keep any profit resulting from federal financial assistance.**

In the required Abstract (see Section IV.B.4. Attachments to the Project Narrative), you must clearly identify the lead applicant and each member of the partnership. The lead applicant will

serve as the grantee, must be the organization specified in Section 8 of the SF-424 Application Form, and will be: (1) the point of contact with the Department to receive and respond to all inquiries or communications under this FOA and any subsequent grant award; (2) the entity with authority to withdraw or draw down funds through the Department of Health and Human Services - Payment Management System (HHS-PMS); (3) the entity responsible for submitting to the Department all deliverables under the grant, including all technical and financial reports related to the project, regardless of which partnership member performed the work; (4) the entity that may request or agree to a revision or amendment of the grant agreement or statement of work; (5) the entity with overall responsibility for carrying out the programmatic functions of the grant, as well as for the stewardship of all expenditures under the grant; (6) the entity responsible for coordinating with the national evaluator, including participating in an evaluation and other studies, if selected by DOL; and (7) the entity responsible for working with DOL to close out the grant.

### **3. H-1B One Workforce Partnership**

This H-1B One Workforce grant program requires applicants to build strong industry partnerships to lead, implement, and sustain dynamic sector strategies. These H-1B One Workforce Partnerships will actively engage a range of employers and partners committed to participating in the sector strategies. Applicants will secure commitments for sustained employer involvement in various aspects of program design and delivery, including defining program goals and activities; identifying career pathways; informing training design; identifying necessary skills and competencies for targeted occupations; providing resources to support training; and considering hiring participants after successful program completion.

Applicants must demonstrate strong engagement of the partnership leaders necessary to develop comprehensive workforce strategies and training programs that address the applicable industry sector workforce needs. Their approach must also lend itself to replication in other areas/regions, while maximizing sustainability after the H-1B One Workforce grants expire. To demonstrate the active involvement of the required partnership entities, applicants should provide signed documentation of commitments—such as signed letters of commitment, memoranda of understanding, a partnership agreement, or other types of signed agreements—that demonstrate the commitment of each partner. An email or other form of written commitment is also acceptable. Applicants will be scored based on the inclusion of this documentation, as well as the level and quality of involvement in the project as outlined in Section IV.B.3. Project Narrative. Additionally, applicants should consider including additional optional partners that support the goals of this H-1B One Workforce Partnership.

#### **Required Partners**

For this FOA, we encourage applicants to forge robust partnerships to implement the grant and to sustain activities beyond the grant. The only required partners for the H-1B One Workforce Partnership, however, are businesses, education and training providers, and workforce development entities.

1. Businesses

To ensure that projects have strong and sustained employer engagement, applicants are required to partner with at least five employers or an industry/trade association that aligns with the applicable sector. An industry/trade association, also known as an industry trade group, business association, sector association, or industry body, is an organization founded and funded by businesses that operate in a specific industry. The employer partner(s) will play an important role in supporting grant success with respect sector strategies, employer engagement, and career pathways.

2. Education and Training Providers

Education and training providers as described in Section III.A.1.b.

3. Workforce Development Entities

Workforce Development Entities as described in Section III.A.1.c.

### **Optional Partners**

We strongly encourage applicants to collaborate with other partners that can support and advance the work of their selected industry sector(s). These include organizations functioning as workforce and industry intermediaries (including entities such as labor-management organizations, community-based organizations, and industry associations, which help broker local, regional, and national workforce solutions); foundations and philanthropic organizations; agencies administering federal funding from such Departments of Transportation, Defense, Commerce, Veteran Affairs, Education, Health and Human Services, Interior's Bureau of Indian Affairs, and Agriculture; State Apprenticeship Agencies; State Transportation Agencies; providers of supportive and specialized services; for-profit job training organizations; disability service providers; and faith-based organizations.

### **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.

The Department requires applicants to generate leveraged funds equal to at least 25 percent of the total requested amount of the grant award to supplement grant activities. Applicants must count and document as leveraged resources any cash or in-kind commitments. Leveraged resources can come from a variety of sources, including, but not limited to, businesses, industry associations, labor organizations, community-based organizations, education and training providers, and/or federal, state, and local government programs.

## **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	
Eligibility	Section III.A	
If submitted through Grants.gov, the components of the application are saved in any of the specified formats and are not corrupt. <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 federal funds request is at least \$500,000 and does not exceed the ceiling amount of \$10 million.	Section II.A	
SAM Registration	Section IV.B.1	
SF-424, Application for Federal Assistance	Section IV.B.1	
SF-424 includes a DUNS Number	Section IV.B.1	
SF-424A, Budget Information Form	Section IV.B.2	
Budget Narrative	Section IV.B.2	
Project Narrative	Section IV.B.3	
H-1B industry identified or justification provided for specific H-1B occupation identified.	Section IV.B.4, Appendix A, or Data Applicant Provided	

### **2. Number of Applications Applicants May Submit**

We will consider only one application from each organization as a lead applicant. If we receive multiple applications from the same organization serving as a lead applicant, we will consider

only the most recently received application that met the deadline. If the most recent application is disqualified for any reason, we will not replace it with an earlier application. Organizations may be involved as partners on multiple applications.

### **3. Eligible Participants**

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

The intent of this FOA is to fund projects that provide in-demand education/training services to individuals who will gain the skills and competencies required to enter middle- and high-skilled jobs in H-1B industries or occupations within the transportation, advanced manufacturing, or IT sectors, or occupations along a career pathway to in-demand middle- and high-skilled jobs in the key industries and occupations. This program will train individuals whose employment status, when determined eligible for the program, is unemployed, underemployed, or an incumbent worker.

For the purposes of this FOA, the following definitions apply:

- **Unemployed workers:** An unemployed worker is an individual who is without a job and is available to work.
- **Underemployed workers:** This term refers to individuals who are not currently connected to a full-time job commensurate with the individual's level of education, skills, or wage and/or salary earned previously, or who have obtained only episodic, short-term, or part-time employment.
- **Incumbent workers:** This term refers to individuals who are employed but need training to upgrade their skills to secure full-time employment, advance in their careers, or retain their current occupations in H-1B occupations and industries. This definition includes newly hired workers and workers whose hours have been reduced and/or earnings have declined. The training provided to incumbent workers is developed in collaboration with the employer for which an individual is employed when they are determined eligible to participate in the grant. Grantees are encouraged to backfill the open positions that result from incumbent worker training with unemployed and underemployed individuals.

All participants must be at least 17 years of age and not currently enrolled in secondary school within a local educational agency. Training must result in advancement of an individual's skills along a career pathway into middle- and high-skilled H-1B occupations within key industry sectors.

Among the individuals eligible to receive training, those of particular interest in this FOA are those that are unemployed and underemployed. Within these eligible participant categories (unemployed, underemployed and incumbent workers), applicants may specifically target veterans, military spouses, transitioning service members, and underrepresented populations in

transportation, advanced manufacturing, and IT sectors, including women, people of color, ex-offenders, individuals with disabilities, and other populations with employment barriers that hinder movement into middle- to high-skilled H-1B occupations.

To facilitate the inclusion of lower-skilled and disadvantaged workers, applicants may serve individuals who are lower-skilled, without the necessary skills and competencies to be in middle- and high-skilled jobs in H-1B occupations within the key industries, as long as the program provides the skills necessary for individuals to enter a middle- to high-skilled job, or a job along a career pathway in key industry or occupations upon completion of the training program. The proposed project must include components that will assist those who do not have educational prerequisites and/or experience.

**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).

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

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**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.

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

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

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



You must ensure that the funding amount requested is consistent across all parts and sub-parts of the application.

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

You must complete the SF-424, “Application for Federal Assistance” (available at <https://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1>).

- In the address field, fill out the nine-digit (plus hyphen) zip code. Nine-digit zip codes can be looked up on the USPS website at <https://tools.usps.com/go/ZipLookupAction!input.action>.
- The SF-424 must clearly identify the applicant and must be signed by an individual with authority to enter into a grant agreement. Upon confirmation of an award, the individual signing the SF-424 on behalf of the applicant is considered the Authorized Representative of the applicant. As stated in block 21 of the SF-424 form, the signature of the Authorized Representative on the SF-424 certifies that the organization is in compliance with the Assurances and Certifications form SF-424B (available at <https://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1>). You do not need to submit the SF-424B with the application.

#### **a) Requirement for DUNS Number**

All applicants for federal grant and funding opportunities must have a DUNS number, and must supply their DUNS Number on the SF-424. The DUNS Number is a nine-digit identification number that uniquely identifies business entities. If you do not have a DUNS Number, you can get one for free through the D&B website: <https://fedgov.dnb.com/webform/displayHomePage.do>.

Grant recipients authorized to make subawards must meet these requirements related to DUNS Numbers:

- Grant recipients must notify potential subawardees that no entity may receive a subaward unless the entity has provided its DUNS number.
- Grant recipients may not make a subaward to an entity unless the entity has provided its DUNS number.

(See Appendix A to 2 CFR Part 25.)

#### **b) Requirement for Registration with SAM**

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

A recipient must maintain an active SAM registration with current information at all times during which it has an active federal award or an application under consideration. To remain registered in the SAM database after the initial registration, the applicant is required to review

and update the registration at least every 12 months from the date of initial registration or subsequently update its information in the SAM database to ensure it is current, accurate, and complete. For purposes of this paragraph, the applicant is the entity that meets the eligibility criteria and has the legal authority to apply and to receive the award. If an applicant has not fully complied with these requirements by the time the Grant Officer is ready to make a federal award, the Grant Officer may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

## **2. Project Budget**

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

### **a) Budget Narrative**

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

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 that has an estimated acquisition cost of \$5,000 or more per unit (or if your capitalization level is less than \$5,000, use your capitalization level) and a useful lifetime of more than one year (see 2 CFR 200.33 for the definition of Equipment). List the item, quantity, and the unit cost per item.

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

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

**Contractual:** Under the Contractual line item, delineate contracts and subawards separately. Contracts are defined according to 2 CFR 200.22 as a legal instrument by which a non-federal entity purchases property or services needed to carry out the project or program under a federal award. A subaward, defined by 2 CFR 200.92, means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a federal program.

