

Appendix VI – Submission Requirements and Reporting

1. Submission Requirements. To achieve greater efficiency and as part of ETA’s ongoing effort to streamline the mandatory grant award process, all states are required to submit an electronically signed copy of an SF- 424, Application for Federal Assistance, through Grants.gov for **each** WIOA funding stream under Funding Opportunity Numbers. As noted in Section 3.b. Background of this TEGL, ETA will separately provide outlying areas additional guidance regarding application and reporting requirements associated with the option to consolidate funds. Outlying areas that do not choose to consolidate funds must follow the steps identified herein for states.

- **ETA-TEGL-15-22-YOUTH** [CFDA 17.259]
- **ETA-TEGL-15-22-ADULT** [CFDA 17.258]
- **ETA-TEGL-15-22-DW** [CFDA 17.278]

An electronically submitted SF-424 through Grants.gov constitutes an official signed document and must reflect the amount for **each** WIOA funding stream (Youth, Adult, and Dislocated Worker). The closing date for receipt of **each** SF-424 is 30 days from the issue date of this TEGL.

The PY 2023 “base” allotment of WIOA Adult and Dislocated Worker funds will be awarded during the period of availability beginning July 2023. The FY 2024 “advance” allotment will be awarded in the period of availability starting October 2023. *A copy of the executed PY 2023 WIOA Agreement will be available upon award of funds.*

In addition, all states must submit an electronically signed SF-424, Application for Federal Assistance, through Grants.gov for **each** Wagner-Peyser Act Employment Service (ES) program under Funding Opportunity Numbers:

- **ETA-TEGL-15-22-ES** [CFDA 17.207]
- **ETA-TEGL-15-22-WIG** [CFDA 17.207]

States must follow the instructions in this TEGL to receive Workforce Information Grants to States (WIGS) funding, including submission of SF-424s. Note that WIGS have specific grant deliverable requirements not outlined in this document. A forthcoming TEGL will list these grant deliverable requirements.

An electronically submitted SF-424 through Grants.gov constitutes an official signed document and must reflect the amount for **each** ES program and WIGS. The closing date for receipt of **each** ES program SF-424 is 30 days from the issue date of this TEGL. ETA will award the ES program and WIGS funds in July 2023. *A copy of the executed PY 2023 ES Agreement will be available upon award of funds.*

2. Grants.gov Submission Process. States must submit the SF-424, Application for Federal Assistance, through Grants.gov. States needing to register with Grants.gov may do so here: <https://www.grants.gov/web/grants/grantors/grantor-registration.html>

Registration is a one-time process, and states that already have a Grants.gov account do not need to register again. To submit the required SF-424s, states must:

- Select the *SEARCH GRANTS* tab on the Grants.gov homepage.
- Under the section, *BASIC SEARCH CRITERIA*, states enter the Funding Opportunity Number referenced above in Section 1 of this appendix for each WIOA funding stream (i.e. “ETA-TEGL”).
- Select the link to the applicable Opportunity Number provided in the search results.
- Select the *PACKAGE* tab.
- Under the *ACTIONS* column, select *APPLY*.

Submitting the SF-424 through Grants.gov constitutes an electronically signed SF-424, Application for Federal Assistance. For each funding stream, the Estimated Funding section of the SF-424 (item #18) must reflect the exact amount of the designated state allotment, referenced in the attachments to this TEGL. Additionally, Item #11 of the SF-424 must include the Catalog of Federal Domestic Assistance Number (CFDA) for the applicable WIOA funding stream, which is referenced above in Section 1. Also, Item #15 of the SF424 must indicate the amount of Indirect Costs claimed by the recipient. Example: “*Indirect Costs for this award are estimated at \$19,000.*” (A dollar amount must be inserted even if it is \$0).

This submission process can be complicated and time-consuming. As such, the Department strongly encourages states to initiate the process as soon as possible, in order to allow time to resolve unanticipated technical problems.

As of April 4, 2022, the DUNS Number was replaced by a new, non-proprietary identifier requested in and assigned by SAM.gov. This new identifier is being called the Unique Entity Identifier (UEI), or the Entity ID. To learn more about SAM’s rollout of the UEI, please visit the U.S. General Service Administration (GSA), Unique Entity Identifier Update webpage.

Before submitting, states must also ensure its registration with the System for Award Management (SAM) is current. (SAM replaced the Central Contractor Registry.) States can find instructions for registering with SAM at <https://sam.gov/content/entity-registration>. An awardee 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, states must review and update the registration at least every 12 months from the date of initial registration. Failure to register with SAM and maintain an active account will result in Grants.gov rejecting your submission.

For technical issues encountered during application submission, states may call 800-518-4726 or 606-545-5035 to speak to a Customer Support Representative, or email the email address found in <https://www.grants.gov/web/grants/support.html>. The Contact Center is open 24 hours a day, seven days a week, but closes on federal holidays.

States should e-mail all submission questions to Janice Sheelor, Grants Management Specialist, at Sheelor.Janice@dol.gov. The email must reference the specific Funding

Opportunity Number, and include a contact name, email address, and phone number.

