

**U.S. DEPARTMENT OF LABOR**  
**Employment and Training Administration**

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**NOTICE OF AVAILABILITY OF FUNDS AND FUNDING OPPORTUNITY  
ANNOUNCEMENT FOR:**

**Workforce Data Quality Initiative – WDQI Round 8**

**ANNOUNCEMENT TYPE:** *Initial*

**FUNDING OPPORTUNITY NUMBER:** *FOA-ETA-21-05*

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER:** *17.261*

**KEY DATES:** *The closing date for receipt of applications under this Announcement is April 26, 2021. We must receive applications no later than 4:00:00 p.m. Eastern Time.*

**ADDRESSES:** *Submit all applications in response to this solicitation through <https://www.grants.gov>.*

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

## TABLE OF CONTENTS

EXECUTIVE SUMMARY .....	1
I. FUNDING OPPORTUNITY DESCRIPTION.....	2
A. PROGRAM PURPOSE .....	2
B. PROGRAM AUTHORITY .....	5
C. OTHER ACTIVITIES.....	5
II. AWARD INFORMATION .....	6
A. AWARD TYPE AND AMOUNT .....	6
B. PERIOD OF PERFORMANCE.....	6
III. ELIGIBILITY INFORMATION .....	7
A. ELIGIBLE APPLICANTS.....	7
B. COST SHARING OR MATCHING.....	7
C. OTHER INFORMATION.....	7
1. Application Screening Criteria.....	7
2. Number of Applications Applicants May Submit.....	8
IV. APPLICATION AND SUBMISSION INFORMATION .....	8
A. HOW TO OBTAIN AN APPLICATION PACKAGE.....	8
B. CONTENT AND FORM OF APPLICATION SUBMISSION.....	8
1. SF-424, “Application for Federal Assistance” .....	9
2. Project Budget .....	11
3. Project Narrative.....	13
4. Attachments to the Project Narrative .....	32
C. SUBMISSION DATE, TIME, PROCESS, AND ADDRESS.....	34
1. Hardcopy Submission.....	34
2. Electronic Submission through Grants.gov .....	34
D. INTERGOVERNMENTAL REVIEW .....	37
E. FUNDING RESTRICTIONS.....	37
1. Indirect Costs.....	37
2. Salary and Bonus Limitations .....	38
3. Intellectual Property Rights.....	38
F. OTHER SUBMISSION REQUIREMENTS .....	39
V. APPLICATION REVIEW INFORMATION.....	39
A. CRITERIA .....	39

B.	REVIEW AND SELECTION PROCESS.....	41
1.	Merit Review and Selection Process .....	41
2.	Risk Review Process .....	42
VI.	AWARD ADMINISTRATION INFORMATION.....	45
A.	AWARD NOTICES.....	45
B.	ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS .....	45
1.	Administrative Program Requirements .....	45
2.	Other Legal Requirements.....	46
3.	Other Administrative Standards and Provisions .....	50
4.	Special Program Requirements .....	50
C.	REPORTING .....	50
1.	Quarterly Financial Reports .....	51
2.	Quarterly Performance Reports.....	51
3.	Quarterly Narrative Performance Reports.....	51
VII.	AGENCY CONTACTS.....	51
VIII.	OTHER INFORMATION .....	51
A.	WEB-BASED RESOURCES .....	51
B.	INDUSTRY COMPETENCY MODELS AND CAREER CLUSTERS.....	52
C.	WORKFORCEGPS RESOURCES .....	52
D.	SKILLSCOMMONS RESOURCES .....	52
IX.	OMB INFORMATION COLLECTION .....	53

## EXECUTIVE SUMMARY

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The Employment and Training Administration (ETA), U.S. Department of Labor (DOL, or the Department, or we), announces the availability of approximately \$11,600,000 in grant funds authorized by Section 169 of the Workforce Innovation and Opportunity Act (WIOA) for the Workforce Data Quality Initiative (WDQI). ETA plans to award approximately four to seven grants with a maximum award of \$2,900,000 to eligible State Workforce Agencies (SWAs) for the development or enhancement of a state workforce longitudinal administrative database. ETA plans to prioritize the selection of applicants that identify the current capacity with regard to longitudinal administrative databases as Launch Point (LP) 2 (see section 1.A for LP definitions). All of these grants have a 36-month period of performance, and cost sharing is not required for this program. Each interested SWA should submit one complete application.