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

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

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

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

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

or

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

Applicants choosing to claim indirect costs using the de minimis rate must use Modified Total Direct Costs (see 2 CFR 200.68 below for definition) as their cost allocation base. Provide an

explanation of which portion of each line item, along with the associated costs, are included in your cost allocation base. Note that there are various items not included in the calculation of Modified Total Direct Costs. See the definitions below to assist you in your calculation.

- **2 CFR 200.68 Modified Total Direct Cost (MTDC)** means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000. Other items may be excluded only 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 any sub-contracts to be included in the calculation. You will also note that participant support costs are not included in modified total direct cost. Participant support costs are defined below.

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

See Section IV.B.4. and Section IV.E.1 for more information. Additionally, the following link contains information regarding the negotiation of Indirect Cost Rates at DOL:  
<https://www.dol.gov/agencies/oasam/centers-offices/business-operations-center/cost-determination>.

Note that the SF-424, SF-424A, and Budget Narrative must 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**

The Project Narrative must demonstrate your capability to implement the grant project in accordance with the provisions of this Announcement. It provides a comprehensive framework

and description of all aspects of the proposed project. It must be succinct, self-explanatory, and well-organized so that reviewers can understand the proposed project.

The Project Narrative is limited to 25 double-spaced single-sided 8.5 x 11 inch pages with Times New Roman 12-point text font and 1-inch margins. 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.

**a) Statement of Need (8 points)**

**1) Demonstration of Current and Future Demand (4 points)**

- i. Detailed and convincingly supported description of the current and future projected demand for employment in the selected H-1B industry(ies) or occupation(s), including how the demand coincides with the grant project. Applicants must select at least one of the two options provided in Section I.C. Target Industries and Occupations and provide a clear explanation that these are middle- to high-skilled occupations or on a career pathway to middle- to high-skilled occupations. Applicants must cite the source for the projected demand, such as Bureau of Labor Statistics or other DOL sources, state workforce agency sources, employers, or other labor market information provided by employers or other reliable/credible knowledgeable parties. Applicants must provide strong evidence with citations that identifies the average current wages offered for the selected industry(ies) and occupation(s), based on national, state, or local data. To the extent possible, data should reflect the proposed geographic scope. (4 points)

**2) Populations Served (4 points)**

- i. Clear identification and description of the specific target population(s) that will be served through the project, as identified in Section III.C.3 Eligible Participants, including those underrepresented within the targeted industry sector. The description of target populations for the economic region must include demographic characteristics, skill levels, and an explanation of how the target population(s) will meet the requirements of this FOA. (2 points)
- ii. Clear statement and plausible plan for how the project will increase access to IT/cybersecurity, advanced manufacturing, and transportation occupations

for individuals who are underemployed, unemployed, and incumbent workers. While applicants may serve incumbent workers through this FOA, to receive full points for this criterion, applicants must demonstrate that they will predominantly address the needs of unemployed and underemployed individuals. (2 points)

## **b) Expected Outcomes and Outputs (26 Points)**

Applicants must clearly identify outcomes and outputs that the project will achieve as a direct result of the proposed project. Outcomes are measurable characteristics that directly result from the implementation of specific project design activities. Outputs are tangible products or services that result from the project.

Applicants must propose to serve a specific number of participants based on the size of the award requested and local area considerations, such as employer demand and the population of the proposed service area.

Applicants must provide a table that clearly identifies the outcomes and the outputs (listed below) that will result from the project. This table will include annual target outcomes that will be used for the purposes of technical assistance. In addition, applicants must describe a clear, realistic (plausible) plan in a narrative format for how these outcomes and outputs align with their project goals.

The performance table must be submitted as a separate attachment and does not count against the page limit of the Project Narrative (see Section IV.B.4. Attachments to the Project Narrative, as well as Appendix B. Suggested Performance Outcome Measures Table).

### **1) Participant Training and Employment Performance Outcomes (16 Points)**

- i. **H-1B Performance Outcome Measures:** Applicants must include numerical outcome projections for outcome measures 1-6, and percentage rates for outcome measures 7-8 identified below and defined in Appendix B. Applicants must provide raw numbers and rates for each of the target outcome measures below; otherwise, they will not receive full points. Percent increases, or other types of data projections, are not acceptable. (6 points)

1. **Total participants served;**
2. **Total participants enrolled in education/training activities;**
3. **Total participants who complete education/training activities;**
4. **Total participants who complete education/training activities and receive a degree or other type of credential;**
5. **Total number of unemployed and underemployed participants who complete education/training activities and obtain employment; and**
6. **Total number of incumbent worker participants who**

**complete training activities and advance into a new position (if serving incumbent workers).**

*Applicants must provide proposed total target numbers for the four-year grant period of performance. Applicants must present their information in a performance outcomes table (see Appendix B for a sample format) to be included as an attachment to the Project Narrative.*

Applicants will also provide outcome targets for two key WIOA outcomes:

7. **“Employment Rate – 2nd Quarter After Exit” and**
8. **“Employment Rate – 4th Quarter After Exit.”**

*These will be four-year targets for the grant period. (See Appendix B.)*

Successful applicants will be required to provide annual outcome targets within the first year of the grant. The Department uses these annual targets to better track performance and provide technical assistance support to help grantees meet their four-year outcome goals.

- i. Comprehensive description of a coordinated outreach, recruitment, and enrollment strategy for engaging the target population(s) served. This must include a strategy to recruit the proposed number of participants and provide a thorough description of the assessment process to determine if individuals are an appropriate fit for the education/training activities. This description must include a clear explanation of how the partner organizations identified in Section III.A.3. H-1B One Workforce Partnership will support this effort, and the process to ensure collaboration between the applicant, the applicant’s partners who will aid in outreach, and other relevant partners in these activities; (2 points)
- ii. Thorough description of how the proposed education and training activities for the project will meet the needs of employers, support the achievement of the proposed training outcomes, and will lead to occupations in middle- to high-skilled jobs or on a career pathway to middle- to high-skilled jobs; (2 points)
- iii. Clear and convincing demonstration that participants will achieve the necessary recognized postsecondary credential(s), including degree(s), to qualify for placement into middle- to high-skilled jobs upon completion of the grant program; (2 points)
- iv. Thorough and convincing description of how the proposed education and training activities are appropriate for the target populations to be served, as described in Section III.C.3. Eligible Participants, and how the strategies will address skills, training gaps, and other needs of participants identified

in the Statement of Need; (2 points) and

- v. A thorough explanation of how the outcome projections are feasible and appropriate numerical targets for the project design—specifically, detailing how the targets were derived and how the targets fit into the overall timeline of grant implementation. (2 points)

## **2) One Workforce Program Outputs (10 points)**

To meet the overarching goals of the H-1B One Workforce Grant Program, grantees will develop these products, or program outputs, which will be the direct result of implementing the grant’s proposed program design: (1) a workforce training plan, which will result in a proof of concept; and (2) a sustainability plan. Applicants that receive a grant award will develop these products during the grant period of performance to meet these specific output requirements at the end of the grant. For the purposes of scoring, applicants must provide the following:

- i. **Proof of Concept:** Detailed explanation of how the proposed workforce training plan or model that the applicant will deploy will yield proof or evidence by the end of the grant project that will enable the broader workforce system to replicate the workforce solution(s). This explanation may include the proposed process the applicant will use to measure outputs and collect data, and feedback mechanisms for assessing the efficacy of the workforce solutions; (4 points) and
- ii. **Sustainability Plan:** Detailed description of the sustainability plan that will be developed as a result of the grant project, which includes accomplishments or innovations that support a broader workforce development agenda—in particular, those that align with the strategic priorities of industry partners, the public workforce development system, and economic development agencies. Other areas for sustainability may include a plan to maintain the grant project’s proposed workforce development model; strategic accomplishments or innovations in program design, including training strategies to meet the needs of target populations with barriers to employment; innovative solutions to address policy, economic, and environmental changes; and new approaches for partner and employer engagement. (6 points)

## **c) Project Design – One Workforce Model (24 Points)**

Scoring under this criterion is based on how the proposed industry-sector workforce program’s project design will be implemented. This includes the proposed work-based learning activities and may also include supportive services designed to assist participants to successfully complete grant training.



**1) Sector Strategies and Workforce System Alignment (4 Points)**

- i. Demonstration of involvement in a previous sector partnership strategy, of having at least one partner that has engaged in sector work, or having engaged in previous sectoral work where federal resources were leveraged in your area, such as through WIOA; (2 points) and
- ii. Clear description of the alignment of the proposed project design to the WIOA Unified or Combined State Plan that outlines the four-year strategy for the state's workforce development system, including efforts to support the state's workforce plan for the proposed sector, and/or connectivity to a local/regional or multi-state sector workforce initiative(s). WIOA Unified or Combined State Plans can be found at <https://www.dol.gov/agencies/eta/performance/results/annual-results>. (2 points)

**2) H-1B One Workforce Partnerships: Demonstration of Employer and Industry Engagement (10 points)**

- i. Comprehensive description of your H-1B One Workforce Partnership, including identifying all partners included in the H-1B One Workforce Partnership, their roles and contributions, and how each partner supports the overall partnership. For full points, applicants must clearly demonstrate the active involvement of the required workforce partnership entities by attaching partnership agreements, organizational charters, or other types of signed agreements (as described in Sections III.A.3. H-1B One Workforce Partnership and IV.B.4. Attachments to the Project Narrative); (6 points) and
- ii. Comprehensive description of the activities and contributions of employer partners in support of the sector-based strategy(ies), with at least five employers committed to the project, and how these roles support the goals of the project, including identifying their involvement with the following, as applicable: providing assistance with program design; prioritizing job openings to consider hiring qualified participants who complete grant-funded education and training programs; providing resources, such as mentors, the donation of equipment, or other contributions to support the proposed project; plans to work with the program to upskill front-line incumbent workers and other incumbent workers; and plans to work with the program to hire unemployed participants to backfill job vacancies left by incumbent worker participants who move into higher-skilled jobs. For full points, applicants must provide documentation of employer support. (4 points)

### **3) Career Pathways and Training Design (6 points)**

- i. Clear description of the sector-focused career pathway of the proposed sector-based workforce program, including planned and sequenced coursework, training, or work experience that leads to attainment of recognized postsecondary credentials. Applicants must clearly describe the mix of education and training strategies included in the sector-based career pathway, as identified in Section I.E. Program Design and Allowable Activities, which will be used to serve the targeted population(s) following completion of the assessment process, including those that incorporate an earnings component. This includes identifying training strategies such as OJT, Customized Cohort Training, Incumbent Worker Training, Registered Apprenticeships, Industry-Recognized Apprenticeships, paid work experience, paid internship, and other types of training, including a description of how the curricula and training strategies will be updated over time as employer needs change; (4 points) and
- ii. Thorough explanation of innovative delivery of education and training that reflects the use of current technology-enabled strategies and, where appropriate, leverages existing standards, assessments, and curricula that have proven effectiveness. (2 points)

### **4) Project Work Plan (4 points)**

Scoring under this criterion is based on a clear and complete identification of project goals, milestones, key activities, and key partners of the proposed grant program.