- 3. Separate Grants.** ETA has determined that it is necessary to de-couple programs that were previously awarded under a single grant and execute them as individual awards as part of an ongoing effort to improve data quality and fulfill reporting requirements to [USASpending.gov](https://www.usaspending.gov). Prior to PY 2023, the annual allotments for the three separate WIOA programs were distributed under a single grant award using the “AA” program identifier. Similarly, while the Wagner-Peyser ES Program grant and the Workforce Information Grants were distributed under a single grant award using the “ES” program identifier. Starting in PY 2023, ETA will award a separate grant to states and outlying areas for each WIOA and ES program, except for those outlying areas that request a WIOA consolidated grant.

For the WIOA programs, this will result in three separate grant awards as follows:

- WIOA Youth: PY 2023 Youth funding under program identifier “AY.”
- WIOA Adult: PY 2023 Adult and FY 2024 Advance Adult funding under program identifier “AT.”
- WIOA Dislocated Worker: PY 2023 Dislocated Worker and FY 2024 Advance Dislocated Worker funding under program identifier “AW.”

For the Employment Service programs, this will result in two separate grant awards as follows:

- Wagner-Peyser ES Program: PY 2023 ES funding under program identifier “WP.”
- Workforce Information System Grants (WIGs): PY 2023 WIGs funding under program identifier “WG.”

Note that this change does not impact the submission of the ETA 9130 financial reports since grantees are required to currently submit a separate ETA 9130 for each program.

- 4. Reporting.** For the WIOA formula programs, states are required to submit the seven designated WIOA quarterly financial status reports covering funds received for each of the programs (including separate reports for each of the fund year periods for the Adult and Dislocated Worker Activities programs, July 1 funds and October 1 funds). These seven WIOA quarterly financial reports cover financial data for statewide Youth, statewide Adult, statewide Dislocated Worker, statewide Rapid Response (Dislocated Worker activities), local Youth, local Adult, and local Dislocated Worker activities. The Department also requires states to submit the designated financial reports each quarter for the ES program funds and the WIGS funds.

Please refer to published ETA guidance and instructions on the ETA Advisory publication page (<https://wdr.doleta.gov/directives/>).

5. Grant Award Descriptions.

WIOA Adult program

Purpose: The purpose of the WIOA Adult grants is to serve individuals and help employers meet their workforce needs. The WIOA Adult program enables workers to obtain good jobs by providing them with career services like job search assistance and training opportunities.

Activities to be performed: WIOA specifies that most Adult program services will be provided through the American Job Center network, also known as one-stop career centers. Under the WIOA Adult program, eligible individuals can receive career services, which are classified into two categories: basic and individualized services. While some job seekers may only need self-service or other basic career services such as labor exchange services, others may need more comprehensive services, such as individualized services, which include career planning, and developing an individual employment plan outlining needs and goals of the job seeker. Participants will also receive training services linked to job opportunities in their communities. To promote customer choice and involvement in career decisions, participants use an Individual Training Account to select an appropriate training program from an eligible training provider list. WIOA also authorizes the provision of supportive services (e.g. transportation and child care assistance) to enable an individual to participate in the program.

Expected Outcomes: The WIOA Adult program outcomes are to ensure that individuals can access and receive the employment and training services they are eligible for, so that they may become employed or advance in employment. Grantees report performance measures of these outcomes, including the percentage of people employed in the second and fourth quarter after finishing the program, their earnings, and the percentage of people who obtained a credential.

Intended beneficiaries: WIOA Adult funds must give priority to recipients of public assistance, other low-income individuals, and individuals who are basic skills deficient. Other categories include unemployed adults, dislocated workers, veterans, individuals with barriers to employment, and any eligible population.

Subrecipient Activities: The grantees may subaward funds from the WIOA Adult program to provide some of the individualized career services, training, as well as provide supportive services.

WIOA Dislocated Worker program

Purpose: The purpose of the WIOA Dislocated Worker (DW) grants is to serve individuals and help employers meet their workforce needs. When individuals become dislocated workers because of job loss, mass layoffs, global trade dynamics or transitions in economic sectors, the WIOA DW program provides services to assist them in reentering the workforce.

Activities to be performed: WIOA specifies that most DW services will be provided through the American Job Center network, also known as one-stop career centers. Under the DW program, eligible individuals will receive career services, which are classified into two categories: basic and individualized services. While some job seekers may only need

self-service or other basic career services such as labor exchange services, others may need more comprehensive services, such as individualized services, which include career planning, and developing an individual employment plan outlining needs and goals of the job seeker. Participants will also receive training services linked to job opportunities in their communities. To promote customer choice and involvement in career decisions, participants use an Individual Training Account to select an appropriate training program from an eligible training provider list. WIOA also authorizes the provision of supportive services (e.g. transportation and child care assistance) to enable an individual to participate in the program.

Expected Outcomes: The WIOA Dislocated Worker program outcomes are to ensure that individuals can access and receive the employment and training services they are eligible for, so that they may become employed or advance in employment. Grantees report performance measures of these outcomes, including the percentage of people employed in the second and fourth quarter after finishing.