Section 169 of WIOA explicitly describes the purpose and objectives of a continuing regimen of rigorous evaluation and research activities to examine the impacts and cost effectiveness of education and workforce programs. WDQI grants support the development of State workforce longitudinal administrative databases such that the databases will ultimately, at a minimum: (1) include information on programs that provide training and employment services; (2) connect with education data; (3) be linked at the individual level; and (4) be capable of generating workforce training provider performance information and outcomes, including but not limited to, information and outcomes relevant to WIOA performance reporting, in a standardized, easy-to-understand format to help customers select the education and training programs that best suit their needs. Where such longitudinal systems do not exist, or are in the early stages of development, grantees may use WDQI grant assistance to design and develop these databases.

The Department will provide technical assistance (both direct and support for peer-to-peer) to SWAs to help ensure the databases meet the terms provided in each grantee's statement of work. The Department also works closely with the Department of Education on technical assistance and support activities.

WDQI grants provide funding to eligible SWAs to accomplish all or a combination, of the following objectives:

- Develop or improve the State workforce longitudinal administrative database;
- Connect workforce data with education data contained in the Statewide Longitudinal Data System (SLDS);
- Improve the quality and breadth of the data in workforce longitudinal administrative databases;
- Use longitudinal data to assess the performance of federally and state-supported education and job training programs;
- Provide user-friendly information to help customers select the education and training programs that best suit their needs; and
- Integrate performance, fiscal, and/or, case management systems with the longitudinal administrative database.

Applicants that choose to apply for the WDQI grant award of up to \$2,900,000 are expected to clearly demonstrate their plans to build or expand the workforce longitudinal administrative databases and to store and use the data in adherence to all applicable confidentiality laws (20 CFR Part 603). LP2 and LP3 applicants that choose to apply are expected to demonstrate that they have an existing database or structure in place that can achieve the objectives outlined above.

This Funding Opportunity Announcement (FOA) provides a description of the application submission requirements, outlines the process that eligible entities must use to apply for funds covered by this FOA, and details how we will select grantees. Additional background information on the WDQI is available at <https://www.dol.gov/agencies/eta/performance/wdqi>.

## **I. FUNDING OPPORTUNITY DESCRIPTION**

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### **A. PROGRAM PURPOSE**

This Announcement solicits applications for the WDQI program. The purpose of this program is to support the development or expansion of state workforce longitudinal administrative databases. Collecting and analyzing longitudinal data can provide a comprehensive picture of whether education programs lead to employment in related fields, whether jobseekers are obtaining training-related employment, and the impact of training on workers' earnings throughout their careers. Through such deep dive analyses, states can identify service delivery strategies that improve employment opportunities, as well as demonstrate the benefits of education and workforce programs on employment outcomes. Data linkages can help state and local leaders identify effective pathways through education and training services that lead to success in the workforce and can provide individuals with information that helps them make informed choices about their education and career(s).

WDQI grants provide funding to eligible SWAs to accomplish all, or a combination, of the following objectives:

- **Develop or improve the State Workforce Longitudinal Administrative Database.** SWAs can use this funding to develop a new state workforce longitudinal administrative database, to incorporate new data sources, or to expand/strengthen existing data sources into their existing database so individual-level records can be matched across workforce training programs and over time.
- **Connect workforce data with education data contained in the Statewide Longitudinal Data System (SLDS).** WDQI requires that workforce data be matched with education data, consistent with all relevant federal and state privacy and confidentiality laws, to ultimately create a state longitudinal administrative

database with individual-level information from pre-kindergarten through post-secondary and training into the workforce system. The connection of workforce and education data enables the analysis of individuals' receipt of both education and training services to help determine ways to maximize the outcomes of these services and improve the effectiveness of the programs.