- i. Narrative description that clearly identifies the overall project goals and short-term, mid-term, and long-term milestones for building H-1B One Workforce Partnerships, developing a comprehensive workforce strategy, and training/employment activities. The narrative description must demonstrate that milestones are reasonable based on the project design. The work plan must include all of the following: (2 points)
  - a) Project goals, which are the overarching achievements that will be pursued;
  - b) Milestones, which are key markers of grant progress; these are typically expressed in the form of an action or event marking a significant change or stage in development;
  - c) Key activities, including timeframes for development or modification of a comprehensive workforce strategy and training program(s), deployment of sector training programs within the designated geographic scope, and/or enrollment in training; and
  - d) Key partner(s) identified for key activities.

- ii. Applicants must present the information described in their narrative in a work plan table format that provides an overview of activities, timelines, and key milestones. The work plan must be submitted as a separate attachment and does not count against the page limit of the Project Narrative (see Section IV.B.4. Attachments to the Project Narrative, as well as Appendix D for an example work plan). (2 points)

**d. Organizational, Administrative, and Fiscal Capacity (6 points)**

**1) Capacity of Lead Applicant, Partnership Structure, and Administrative Controls and Systems (4 points)**

- i. Detailed description demonstrating the lead applicant's capacity to effectively manage each component of the program, including a project management plan and a communications plan for efficient and effective management of the project with all partners and staff; and demonstrating its capacity to establish effective procurement processes, systems, and procedures and those of any partners who will be providing any services or conducting any activities under the grant (if applicable); (2 points) and
- ii. Detailed organizational chart that identifies the lead applicant, required partners, and optional partners. The chart must describe the structure of the relationships of all partners involved in the project. The chart must also identify the proposed project's staffing plan to illustrate that partners have the capacity to support the lead applicant to carry out the proposed project. The staffing plan must describe the qualifications and experience of all executive and administrative staff, as well as other personnel, such as board members, advisors, and consultants, to fulfill the needs and requirements of the proposed project. Such qualifications and experience must demonstrate the ability to manage a strategic partnership, including fiscal and administrative management, outreach, and promotion. (2 points)

**2) Financial, Data Collection, and Performance Reporting Systems (2 Points)**

Applicants must agree to meet DOL reporting requirements and provide individual record-level data that would be made available for evaluation and national reporting purposes. Please refer to Section VI.C. Reporting for a description of the reporting requirements for projects funded under this grant program.

- i. Comprehensive description of the existing or planned systems and processes that the lead applicant will use to provide timely and accurate financial and participant-level performance reporting, including the process for tracking participant-level data on participant characteristics, services, activities, and employment outcomes of participants served through the project to report to the Department during the life of the grant. (The Department encourages applicants to use existing systems.) In addition, the description must detail how these systems will be used to regularly assess progress towards the identified performance goals and that rigorous performance reporting will be considered in staffing and budgeting plans. (2 points)

**e. Past Performance – Programmatic Capability (30 points)**

Organizations will receive points based on past performance data. Applicants must use the information below and provide the applicable past performance information.

- 1) Full description of the lead applicant’s capacity to lead the development or expansion of a workforce partnership within a local/regional, national, or statewide area during the grant period. This could include evidence of the lead applicant or a partner managing federally and/or non-federally funded assistance agreements leading sector partnership engagement strategies, sector work, or other sector-based activities similar in size, scope, and relevance to the proposed project within the last five years, as of the closing date of this Announcement;<sup>10</sup> (8 points)
- 2) Demonstration that partners have experience in developing education and training programs for the target populations identified in Section IV.B.3. Project Narrative, and enrolling participants in training programs, including securing employment placements and/or wage increases in middle- to high-skilled jobs; (6 points) and
- 3) Documentation of Past Performance. Applicants must provide past performance data for outcomes achieved in past grant initiatives. (16 points)

There are different instructions for past performance depending on your grant experience. Applicants must use the below information to determine which instructions are applicable to their organization.

**Applicants who have completed an H-1B-funded grant award within the past five years of the closing date of this Announcement are required to use the following:**

Applicants that have completed an H-1B grant award from the Department will receive points based on past performance demonstrated by the Quarterly Performance Report (ETA-9136)

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<sup>10</sup> Assistance agreements include federal grants and cooperative agreements, but not federal contracts.

and Quarterly Financial Report (ETA-9130). The information below must be provided in a Past Performance Chart as an attachment to the Project Narrative.

**Applicants who have completed an ETA agreement but not an H-1B funded grant award are required to use the following:**

Applicants that have completed an ETA agreement within the last five years of the closing date of this Announcement must submit past performance for their ETA agreement. The information below must be provided in a Past Performance Chart as an attachment to the Project Narrative.

**Applicants that have completed only non-ETA assistance agreements (federal or non-federal grants and cooperative agreements but not federal contracts):**

Applicants that have completed a federally and/or non-federally funded assistance agreement similar in size, scope, and relevance to the proposed project within the last five years of the closing date of this Announcement must provide the information below. The information must be provided in a Past Performance Chart as an attachment to the Project Narrative.

**Performance Chart**

The Past Performance Chart must include the following information:

- Grantor name and contact information;
- Project information/grant objectives; and
- Performance goals and spending rate analysis.

Below is a sample format for the Past Performance Chart. For non-ETA grants, the chart must be signed by the grantor or a letter must be provided from the grantor verifying the past performance data. This letter must be on grantor letterhead and contain contact information for the grantor. Failure to do so will result in zero points being awarded for this rating factor.

**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 significant numeric performance goals and the numeric performance outcomes of those goals to demonstrate if and how the applicant successfully completed and managed the agreement. Percentages must not be used in the performance goals or performance outcomes boxes on the Past Performance Chart. The fraction and its percentage should be shown in the results boxes.

Applicants should use four performance indicators most similar to the following:

- i. Total number of unemployed and underemployed participants who complete education/training activities and obtain employment
- ii. Percentage of participants employed in the second quarter after exit from the program
- iii. Percentage of participants employed in the fourth quarter after exit from the program

- iv. Median earnings of participants employed in the second quarter after exit from the program

ETA views the above indicators as the most critical to demonstrating that the applicant's past success in a similar program has prepared the organization to succeed in operating an employment and training project. Applicants may substitute a different indicator if the substituted indicator is applicable to the outcomes required in this FOA.

- i. In the chart, for the completed grant, applicants must identify the total number of participants eligible (as specified in the grant or required by the grantor) for the performance indicator (goal) and the total number of participants that achieved the performance indicator (outcome) for each metric, displayed as a fraction (e.g., 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).

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 a definition for how the outcome is calculated (e.g., the number of participants in the numerator and denominator for the outcome). DOL reserves the right to disqualify indicators that are not clearly displayed or determined not to be sufficiently similar to the indicators above and award zero points for non-qualifying indicators.

- Applicants with performance outcomes that met or exceeded four of the performance goals will receive 12 points.
- Applicants with performance outcomes that met or exceeded three of the performance goals will receive 9 points.
- Applicants with performance outcomes that met or exceeded two performance goals will receive 6 points.
- Applicants with performance outcomes that met or exceeded one performance goal will receive 3 points.
- Applicants that did not meet any performance goals will receive 0 points.

**ii. Spending Rate Analysis**

- i. 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.
  - Applicants that expended at least 98 percent of the grant funds for their most recently completed grant will receive 4 points.

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

Below is a sample format for the chart:

<b>Name of Previous Grantor Organization:</b>			
<b>Grantor Contact Name, Title, E-mail Address, and Telephone Number:</b>			
<b>Grantor Signature (if non-ETA grant):</b> _____			
<b>Project Title and Grant Number:</b>			
<b>Grant Description:</b>			
<b>Project Period of Performance:</b> <i>(Example, for a 3-year grant: 7/1/2014-6/30/2017)</i>			
<b>Number of Participants Actually Enrolled:</b> <i>(Example, eligible participants that received grant funded services = 300)</i>			
<b>Population Served:</b>			
<b>Performance Goals</b>			
<b>Metric</b>	<b>Performance Goal (from completed grant agreement)</b>	<b>Performance Outcome</b>	<b>Result (shown as Performance Outcome /Performance Goal and %)</b>
<i>Example: Total Number of unemployed and underemployed participants who completed education/training activities <u>and</u> obtained employment</i>	200	295	$295/200=148\%$
<i>Example: Median earnings of participants employed in the second quarter after exit from the program</i>	\$50,000	\$55,000	$\$55,000/\$50,000=110\%$
<i>Metric 3</i>			

<i>Metric 4</i>			
<b>Spending Rate Analysis</b>			
<b>Grant Funds Received:</b>	<b>Grant Funds Spent by end of Original 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>80%</i>
<b><i>Cost Per Positive Outcome (Provide calculation):</i></b> Example: <i>Total funding / the number of individuals who successfully complete training</i> \$1,000,000 total grant funding / 500 individuals who successfully complete training = \$2,000 / individual who successfully complete training			

**f) Budget and Budget Narrative (6 points)**

The Budget and Budget Narrative will be used to evaluate this section. Please see Section IV.B.2 for information on the requirements. The Budget and Budget Narrative do not count against the page limit requirements for the Project Narrative.