Intended beneficiaries: Individuals who lose their jobs because of layoffs, global trade dynamics, or other economic transitions, such individuals who have received a notice of termination or layoff from employment, including a separation notice from active military services. Specific eligibility criteria are provided in WIOA sec 3(15).

Subrecipient Activities: The grantees may subaward funds from the DW program to provide individualized career services, training, as well as provide supportive services.

WIOA Youth program

Purpose: The purpose of the WIOA Youth grants is to provide resources for local workforce development areas to deliver comprehensive youth services that focus on assisting out-of-school youth and in-school youth, with one or more barriers to employment, prepare for employment and postsecondary education opportunities; attain educational and/or skills training credentials; and secure employment with career/promotional opportunities.

Activities to be performed: WIOA specifies that states provide resources for local workforce development areas to administer youth services. Local workforce development areas deliver comprehensive youth services to out-of-school youth and in-school youth. Services include: tutoring; alternative secondary school services; paid and unpaid work experiences, which include: summer and year round employment opportunities, pre-apprenticeship programs, internships and job shadowing, and on-the-job training; occupational skill training; education offered concurrently with workforce preparation and training; leadership development opportunities; supportive services; mentoring; follow-up services; comprehensive guidance and counseling; financial literacy education; entrepreneurial skills training; services that provide labor market and employment information; and postsecondary education and training preparation activities.

Expected Outcomes: The WIOA Youth program outcomes are to provide activities that lead to the attainment of a secondary school diploma or recognized post-secondary credential and/or employment.

Intended beneficiaries: Youth, between the ages of 14 and 24, with one or more of the following characteristics: low-income; basic skills deficient; English language learner; justice system involvement; homeless; runaway; in foster care; pregnant or parenting; individual with

a disability; or who requires additional assistance to complete an educational program.

Subrecipient Activities: Local workforce development agencies deliver comprehensive services to out-of-school and in-school youth to prepare them for postsecondary education and employment. Some of the types of service activities may include but are not limited to: tutoring; paid and unpaid work experiences, occupational skill training, follow-up services; and comprehensive guidance and counseling, and supportive services.

Wagner-Peyser Act Employment Service (ES)

Purpose: The purpose of the ES program is to bring together individuals looking for employment and employers looking for job seekers. The program does this by providing a variety of services, which are available to all individuals. The program provides job seekers with career services, including labor exchange services, job search assistance, workforce information, referrals to employment, and other assistance. Employers can use the ES to post job orders and obtain qualified applicants.

Activities to be performed: The ES is a universal access program that provides services to all individuals who need services. Allowable services include assessments of career interests, career guidance when appropriate, job search workshops, and referral to jobs or training as appropriate. Services offered to employers include referral of job seekers to job openings; matching job requirements with applicants' experience, skills and other attributes; helping with special recruitment needs; assisting employers with hard-to-fill job orders; assisting with job restructuring; and helping employers assist laid-off workers. Training services are not provided and not allowable under ES program.

Expected Outcomes: The ES program outcomes are to ensure that individuals are able to access and receive the services they need to overcome barriers to employment and reenter the workforce system as quickly as possible.

Intended beneficiaries: This is a universal access program that is available to all individuals who are US citizens.

Subrecipient Activities: The grantees may subaward funds to conduct LMI research as well as the provision of specific services such as assessments of career interests, career guidance, job search workshops, referral to jobs or training as appropriate, and others.

Workforce Information Grants to States (WIGS) program

Purpose: The purpose of this grant is to develop and disseminate essential state and local labor market information (LMI) for a range of customer groups: 1) job seekers; 2) businesses/employers; 3) workforce and labor market intermediaries such as employment, school, and career counselors, and case managers at American Job Centers, who help individuals find a job or make career decisions, or engage businesses seeking skilled workers; 4) program and service planners at educational institutions and community-based organizations; 5) policy makers, including state and local workforce development boards (WDBs); 6) partners, such as economic development entities and human resource professionals; and 7) other customers, including recipients of workforce development grants, researchers, commercial data providers, and the media.

Activities to be performed: Grantees must populate and maintain a database (the Workforce Information Database or WID), produce two types of public products (employment projections and a statewide economic analysis report), and ensure LMI staff are adequately

trained. ETA also encourages grantees to produce other reports and data in addition to those required. Grantees have wide discretion in both the topics and presentation format. These reports should include accurate data, actionable information, and resources that enable data users to make informed decisions about the reemployment, work-based learning, training, and career pathways strategies that lead to rapid reemployment and worker advancement along a continuum of high-demand and higher wage jobs.

Expected Outcomes: By performing these duties users of LMI will have sufficient information to make informed decisions regarding employment, careers, education, and training.

Intended Beneficiaries: Job seekers, employers, staff in American Job Centers, state and local WDBs, national/state/local policy makers, students, academic researchers, labor market analysts, and other users of LMI.

Subrecipient Activities: A state may use WIGS funding to work with a subrecipient to conduct a study or research an LMI topic when a state LMI office does not have sufficient staffing or knowledge to conduct the work themselves.