- **Improve the quality and breadth of the data in workforce longitudinal administrative databases.** It is important that data in the workforce longitudinal administrative databases are complete, accurate, and relevant to understand the impact of state workforce development programs on job seekers and employers. Data collection processes should be streamlined and standardized to ensure that the data are valid.
- **Use longitudinal data to evaluate the performance of federally and state-supported education and job training programs.** Evidence-based decision making is the foundation for effective program management and strategic planning. Longitudinal administrative databases provide business intelligence for policymakers and stakeholders to make programmatic adjustments in an effort to improve education and workforce programs.
- **Provide user-friendly information to help customers select the education and training programs that best suit their skill goals.** These state-customized scorecards contain data to help job seekers make informed decisions about programs that offer skills training needed to pursue in-demand jobs. Publicly-searchable-by-training provider and program-of-study scorecards allow anyone, including policymakers, students, and researchers, to search labor market information and available training and subsequent outcomes, such as program completion, employment, both long and short-term, and wage information of participants in these training programs.
- **Integrate performance, fiscal, and/or case-management systems with the longitudinal administrative database.** Integration across multiple components of state data systems is a vital step towards improved program management and enhanced state data analytics capabilities. WDQI grants become even more vital as states move towards developing and building a more integrated data system structure, as envisioned under WIOA. ETA believes that these system enhancements will facilitate SWA's development of comprehensive information sharing tools (e.g., mobile applications, dashboards, or interactive scorecards) enabling access to longitudinal administrative data system for different program needs including case managers, fiscal staff, or performance staff, to name a few. Linking information from longitudinal data systems, state-based wage-data-matching systems, and cross-program/departamental systems has the potential to improve workforce data quality.

In addition to the objectives outlined above, Section 169 of WIOA explicitly describes the purpose and objectives of a continuing regimen of rigorous evaluation and research activities to examine the impacts and cost effectiveness of education and workforce programs. This has long been a goal of the Department and was the driving idea behind the WDQI grant initiative. Longitudinal administrative databases are useful tools for longer-term research and evaluation projects. The knowledge gained through data analytics can help states improve the effectiveness of their programs, identify shifts in the labor market, and design services to better meet their customers' needs. Sustainability beyond the use of federal funding for these systems is of particular interest to the Department; we will score applications on criteria that assess the applicants' proposed plans for sustaining activities beyond the three-year grant period.

Consistent with President Biden's Executive Order 13985 on "Advancing Racial Equity and Support for Underserved Communities Through the Federal Government," issued on January 20, 2021, the Department prioritizes advancing racial equity and support for underserved communities. The Department encourages states and localities to intentionally design the longitudinal administrative databases they are building or expanding to support analysis disaggregated by race, ethnicity, gender, disability, income, and veteran status and to develop data-driven policies and resource allocations to assist underserved job seekers and communities. We encourage SWAs to use the demographic and customer characteristics' data in their longitudinal databases when evaluating the effectiveness of workforce programs and to closely analyze the data collected from workforce programs to recognize and address any inequities or barriers to equal opportunity. The Department encourages SWAs to discuss how their longitudinal databases, expected outcomes/outputs, and overall planned grant activities will support the Executive Order in their application.

## **OTHER PROGRAM INFORMATION**

### ***Launch Point (LP)***

The Department recognizes that states vary in their current capacity with regard to longitudinal administrative databases (referred to throughout this FOA as the "launch point") and expectations for grantees will differ depending on their launch points. The three categories are described below:

- LP1 - States without a workforce longitudinal administrative database that are proposing to create a workforce longitudinal administrative database;
- LP2 - States with a partially developed workforce longitudinal administrative database; or
- LP3 - States with a comprehensive workforce longitudinal administrative database.