**1. Budget Narrative (2 points)**

- i. Detailed explanation of how the budget is reasonable and feasible based on the activities outlined in the Project Narrative, how the proposed expenditures will support a comprehensive workforce strategy and training/employment activities in the selected sector for the target populations identified in Section IV.B.3. Project Narrative, and whether key personnel have adequate time devoted to the project to achieve project results. (2 points)

**2. Amount and Scope of Leveraged Resources (4 points)**

- i. Detailed description of the leveraged resources to be provided that indicates the project will have leveraged resources equal to at least 25 percent of the total requested funds to support grant activities. Applicants will be scored based on the extent to which they fully demonstrate that 25 percent or more in leveraged resources will be provided; (2 points)
- ii. Full description of how the leveraged resources described above will support grant activities and how these funds and other resources will be used to contribute to the projected outcomes for the project, including the provision of supportive services for program participants. Detailed description of which costs will be paid by the grant and which costs will be covered by leveraged resources. This includes cash or in-kind support (e.g., Pell/Title IV financial aid, federal work



study, GI Bill benefits, Supplemental Nutrition Assistance Program education and training funds, WIOA), state and local funding (e.g., on-the-job training funds, state workforce dollars, funding for participating community colleges), and private sector investment funds (e.g., training investment funds, social impact bonds, industry association or labor organization funds, etc.). This also includes funds and other resources leveraged from businesses, labor organizations, education and training providers, and/or federal, state, and local government programs (e.g., staff, time, services, products, and other non-cash resources). Applicants will be scored based on the extent to which they fully demonstrate the leveraged resources provided, the type(s) of leveraged resources provided, the strength of commitment to provide these resources, the breadth and depth of the resources provided, and how well these resources support the proposed grant activities. (2 points)

**g. Priority Consideration (2 points):**

**Opportunity Zones:** Identify that at least one census tract within an applicant's physical service area is designated as a qualified Opportunity Zone. (2 points)

**4. Attachments to the Project Narrative**

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

You must not include additional materials such as résumés or general letters of support. You must submit your application in one package because documents received separately will be tracked separately and will not be attached to the application for review.

Save all files with descriptive file names of 50 characters or fewer and use only standard characters in file names: A-Z, a-z, 0-9, and underscore (\_). File names may not include special characters (e.g. &, -, \*, %, /, #), periods (.), blank spaces, or accent marks, and must be unique (e.g., no other attachment may have the same file name). You may use an underscore (example: My\_Attached\_File.pdf) to separate a file name.

**a) Required Attachments**

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

**(1) Abstract**

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

not result in your application being disqualified; the lack of the required information in the abstract, however, may impact scoring. See III.C.1 for a list of items that will result in the disqualification of your application. The abstract must include the following:

- Lead applicant's organization name
- Lead applicant's entity type
- Lead applicant's location (city/state)
- Organization names and entity type of required partners
- Organization names and entity type of optional partners
- Geographic scope (project service areas)
  - Identify scope: local/regional, statewide, or national
  - Identify specific location where grant services will be provided
  - Provide the census tract number(s) in an applicant's physical service area designated as a qualified Opportunity Zone, if applicable.
- Total funding requested
- Total leveraged funds
- Project title/name
- Proposed number of participants served. Must align with the minimum goals as identified in performance measure outcome table (see Appendix B)
- Targeted population(s) to be served
- Targeted H-1B industry sector(s) and/or
- Targeted H-1B occupation(s)
- Credential(s) to be awarded
- Summary of program activities
- Public contact information

The Abstract is limited to two, double-spaced, single-sided 8.5x11 inch pages with 12-point text font and 1-inch margins. See Appendix C for a suggested template.

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

## **(2) Organizational Chart**

Detailed organizational chart that identifies the lead applicant, required partners, and optional partners. The chart must describe the structure of the relationships of all partners involved in the project. The chart must also identify the proposed project's staffing plan to illustrate that partners have the capacity to support the lead applicant to carry out the proposed project. The staffing plan must describe the qualifications and experience of all executive and administrative staff, as well as other personnel, such as board members, advisors, and consultants, to fulfill the needs and requirements of the proposed project. Such qualifications and experience must demonstrate the ability to manage a strategic partnership, including fiscal and administrative management, outreach, and promotion.

Omission of the Organization Chart will not result in your application being disqualified; the lack of the required information, however, will impact scoring. See Section III.C.1 for a list of items that will result in the disqualification of your application.

### **(3) Performance Outcomes Table**

You will be scored on the completion and detail of the projected performance outcomes information in a performance outcomes table. For an example, see Appendix B. Performance Outcome Measures Table

### **(4) Past Performance Documentation**

This attachment must include both the Chart of Past Performance and the Signed Grantor Verification Letter (if the chart is not signed by the Grantor). See Section IV.B.3.e) for which applicants are to submit this documentation and additional instructions.

When submitting in grants.gov, these documents must be uploaded as an attachment to the application package and labeled “Past Performance.”

### **(5) Letters of Commitment or MOUs**

Submit signed and dated Letters of Commitment or Memoranda of Understanding between the applicant and partner organizations and/or sub-grantees that propose to provide services to support the program model and lead to the identified outcomes. Applicants must also include partnership agreements, letters, or signed documentation with at least five employer partners, as described in Section IV.B.3. Project Narrative.

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

### **(6) Project Work Plan**

You will be scored on the completion and detail of the Project Work Plan as described in Section IV.B.3. Project Narrative. See template in Appendix D.

### **(7) Indirect Cost Rate Agreement**

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

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

## **(8) Financial System Assessment Information**

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

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

We must receive your application by **November 12, 2020**. 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 minimize the risk of late receipt. We will not review applications received after 4:00:00 p.m. Eastern Time on the closing date. We will not accept applications sent by e-mail, telegram, or facsimile (FAX).

### **1. Hardcopy Submission**

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

If an application is submitted both by hard copy and through <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 as follows:

U.S. Department of Labor  
Employment and Training Administration  
Office of Grants Management  
Attention: Brinda Ruggles, Grant Officer  
Reference FOA-ETA-20-13  
200 Constitution Avenue, NW, Room N4716  
Washington, D.C. 20210

Please note that mail decontamination procedures may delay mail delivery in the Washington, DC area. We will receive hand-delivered applications at the above address at the **3rd Street Visitor Entrance**. All overnight delivery submissions will be considered to be hand-delivered and must be received at the designated place by the specified closing date and time.

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

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

The process can be complicated and time-consuming. You are strongly advised to initiate the process as soon as possible and to plan for time to resolve technical problems. Note that validation does not mean that your application has been accepted as complete or has been accepted for review by the agency. Rather, grants.gov verifies only the submission of certain parts of an application.

### **a) How to Register to Apply through Grants.gov**

Read through the registration process carefully before registering. These steps may take as long as four weeks to complete, and this time should be factored into plans for timely electronic submission in order to avoid unexpected delays that could result in the rejection of an application.

Applicants must follow the online instructions for registration at <https://www.grants.gov/web/grants/applicants/organization-registration.html>. We recommend that you prepare the information requested before beginning the registration process. Reviewing and assembling required information before beginning the registration process will alleviate last-minute searches for required information and save time.

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

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

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

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

When a registered applicant submits an application with Grants.gov, an electronic time stamp is generated within the system when the application is successfully received by Grants.gov. Grants.gov will send the applicant AOR an email acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) with the successful transmission of the application, serving as proof of timely submission. The applicant will receive two email messages to provide the status of the application's progress through the system.

- The first email will contain a tracking number and will confirm receipt of the application by Grants.gov.
- The second email will indicate the application has either been successfully validated or has been rejected due to errors.

Grants.gov will **reject applications if the applicant's registration in SAM is expired. Only applications that have been successfully submitted by the deadline and later successfully validated will be considered.** It is your responsibility to ensure a timely submission. While it is not required that an application be successfully validated before the deadline for submission, it is prudent to reserve time before the deadline in case it is necessary to resubmit an application that has not been successfully validated. Therefore, enough time should be allotted for submission (24-48 hours) and, if applicable, additional time to address errors and receive validation upon resubmission (an additional two business days for each ensuing submission). It is important to note that if enough time is not allotted and a rejection notice is received after the due date and time, DOL will not consider the application.

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

We strongly advise applicants to use the various tools and documents, including FAQs, which are available on the "Applicant Resources" page at <https://www.grants.gov/web/grants/applicants/applicant-faqs.html>.

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

To receive updated information about critical issues, new tips for users, and other time-sensitive updates as information is available, you may subscribe to “Grants.gov Updates” at <https://www.grants.gov/web/grants/manage-subscriptions.html>.

If you encounter a problem with Grants.gov and do not find an answer in any of the other resources, contact one of the following:

- 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, 7 days a week but closed on federal holidays. If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number.

### **Late Applications**

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

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

### **D. INTERGOVERNMENTAL REVIEW**

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

### **E. FUNDING RESTRICTIONS**

All proposed project costs must be necessary and reasonable and in accordance with federal guidelines. Determinations of allowable costs will be made in accordance with the Cost

Principles, now found in the Office of Management and Budget's Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), codified at 2 CFR Part 200 and at 2 CFR Part 2900 (Uniform Guidance-DOL specific). Disallowed costs are those charges to a grant that the grantor agency or its representative determines not to be allowed in accordance with the Cost Principles or other conditions contained in the grant. Applicants, whether successful or not, will not be entitled to reimbursement of pre-award costs.

### **1. Indirect Costs**

As specified in the Uniform Guidance Cost Principles, indirect costs are those that have been incurred for common or joint objectives and cannot be readily identified with a particular final cost objective. An indirect cost rate is required when an organization operates under more than one grant or other activity, whether federally-assisted or not. You have two options to claim reimbursement of indirect costs.

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

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

### **2. 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 standard ETA disclaimer needs to be on all products developed in whole or in part with grant funds.

**“This workforce product was funded by a grant awarded by the U.S. Department of Labor’s Employment and Training Administration. The product was created by the grantee and does not necessarily reflect the official position of the U.S. Department of Labor. The U.S. Department of Labor makes no guarantees, warranties, or assurances of any kind, express or implied, with respect to such information, including any information on linked sites and including, but not limited to, accuracy of the information or its completeness, timeliness, usefulness, adequacy, continued availability, or ownership. This product is copyrighted by the institution that created it.”**

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

#### **Use of Grant Funds for Paid Work-based Learning Components**

For the purposes of grants awarded under this FOA, organizations may use grant funds only to pay for the wages of participants in three specific activities: (1) OJT; (2) RAPs and IRAPs; and (3) paid work experience and paid internships. Incumbent workers' salaries are not allowable costs.

- a) **On-the-Job Training:** Under this Announcement, OJT is available only for unemployed and underemployed individuals. Incumbent workers are not eligible for OJT under this FOA and grantees are specifically prohibited from spending grant funds on payment of wages of incumbent workers. OJT is provided under a contract with an employer in the public, private-nonprofit, or private sector. Under the OJT contract, the employer pays wages to the participant, and occupational training is provided for the participant in exchange for the reimbursement to the employer of a percentage of the participant's wage rate to compensate for the employer's extraordinary costs of training the individual (subject to the policy exceptions described below).

The OJT contract must not be with an employer who has previously exhibited a pattern of failing to provide OJT participants with continued long-term employment with wages, benefits, and working conditions that are equal to those provided to regular employees who have worked a similar length of time and are doing the same type of work. The OJT contract must be limited to the period required for a participant to become proficient in the occupation for which the training is being provided. Funds provided to employers for OJT must not be used to directly or indirectly assist, promote, or deter union organizing. The following are additional restrictions for OJT:

- i. Eligible participants cannot be currently employed by the employer;
- ii. Participant placements may only occur in private for-profit and nonprofit sectors (i.e., the grant does not allow for public sector placements);
- iii. No placement may be made in staffing agencies providing workers on a temporary basis to employers for which the agency receives compensation from an employer; and
- iv. The period of reimbursement should be an adequate length to ensure the participant has acquired the technical skills needed for employment, but no longer than 12 months. Individuals may not be co-enrolled in other ETA programs for the purpose of extending OJT beyond 12 months. Twelve months exceeds the average length of time for current OJT activities; therefore, grantees should negotiate contracts with employers that lead to transitioning participants to permanent employment as soon as possible. Grantees may establish contracts that will be longer than 12 months for multiple participants; however, the reimbursement for each individual that participates in OJT cannot be longer than 12 months.

Typically, the negotiated reimbursement percentage for OJT may be as high as 50 percent of the participant's hourly wage. However, for grants awarded under this Announcement, the negotiated reimbursement percentage may be as high as 90 percent of the participant's hourly wage based on employer size, as follows: up to 90 percent of the participant's wage rate for employers with 50 or fewer employees; up to 75 percent of the participant's wage rate for employers with 51-250 employees; and up to 50 percent for employers with more than 250 employees. We also encourage grantees to negotiate lower rates or variable rates (such as starting at the maximum allowable reimbursement rate and reducing the subsidy over time) where possible to ensure that the maximum number of participants will be served by the project.

Finally, grantees must develop sound OJT contracts. The contract process sets the ground rules for OJT with an employer and assists in making the determination if an employer is eligible to provide an OJT opportunity. The contract must include the federally required elements of an OJT agreement; however, states, counties or municipalities may have additional OJT contract requirements. Contracts also outline the terms and conditions that the employer and OJT provider agree to provide for an OJT experience. Contracts with an employer can be set up for a specific period, but need not necessarily specify the individual trainees to whom they apply. This allows the employer to provide training to more than one trainee. If an employer only has one position or plans to limit the training experience to one employee, then a contract must also include the individual trainee's information. For these grants, contracts must provide that the employer is responsible for documenting skills gained by participants during the training period. It should also include a description of how the reimbursement level was determined.

- b) **Apprenticeships:** Organizations may use grant funds awarded under this FOA only to reimburse a portion of the apprentice's work-based learning costs for small employers (50 or fewer employees). For those businesses that have more than 50 employees, grant funds may not be used to reimburse work-based learning costs.

For grants awarded under this FOA, the negotiated reimbursement percentage of an apprentice's work-based learning costs may be as high as 50 percent of the participant's hourly wage for employers with 50 or fewer employees. We also encourage grantees to negotiate lower rates or variable rates (such as starting at the maximum allowable reimbursement rate and reducing the subsidy over time), where possible, to ensure that the maximum number of apprentices will be served by the project. The following are additional restrictions for use of grant funds for work-based learning:

- i. Participant placements may occur only in private for-profit and nonprofit sectors (e.g., the grant does not allow for public sector placements); and
- ii. No placement may be made in staffing agencies providing workers on a temporary basis to employers for which the agency receives compensation from an employer.

### **c) Work Experience and Internships**

Work experience and internships are defined as a planned, structured learning experience that takes place in a workplace for a limited period and, for the purposes of this grants under this FOA, must be paid. Labor standards apply where an employee/employer relationship, as defined by the Fair Labor Standards Act (FLSA), exists. For more information on the FLSA, applicants may visit <http://www.dol.gov/whd/>.

For a work experience or internship that supports training, you will need to document how the work experience or internship is connected to and supports the education and training activities included in the grant. Grantees have flexibility in the design and implementation of work experience and internships but must meet the following parameters:

- i. Provide an individual with monitored or supervised work or service experience in their expected career field where the individual has prescribed learning goals and reflects actively on what they are learning throughout the experience. These learning goals may include: (a) academic learning, career development, and skill development; and (b) the attainment of credentials in the individual's expected career field;
- ii. Are part of structured programs where the grantee established the criteria for determining who will participate in these programs; and
- iii. Are for a set period.

### **d) Incumbent Worker Salaries**

For applicants that are serving incumbent workers, incumbent worker salaries paid by the employer are NOT allowable costs to be reimbursed under this grant.

## **4. Use of Funds for Supportive Services**

Grantees may use up to 10 percent of grant funds to provide supportive services to individuals who are participating in education and training activities provided through the grant. Under this FOA, supportive services for training participants include, but are not limited to, services such as transportation, child care, dependent care, housing, and needs-related payments that are necessary to enable an individual to participate in education and training activities funded through this grant. Grantees may provide supportive services in various ways, including providing the supportive service itself (e.g., childcare); providing participants with a voucher for the service (e.g., public transportation cards or tokens); or providing a stipend directly to the participant. Where stipends for supportive services are provided, the stipend amount must be for costs of a specific supportive service (e.g., childcare), rather than simply based on an unidentified need. For the purposes of this FOA, grantees may use grant funds, up to the percentage specified above, to provide supportive services only to individuals who are participating in education and training activities provided through the grant, and only when (1) they are unable to obtain such services through other programs and (2) such services are necessary to enable individuals to participate in education and training activities under the grant.

Grantees may establish additional limits on the provision of supportive services or provide their sub-recipients with the authority to establish such limits, including a maximum amount of funding and maximum length of time for supportive services to be available to participants. Grantees must ensure that their use of grant funds on supportive services is consistent with their organization's established written policy on the provision of supportive services. Additionally, we encourage grantees to identify other sources of funding for supportive services, such as WIOA, human services programs, and other community partners.

## **5. Grant Profit**

For all grant recipients and sub-recipients, the earning of profit is not an allowable cost item. Earnings above actual costs incurred are to be treated as program income. Any program income earned must be used for program purposes.

## **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**

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### **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 (See Section IV.B.3.a. Statement of Need)	8
2. Expected Outcomes, and Outputs (See Section IV.B.3.b. Expected Outcomes and Outputs)	26
3. Project Design (See Section IV.B.3.c. Project Design)	24
4. Organizational, Administrative, and Fiscal Capacity (See Section IV.B.3.e. Organizational, Administrative, and Fiscal Capacity)	6
5. Past Performance – Programmatic Capability (See Section IV.B.3.f. Past Performance – Programmatic Capability)	30

6. Budget and Budget Justification (See Section IV.B.3.g. 2. Project Budget and Budget Narrative)	6
7. Bonus Points: (Up to 2 points) <b>Opportunity Zones</b> (See Section IV.B.3. Priority Considerations)	2
<b>TOTAL</b>	<b>102</b>

## **Standards for Evaluating the Applicant’s Response to each Requirement**

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

<b>Standard Rating</b>	<b>Definition</b>	<b>Standard for Calculating Points</b>
Thoroughly Meets	The application thoroughly responds to the rating factor and fully and convincingly satisfies all of the stated specifications.	Full Points
Partially Meets	The application responds incompletely to the rating factor or the application convincingly satisfies some, but not all, of the stated specifications.	Half Points
Fails to Meet	The application does not respond to the rating factor or the application does respond to the rating factor but does not convincingly satisfy any of the stated specifications.	Zero Points

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

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

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

A technical merit review panel will carefully evaluate applications against the selection criteria to determine the merit of applications. These criteria are based on the policy goals, priorities,

and emphases set forth in this FOA. Up to 102 points may be awarded to an applicant, depending on the quality of the responses provided. The final scores (which may include the mathematical normalization of review panels) will serve as the primary basis for selection of applications for funding. The panel results are advisory in nature and not binding on the Grant Officer. The Grant Officer reserves the right to make selections based solely on the final scores or to take into consideration other relevant factors when applicable. Such factors may include the geographic distribution of funds, and other relevant factors. The Grant Officer may consider any information that comes to their attention.

The government may elect to award the grant(s) with or without discussion with the applicant. Should a grant be awarded without discussion, the award will be based on the applicant's signature on the SF-424, including electronic signature via E-Authentication on <https://www.grants.gov>, which constitutes a binding offer by the applicant.