### ***Partnerships with Research Universities or Other Entities***

SWAs without the internal capacity to operate the longitudinal administrative database may need to partner with an external entity (such as a research university or a private, for-profit, or non-profit organization) to develop, maintain, and use the workforce longitudinal administrative database, both operationally and for research purposes. In addition, SWAs with existing

partnerships with external entities may propose to maintain those partnerships, and SWAs may propose partnerships with external entities for reasons other than lack of internal capacity. SWAs proposing to have their workforce longitudinal administrative databases operated by an outside entity should ensure that staff work closely with the state education agency. A proven model employed by many successful states is to have a state research university build and maintain the workforce longitudinal administrative database.

We will also consider alternative models that maintain the privacy and confidentiality of personally identifiable information (PII) consistent with federal and state laws and result in high-quality databases under the WDQI grant program.

If an SWA chooses to partner with a research university or other research entity, the SWA must consider the following in its development of the partnership model:

- The research partner must have a demonstrated capacity to assist in the collection and storage or linkage of the longitudinal workforce administrative data;
- The research partner must be able to ensure that the data collected will be stored, accessed, and used in accordance with local, state, and federal confidentiality and PII protective provisions; and
- The research partner will be responsible for processing data requests, conducting in-depth data analysis, preparing standard reports, responding to requests for additional papers, and reporting on state and local workforce and education issues and trends as requested by external entities, consistent with all applicable federal and state privacy laws.

When working with a state research university or research organization, applicants must investigate additional security measures that the Institutional Review Board (IRB) may require of that university or research organization. The IRB must give approval for the state research institution's involvement in this partnership. The IRB must base its approval on the applicant's plan for confidential transfer, storage, and usage of data and protection of PII.

## **B. PROGRAM AUTHORITY**

The WIOA Section 169 (29 U.S.C. § 3224) authorizes this program.

## **C. 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.

## **II. AWARD INFORMATION**

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

The Department will provide funds in the form of a grant to successful applicants.

We expect availability of approximately \$11,600,000 to fund approximately four to seven grants. You may apply for a ceiling amount of up to \$2,900,000. Awards made under this Announcement are subject to the availability of federal funds. In the event that additional funds become available, we reserve the right to use such funds to select additional grantees from applications submitted in response to this Announcement. Any grant application with a proposed value greater than \$2,900,000 will be deemed non-responsive and will not be considered and reviewed further.

### **B. PERIOD OF PERFORMANCE**

The period of performance is 36 months with an anticipated start date of July 1, 2021. This performance period includes all necessary implementation and start-up activities. Applicants must plan to expend grant funds fully during the period of performance while ensuring full transparency and accountability for all expenditures.

### **III. ELIGIBILITY INFORMATION**

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

The following organizations are eligible to apply:

- State Workforce Agencies (SWAs) - SWAs in the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands.
- Among the eligible applicants listed above, SWAs planning to apply for the \$2,900,000 award that identify as a LP2 will be given priority of selection. Applicants that previously received three or more WDQI grants are ineligible to apply. The following States' SWAs have received three or more WDQI grants and are ineligible for this reason: Maine, Michigan, New Jersey, Texas and Rhode Island.
- Applicants that have an active WDQI grant are ineligible to apply, unless the grant period of performance will end on or by June 30, 2021. The following States' SWAs have active WDQI grants and are therefore ineligible to apply: California, Colorado, Idaho, Illinois, Maine, Michigan, New Jersey, North Carolina, Texas, Wisconsin.

#### **B. COST SHARING OR MATCHING**

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

#### **C. OTHER INFORMATION**

##### **1. Application Screening Criteria**

You should use the checklist below as a guide when preparing your application package to ensure that the application has met all of the screening criteria. Note that this checklist is only an aid for applicants and should not be included in the application package. We urge you to use this checklist to ensure that your application contains all required items. If your application does not meet all of the screening criteria, it will not move forward through the merit review process.