## **2. Risk Review Process**

Prior to making an award, ETA will review information available through various sources, including its own records and any OMB-designated repository of government-wide eligibility qualification or financial integrity information, such as Federal Awardee Performance and Integrity Information System (FAPIIS), Dun and Bradstreet, and "Do Not Pay." Additionally, ETA will comply with the requirements of 2 CFR Part 180 codified at 2 CFR Part 2998 (Non-procurement Debarment and Suspension). This risk evaluation may incorporate results of the evaluation of the applicant's eligibility (application screening) or the quality of its application (merit review). If ETA determines that an award will be made, special conditions that correspond to the degree of risk assessed may be applied to the award. Criteria to be evaluated include the following:

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

NOTE: As part of ETA's Risk Review process, the Grant Officer will determine the following:

- If the applicant had any restriction on spending for any ETA grant due to adverse monitoring findings; or
- If the applicant received a High Risk determination in accordance with TEGL 23-15.

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

All applicants are requested to submit the following information as an attachment to their application (suggested template below) for ETA to assess the applicant's Financial System. This information will be taken into account as one component of ETA's Risk Review Process.

Applicants may use the suggested template or answer the questions in a separate attachment. It is unlikely that an organization will be able to manage a federal grant without the following system/processes in place. Applicants are expected to have these in place before applying for a grant with ETA.

<p align="center"><b>U.S. DEPARTMENT OF LABOR -EMPLOYMENT AND TRAINING ADMINISTRATION (ETA) FUNDING OPPORTUNITY ANNOUNCEMENT: FINANCIAL SYSTEM ASSESSMENT</b></p>		
<p align="center"><b>SECTION A: PURPOSE</b></p>		
<p>The financial responsibility of grantees must be such that the grantee can properly discharge the public trust that 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>		
<p align="center"><b>SECTION B: GENERAL</b></p>		
<p>1. Complete the following items:</p>		
<p>a. When was the organization founded/incorporated (<i>month, day, year</i>)</p>	<p>b. Principal officers <span style="float: right;">Titles</span></p>	
<p>c. Employer Identification Number:</p>		
<p>d. Number of Employees Full Time:                  Part Time:</p>		
<p>2. Is the organization or institution affiliated with any other organization: Yes                  No If yes, please provide details as to the nature of the company (for profit, nonprofit, LLC, etc) and if it provides services or products to the organization in relation to this grant.</p>		<p>3. Total Sales/Revenues in most recent accounting period. (<i>12 months</i>) \$</p>
<p align="center"><b>SECTION C: ACCOUNTING SYSTEM</b></p>		
<p>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</p>		
<p>a. If yes, provide name, and address of Agency performing review:</p>		<p>b. Attach a copy of the latest review and any subsequent correspondence, clearance documents, etc.</p>



		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 (indicate section and item numbers if a continuation).

## **VI. AWARD ADMINISTRATION INFORMATION**

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### **A. AWARD NOTICES**

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

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

### **B. 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.

- i. Non-Profit Organizations, Educational Institutions, For-profit entities and State, Local, and Indian Tribal Governments—2 CFR Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards) and 2 CFR Part 2900 (DOL's Supplement to 2 CFR Part 200).
- ii. Appeal – This program is authorized under section 414(c) of the American Competitiveness and Workforce Improvement Act of 1998 (ACWIA), as amended (codified at 29 USC 3224a). Therefore, appeal under sections 186 of the Workforce Investment Act or the Workforce Innovation and Opportunity Act is not available.
- iii. 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)), 2 CFR Part 180 (OMB Guidance to Agencies on Government-wide Debarment and Suspension (Non-procurement)), and, where applicable, 2 CFR Part 200 (Audit Requirements).

- iv. 29 CFR Part 2, subpart D—Equal Treatment in Department of Labor Programs for Religious Organizations; Protection of Religious Liberty of Department of Labor Social Service Providers and Beneficiaries.
- v. 29 CFR Part 31—Nondiscrimination in Federally Assisted Programs of the Department of Labor—Effectuation of Title VI of the Civil Rights Act of 1964.
- vi. 29 CFR Part 32—Nondiscrimination on the Basis of Handicap in Programs or Activities Receiving Federal Financial Assistance.
- vii. 29 CFR Part 35—Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance from the Department of Labor.
- viii. 29 CFR Part 36—Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance.
- ix. 29 CFR Part 38 – Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Innovation and Opportunity Act.
- x. 29 CFR Parts 29 and 30—Labor Standards for the Registration of Apprenticeship Programs, and Equal Employment Opportunity in Apprenticeship and Training, as applicable.
- xi. The Department of Labor will follow the procedures outlined in the Department’s Freedom of Information Act (FOIA) regulations (29 CFR Part 70). If DOL receives a FOIA request for your application, the procedures in DOL’s FOIA regulations for responding to requests for commercial/business information submitted to the government will be followed, as well as all FOIA exemptions and procedures. See generally 5 U.S.C. § 552; 29 CFR Part 70.
- xii. Standard Grant Terms and Conditions of Award—see the following link:  
<https://www.doleta.gov/grants/resources.cfm>.

## **2. Other Legal Requirements**

### **a) Religious Activities**

The Department notes that the Religious Freedom Restoration Act (RFRA), 42 U.S.C. § 2000bb, applies to all federal law and its implementation. If an applicant organization is a faith-based organization that makes hiring decisions on the basis of religious belief, it may be entitled to receive federal financial assistance under this grant solicitation and maintain that hiring practice. If a faith-based organization is awarded a grant, the organization will be provided with more information.

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

In accordance with Section 18 of the Lobbying Disclosure Act of 1995 (Public Law 104-65) (2 U.S.C. § 1611), non-profit entities incorporated under Internal Revenue Service Code section 501(c)(4) that engage in lobbying activities are not eligible to receive federal funds and grants. No activity, including awareness-raising and advocacy activities, may include fundraising for, or lobbying of, U.S. federal, state, or local governments (see 2 CFR 200.450 for more information).

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

You must ensure that you have the necessary processes and systems in place to comply with the reporting requirements of the Federal Funding Accountability and Transparency Act of 2006 (Pub. Law 109-282, as amended by the Government Funding Transparency Act of 2008, Pub. Law 110-252, Title VI, Chap. 2, Sec. 6202), as follows.

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

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

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

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

Applicants submitting applications in response to this FOA must recognize that confidentiality of PII and other sensitive data is of paramount importance to the Department of Labor and must be observed except where disclosure is allowed by the prior written approval of the Grant Officer or by court order. By submitting an application, you are assuring that all data exchanges conducted through or during the course of performance of this grant will be conducted in a manner consistent with applicable federal law and TEGL 39-11 (issued June 28, 2012). All such activity conducted by ETA and/or recipient(s) will be performed in a manner consistent with applicable state and federal laws.

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

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

- iii. You must take the steps necessary to ensure the privacy of all PII obtained from participants and/or other individuals and to protect such information from unauthorized disclosure. You must maintain such PII in accordance with the ETA standards for information security described in TEGL NO. 39-11 and any updates to such standards we provide to you. Grantees who wish to obtain more information on data security should contact their Federal Project Officer.
- iv. You must ensure that any PII used during the performance of your grant has been obtained in conformity with applicable federal and state laws governing the confidentiality of information.
- v. You further acknowledge that all PII data obtained through your ETA grant must be stored in an area that is physically safe from access by unauthorized persons at all times and the data will be processed using recipient-issued equipment, managed information technology (IT) services, and designated locations approved by ETA. Accessing, processing, and storing of ETA grant PII data on personally owned equipment, at off-site locations, (e.g., employee's home), and non-recipient managed IT services, (e.g., Yahoo mail), is strictly prohibited unless approved by ETA.
- vi. Your employees and other personnel who will have access to sensitive/confidential/proprietary/private data must be advised of the confidential nature of the information, the safeguards required to protect the information, and that federal and state laws provide civil and criminal sanctions for noncompliance with such safeguards.
- vii. You must have policies and procedures in place under which your employees and other personnel, before being granted access to PII, acknowledge their understanding of the confidential nature of the data and the safeguards with which they must comply in their handling of such data, as well as the fact that they may be liable to civil and criminal sanctions for improper disclosure.
- viii. You must not extract information from data supplied by ETA for any purpose not stated in the grant agreement.
- ix. Access to any PII created by the ETA grant must be restricted to only those employees of the grant recipient who need it in their official capacity to perform duties in connection with the scope of work in the grant agreement.
- x. All PII data must be processed in a manner that will protect the confidentiality of the records/documents and is designed to prevent unauthorized persons from retrieving such records by computer, remote terminal, or any other means. Data may be downloaded to, or maintained on, mobile or portable devices only if the data are encrypted using NIST validated software products based on FIPS 140-2 encryption. In addition, wage data may be accessed only from secure locations.
- xi. PII data obtained by the recipient through a request from ETA must not be disclosed to anyone but the individual requestor, except as permitted by the Grant Officer or by court order.
- xii. You must permit ETA to make onsite inspections during regular business hours for the purpose of conducting audits and/or conducting other investigations to assure that you are complying with the confidentiality requirements described above. In accordance with

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

- xiii. You must retain data received from ETA only for the period of time required to use it for assessment and other purposes, or to satisfy applicable federal records retention requirements, if any. Thereafter, you agree that all data will be destroyed, including the degaussing of magnetic tape files and deletion of electronic data.

#### **e) Record Retention**

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

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

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

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

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

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

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

You must follow the provisions at 2 CFR 200.330-.332 regarding subrecipient monitoring and management. Also see 2 CFR 200.308(c)(6) regarding prior approval requirements for subawards. When awarding subawards, you are required to comply with provisions on government-wide suspension and debarment found at 2 CFR Part 180 and codified at 2 CFR Part 2998.

**g) Closeout of Grant Award**

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

**3. Other Administrative Standards and Provisions**

Except as specifically provided in this FOA, our acceptance of an application and an award of federal funds to sponsor any programs(s) does not provide a waiver of any grant requirements and/or procedures. For example, the OMB Uniform Guidance requires that an entity's procurement procedures ensure that all procurement transactions are conducted, as much as practical, to provide full and open competition. If an application identifies a specific entity to provide goods or services, the award does not provide the justification or basis to sole-source the procurement (i.e., avoid competition).

**4. Special Program Requirements**

**a) ETA Evaluation**

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

**b) Performance Goals**

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

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 may also have a significant impact on decisions about future grants with ETA. Specifically, grantees are required to propose goals for the six outcome categories and two outputs identified in Section IV.B.3.b. Expected Outcomes and Outputs, which are specific to this FOA, and report data to the Department in accordance with these outcome goals.

## **C. REPORTING**

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

### **1. Quarterly Financial Reports**

A Quarterly Financial Status Report (ETA 9130) is required until such time as all funds have been expended or the grant period has expired. Quarterly reports are due 45 days after the end of each calendar-year quarter. On the final Financial Status Report, you must include any subaward amounts so we can calculate final indirect costs, if applicable. You must use DOL's Online Electronic Reporting System and information and instructions will be provided to grantees. For other guidance on ETA's financial reporting, reference TEGL 02-16 and our webpage at [https://www.doleta.gov/grants/financial\\_reporting.cfm](https://www.doleta.gov/grants/financial_reporting.cfm).

### **2. WIOA Primary Indicators of Performance**

In compliance with 29 USC § 3224(a)(7), the Department requires H-1B grants with a start date of July 1, 2016, and later to align with and report on the six WIOA primary indicators of performance, as set forth in WIOA section 116(b)(2).<sup>11</sup>

The following WIOA primary indicators of performance are applicable to H-1B grants:

- a. Employment Rate – 2nd Quarter After Exit;**
- b. Employment Rate – 4th Quarter After Exit;**
- c. Median Earnings – 2nd Quarter After Exit;**
- d. Effectiveness in Serving Employers (Retention with the Same Employer 2nd and 4th Quarters After Exit);**
- e. Credential Attainment; and**
- f. Measurable Skill Gains.**

Applicants will provide outcome targets for two key WIOA outcomes: “Employment Rate – 2nd Quarter After Exit” and “Employment Rate – 4th Quarter After Exit.” Applicants will not be required to provide outcome targets for the remaining primary indicators. The Department uses information collected on these measures to assess performance across numerous programs the Department administers.

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<sup>11</sup> TEGL No.14-18, *Aligning Performance Accountability Reporting, Definitions, and Policies Across Workforce Employment and Training Programs Administered by the U.S. Department of Labor (DOL)*, March 25, 2019.



The Department acknowledges that successful H-1B grant applicants may not have access to unemployment insurance wage records in order to track and report exit-based outcomes on employment rates, median earnings, and the effectiveness in serving employer measures. Therefore, the Department matches wage records on behalf of grantees in order to capture these specific exit-based outcomes for participants that have successfully exited the H-1B program for the following indicators only:

- I Employment Rate – 2nd Quarter After Exit;
- II Employment Rate – 4th Quarter After Exit;
- III Median Earnings – 2nd Quarter After Exit; and
- IV Effectiveness in Serving Employers – Retention with Same Employer 2nd and 4th Quarters After Exit.

The WIOA Credential Attainment and Measurable Skill Gains measures are calculated using participant-level performance data collected during the grant period of performance by successful grant applicants.

### **3. Quarterly Progress Reports**

H-1B grants are required to submit a Quarterly Progress Report containing updates on the implementation and progress specified in the grant's Statement of Work and the status of grant program outcomes for all participants that receive grant-funded services. As described above, these grants will align with WIOA performance reporting requirements. DOL will provide grantees with access to the online reporting system, Workforce Integrated Performance System (WIPS), along with formal guidance and technical assistance for data collection and reporting.

The grantee must submit a quarterly performance report within 45 days after the end of each calendar-year quarter. This report includes a quarterly performance report (QPR), which is a quantitative report of all participants served through the grant program. The QPR is a quarterly aggregate of the individual participant records that the grantee has collected and uploaded as a data file into the WIPS. In order to submit these quarterly reports, the grantee will be expected to track and report on certain participant-level data to ETA, including Social Security Numbers (SSNs), on all individuals who are provided grant-funded services. The SSN information allows ETA to efficiently match employment data from state unemployment insurance and other wage records. Thus, the collection of participant SSNs lessens the burden on grantees in tracking exit-based employment measures (WIOA Primary Indicators of Performance), while permitting consistent and reliable outcome information to be produced regarding the program. Applicants may view the current OMB-approved reporting requirements that will apply to these grants, OMB Control No. 1205-0521.

In addition to the QPR, grantees must submit the Joint Quarterly Narrative Performance Report Template (ETA 9179) progress report within 45 days after the end of each calendar year quarter during which the grant is within the period of performance for the award. The report includes quarterly information regarding accomplishments, including project success stories, upcoming

grant activities, and promising approaches and processes, as well as progress toward performance outcomes, including updates on product, curricula, and training development. Applicants may view the current OMB-approved WIOA Joint Quarterly Narrative Progress Report (QNR) (OMB Control No. 1205-0448) that will apply to these grants (OMB Control No. 1205-0521).

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 were used. For more information see Section VIII.D. Performance Resources.

## **VII. AGENCY CONTACTS**

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For further information about this FOA, please contact Andrea Chism, Grants Management Specialist, Office of Grants Management, at (202) 693-2655. Applicants should e-mail all technical questions to [chism.andrea.n@dol.gov](mailto:chism.andrea.n@dol.gov) and must specifically reference FOA-ETA-20-13, and along with question(s), include a contact name, fax, and phone number. This Announcement is available on the ETA website at <https://www.doleta.gov/grants> and at <https://www.grants.gov>.

## **VIII. OTHER INFORMATION**

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### **A. WEB-BASED RESOURCES**

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

### **B. INDUSTRY COMPETENCY MODELS AND CAREER CLUSTERS**

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

### **C. WORKFORCEGPS RESOURCES**

We encourage you to view the information on workforce resources gathered through consultations with federal agency partners, industry stakeholders, educators, and local practitioners, and made available on WorkforceGPS at <https://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 DOL’s Trade Adjustment Assistance Community College and Career Training (TAACCCT) program. Community colleges and other training providers across the nation can reuse, revise, redistribute, and reorganize the OER on SkillsCommons for institutional, industry, and individual use.

### **E. PERFORMANCE RESOURCES**

#### **DOL ETA Performance Website**

The ETA Performance website will assist you in understanding how the workforce system measures, reports, and evaluates performance under the WIOA. ETA oversees the performance accountability provision of WIOA to obtain valid, accurate, and comparable results across states to inform policy and program decision making. ETA coordinates with the Department of Education on the establishment of WIOA indicators of performance, manages the Workforce Data Quality Initiative (WDQI), and oversees the maintenance of wage record exchange systems for state and other grantees to verify performance outcomes.

<https://www.dol.gov/agencies/eta/performance>.

## **Workforce Integrated Performance System (WIPS)**

The Department has built WIPS, an information technology system that accepts state and grantee performance reporting data, generates quarterly and annual performance accountability reports from that data, and provides the platform for states and grantees to certify their reports.

<https://www.dol.gov/agencies/eta/performance/wips>.

## **F. CLEARINGHOUSE FOR LABOR EVALUATION AND RESEARCH**

DOL's Clearinghouse for Labor Evaluation and Research (CLEAR) (<https://clear.dol.gov>) is a labor-focused research and evaluation clearinghouse. It is designed to make research on labor topics more accessible to practitioners, policymakers, researchers, and the public. CLEAR identifies and summarizes labor-related evaluation and research studies, and also assesses the quality of impact studies. CLEAR's independent systematic reviews and summaries can support evidence-based decision making on various labor topics.

## **IX. OMB INFORMATION COLLECTION**

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

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

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

**PLEASE DO NOT RETURN YOUR GRANT APPLICATION TO THIS ADDRESS. SEND COMMENTS ONLY 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 September 24, 2020, in Washington, D.C. by:

**Brinda Ruggles**

Grant Officer, Employment and Training Administration

## **APPENDIX A: LIST OF H-1B INDUSTRIES**

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The H-1B One Workforce grants will fund projects that support well-paying, middle- and high-skilled jobs across the entire range of H-1B industries. These grants will support the IT, advanced manufacturing, and transportation sectors to upskill the present workforce and innovate how they train a new generation of workers to build a pipeline for the future workforce.

For the purposes of this FOA, applicants will identify occupations within H-1B industries that are using a significant number of visas to hire foreign workers. Applicants should review the below list of industries that are using H-1B visas to hire foreign workers to assist your program alignment. These jobs can fall within a single H-1B industry, or may cross more than one H-1B industry.

These are the H-1B industries that we have identified as permissible for applicants to target under this grant competition:

- IT and IT-related industries
- Advanced Manufacturing
- Professional Services (encompassing engineering and surveying occupations)

Applicants that propose to train individuals in occupations that fall outside of these industries must provide data showing that they are occupations for which a significant number of H-1B visas have been certified. This includes H-1B occupations in the transportation sector. This may be shown by using the data provided on DOL's Foreign Labor Certification Data Center Web site.

To view specific occupations for which H-1B visas have been certified, visit the Department of Labor's Foreign Labor Certification Data Center Web site (<http://www.foreignlaborcert.doleta.gov/performance/data.cfm>) and select the "Data Disclosure" tab for the latest database of occupations approved under H-1B petitions.

## APPENDIX B: SUGGESTED PERFORMANCE OUTCOME MEASURES TABLE

### One Workforce Employment and Training Performance Outcomes

A. H-1B PERFORMANCE OUTCOME MEASURES		
	Performance Outcomes	Targets
1	<b>Total participants served (cumulative 4-year total)</b> The total number of unique participants served during the grant period of performance	
2	<b>Total participants enrolled in education/training activities (cumulative 4-year total)</b> The total number of unique participants enrolled in education/training activities Total participants enrolled in education/training activities should not exceed total participants served.	
3	<b>Total participants who complete education/training activities (cumulative 4-year total)</b> Total participants who complete education/training activities should not exceed total participants enrolled in education/ training activities.	
4	<b>Total participants who complete education/training activities and receive a degree, or other type of credential</b> Total participants that complete education/training activities and receive a degree, or other type of credential should not exceed total participants who complete education/training activities.	
5	<b>Total number of unemployed and underemployed participants who complete education/training activities and obtain employment</b> This measure includes unemployed and underemployed workers as defined on Section III.C.3. Eligible Participants.	

	Incumbent workers should not be included in this outcome.	
6	<p><b>Total number of incumbent worker participants who complete training activities and that advance into a new position</b></p> <p>This includes incumbent workers who advanced into a new position with their current employer or a new employer following the completion of a training program.</p> <p>Incumbent workers who do not advance into a new position (i.e., who retained their existing position) following the completion of a training program should not be included in this outcome.</p> <p><i>Note: If an applicant is not proposing to offer services to incumbent workers, then they should record no value for this measure</i></p>	
<b>B. WIOA Primary Indicators of Performance</b>		
	<b>Measure</b>	<b>Rate</b> (Total 4-year period)
	Employment Rate – 2nd Quarter After Exit	
	Employment Rate – 4th Quarter After Exit	

## Outcome Measure Definitions

### 1. Total participants served:

- This measure is defined as the total number of all individuals who receive a grant-funded service, after they are determined eligible to be served by the program.

### 2. Total participants enrolled in education/training activities:

- This outcome measure is defined as the total number of participants that start an allowable education/training activity.

### 3. Total participants who complete education/training activities:

- This outcome measure is defined as the total number of participants who enter an allowable education/training and complete all the intended grant-funded training provided to the individual during the grant period of performance.
- A participant's education/training activities may be one training or a series of courses or activities. Program completion for a participant is when a participant has completed all the intended grant-funded training provided to the individual during the grant period of performance. Grantees must determine when a

participant has completed all the intended grant-funded training services established for the individual during the grant period of performance based on the proposed program design.

**4. Total participants who complete education/training activities and receive a degree, or other type of credential:**

- a. This outcome measure is defined as the total number of participants who enter an allowable education/training and complete all the intended grant-funded training provided to the individual during the grant period of performance, and receive at least one recognized postsecondary credential.

**5. Total number of unemployed and underemployed participants who complete education/training activities and obtain employment:**

- a. This outcome measure refers to participants whose employment status at program entry is either unemployed or underemployed, who complete all the intended grant-funded training provided to the individual during the grant period of performance, and enter employment.

**6. Total number of incumbent worker participants who complete training activities and that advance into a new position:**

- a. This outcome measure refers to those participants whose employment status at program entry is an incumbent worker, who complete all the intended grant-funded training provided to the individual during the grant period of performance and advance to a new position with their current employer or with a new employer.
- b. The grantee must have a partnership agreement with the employers of the participants to provide them incumbent worker training prior to their entry into the grant program for the participants to qualify to be counted in this outcome.
- c. Incumbent workers typically have a new job title and description upon advancement into a new position. However, as long as the new competencies are used in the job position after program completion and the change can be documented, the incumbent worker may be counted as having advanced into a new position with the employer or a new employer even if a new title is not conferred on the incumbent worker.

**Please Note:**

- Applicants should provide targets in raw numbers; percentages or other types of data projections are not acceptable.
- Applicants should provide targets for the total grant period.
- While applicants are required to propose goals for the six outcome categories identified in Section IV.B.3.b Expected Outcomes and Outputs, which are specific to this FOA, they will also be required to report outcomes in alignment with outcomes identified in WIOA, as applicable.



**WIOA Primary Indicators of Performance Definitions**

- **Employment Rate – 2nd Quarter After Exit:** The percentage of participants who are in unsubsidized employment during the second quarter after exit from the program.
- **Employment Rate – 4th Quarter After Exit:** The percentage of participants who are in unsubsidized employment during the fourth quarter after exit from the program.

## APPENDIX C: SUGGESTED ABSTRACT TEMPLATE

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*Applicants may tailor this template as needed to fit their proposed application.*

### LEAD APPLICANT

<b>Lead Applicant Organization Name:</b>	
<b>Lead Applicant Entity Type:</b> <ul style="list-style-type: none"><li>• Business/Business-related non-profit organization</li><li>• Education/Training Provider <i>(If applying as an IHE representing a consortium of IHEs, provide the names of IHE consortium members)</i></li><li>• Public Workforce Development Entity</li><li>• Economic Development Agency</li></ul>	
<b>Lead Applicant Location:</b> City and state	

### PARTNERSHIP

<b>Required Partners:</b> The application must identify and include the types of entities listed below, which collectively form the H-1B One Workforce Partnership, and any optional partners that support the goals of the partnership.	
<b>EMPLOYER PARTNERS</b> <ul style="list-style-type: none"><li>• List of at least <b>5</b> employer partners or an industry/trade association that align with the applicable sector</li></ul>	
<b>Name of Employer Partner(s):</b>	<b>Industry Sector:</b>
<b>INSTITUTIONS OF HIGHER EDUCATION</b>	
<b>Name of Institution(s) of Higher Education:</b>	<b>Industry Sector:</b>
<b>WORKFORCE DEVELOPMENT ENTITIES</b>	
<b>Name of Workforce Development Entity(ies):</b>	<b>Industry</b>

		<b>Sector:</b>
<b>Optional Partners:</b>		
<b>Name of Optional Partner(s):</b>	<b>Type of Organization:</b>	<b>Industry Sector:</b>

#### PROJECT INFORMATION

<b>Geographic Scope: (Project Service Area(s)):</b> <ul style="list-style-type: none"> <li>Identify scope: local/regional, statewide, or national</li> <li>Identify specific location(s) where grant services will be provided (e.g. economic region(s), cities, counties, or state(s))</li> <li><b>Indicate the census tract number(s) in your service area designated as a qualified Opportunity Zone, if applicable.</b></li> </ul>	
<b>Total Funding Requested:</b>	
<b>Total Leveraged Funds:</b> Must be 25 percent of total funding requested	
<b>Project Title/Name:</b>	
<b>Proposed Number of Participants to be Served:</b>	
<b>Summary of Program Activities:</b>	
<b>Targeted Population(s) to be Served:</b> Unemployed, underemployed, and/or incumbent workers (within these three target groups, applicants may also describe other populations, such as veterans, military spouses, transitioning service members, and underrepresented populations, including women, people of color, and ex-offenders, and other populations with employment barriers that hinder movement into middle- to high-skilled H-1B occupations and industries).	

## INDUSTRY FOCUS

<b>Targeted H-1B Industry</b> <b>Sector(s):</b> (Indicate one(s) that apply below)	<b>Targeted H-1B Occupations:</b> (Indicate the occupations where training will be provided) See Section I.C Target Industries	<b>Credential(s) to be Awarded</b>
<input type="checkbox"/> <b>Advanced Manufacturing</b>		
<input type="checkbox"/> <b>Transportation</b>		
<input type="checkbox"/> <b>IT and IT-related Industries</b>		
<input type="checkbox"/> <b>Other(s):</b> (Specify: _____)		
(Use only if following “Option 2” in Section I.C. Target Industries and Occupations. Provide documentation supporting verifiable data such as DOL’s Foreign Labor Certification Data Center)		
<b>New or Existing Training Program:</b> Does the proposed project include: <input type="checkbox"/> An <i>existing</i> program <input type="checkbox"/> A <i>new</i> program <input type="checkbox"/> Both		
<b>Public Contact Information:</b>	Name, Title: Address: Phone Number: Email Address:	

## APPENDIX D: SUGGESTED PROJECT WORK PLAN TABLE

Applicants are encouraged to align their goals with specific activities that will meet those goals. Sample activities can include project administration and ramp-up; partnership engagement, outreach, and recruitment; enrollment and training; case management services and provision of other supportive services; employment placement; and follow-up tracking of apprentices to collect outcomes. For planning purposes, the applicant should identify key deliverables and the timeframe for achieving each deliverable, including any milestones to indicate progression of activities. The applicant should also provide the name of the lead or supporting institution engaged in each activity or producing each deliverable, including any partner organizations.

<b>GOAL #1</b>	<i>Insert goal</i>		
<b>Activity:</b> <i>Insert activity (Sample: Project Administration &amp; Ramp-Up)</i>	<i>Insert description (if applicable)</i>	<b>Lead/Support Implementer(s)</b>	<i>Insert lead or supporting organization that will implement proposed activity</i>
<b>Deliverable(s):</b> <i>Insert deliverable(s)</i>	<i>Insert description (if applicable)</i>		
<b>Milestones</b>	<b>Timeframe</b>	<b>Deliverable Dates</b>	
<i>Insert milestone</i>	<i>Insert timeframe for Deliverable</i>	<b>Start:</b>	<i>Insert start and end Dates</i>
		<b>End:</b>	
		<b>Annual Costs</b>	
		<b>Year 1</b>	<b>\$</b> <i>Insert annual costs</i>
		<b>Year 2</b>	<b>\$</b>
		<b>Year 3</b>	<b>\$</b>
		<b>Year 4</b>	<b>\$</b>
		<b>TOTAL</b>	<b>\$</b>
<b>GOAL #2</b>			
<b>Activity:</b>		<b>Lead/Support Implementer(s)</b>	
<b>Deliverable(s):</b>			
<b>Milestones</b>	<b>Timeframe</b>	<b>Deliverable Dates</b>	
		<b>Start:</b>	
		<b>End:</b>	
		<b>Annual Costs</b>	
		<b>Year 1</b>	<b>\$</b>

		<i><b>Year 2</b></i>	<i><b>\$</b></i>
		<i><b>Year 3</b></i>	<i><b>\$</b></i>
		<i><b>Year 4</b></i>	<i><b>\$</b></i>
		<i><b>TOTAL</b></i>	<i><b>\$</b></i>

**Please Note:** Applicants may replicate this chart in order to submit information on all activities and deliverables proposed during the period of performance.