<b>Application Requirement</b>	<b>Instructions</b>	<b>Complete?</b>
The deadline submission requirements are met	Section IV.C	
Eligibility	Section III.A	
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 does not exceed the ceiling amount of \$2,900,000	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	

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

We will consider only one application from each SWA. If we receive multiple applications from the same SWA, 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.

## **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.

In addition, subject to the provisions of the Religious Freedom Restoration Act (RFRA), 42 U.S.C. § 2000bb, the applicant’s Authorized Representative’s signature in block 21 of the SF-424 form constitutes assurance by the applicant of compliance with the WIOA 188 rules issued by the Department at 29 CFR 38.25, which includes the following language:

As a condition to the award of financial assistance from the Department of Labor under Title I WIOA, the grant applicant assures that it has the ability to comply fully with the nondiscrimination and equal opportunity provisions of the following laws: Section 188 of the WIOA, which, as interpreted through Departmental regulations, prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex (including pregnancy, childbirth, and related medical conditions, transgender status, and gender identity), national origin (including limited English proficiency), age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship status or participation in any WIOA Title I—financially assisted program or activity; Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the bases of race, color, and national origin; Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities; The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and Title IX of the Education

Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs.

The grant applicant also assures, subject to RFRA, that as a recipient of WIOA Title I financial assistance [as defined at 29 CFR 38.4(zz)], it will comply with 29 CFR part 38 and all other regulations implementing the laws listed above. This assurance applies to the grant applicant's operation of the WIOA Title I-financially assisted program or activity, and to all agreements the grant applicant makes to carry out the WIOA Title I-financially assisted program or activity. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance. Note that the RFRA 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.

**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 200.1 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 200.1 for the definition of Supplies).

**Contractual:** Under the Contractual line item, delineate contracts and subawards separately. Contracts are defined according to 2 CFR 200.1 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 200.1, 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 does not have a current negotiated (including provisional) rate, and 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 200.1 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 200.1 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 200.1 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 200.1 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 20 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 (Up to 12 points)**

Scoring under this criterion will be based on the extent to which the following factors are clearly and accurately addressed:

- (i) Applicants must clearly articulate the need for a state workforce longitudinal administrative database including the nature and scope of any identified problems and consequences of not addressing the need. (Up to 4 points)

The state's launch point must be identified/labeled (as described in Section 1.A as LP1, LP2, or LP3) and described.

LP1: Proposals from applicants with new or planned workforce longitudinal administrative database must include a discussion on why the state has decided to develop a workforce longitudinal administrative database and what purpose it will serve.

LP2: Applicants with partially developed workforce longitudinal databases must include a discussion on the current status of the state's workforce longitudinal administrative database and how this funding will allow for a comprehensive database.

LP3: Applicants with comprehensive databases must include a discussion on the current status of the state's database and the need to expand the breadth of data collected, particularly workforce data.

- (ii) All applicants must briefly describe the current status of the state's SLDS, if any, including any current plans to further develop the state's SLDS. The status

description must include the ability to link K-12 and post-secondary education records to workforce records. (Up to 2 points)

If the applicant is planning to partner with a research entity, or has existing partnerships, the application must describe why the state chose to outsource the activity (e.g., describe limitations of capacity, or decision to maintain an existing partnership).

- (iii) All applicants must explain plans for sustaining these workforce longitudinal administrative databases beyond the three-year grant period, including how their planned or existing Memorandums of Understanding (MOU) and Data Sharing Agreements (DSAs) will be renewed with their partners to ensure continued maintenance and analysis of the workforce longitudinal administrative database. (Up to 6 points)

**b) Expected Outcomes and Outputs (Up to 18 points)**

We will score this criterion based on the extent to which the following factors are clearly and accurately addressed:

- (i) Clearly identify the outcome(s) and output(s) that will result from the project. Outcomes are the measurable results of the project. They are the positive benefits or negative changes or measurable characteristics that occur as a result of project activities or outputs. Outputs are tangible products or services that result from the project. To differentiate between outcomes and outputs, an example would be a community college that receives a grant to address a need for more workers in all health-related fields. An outcome of the project is an increase in graduates in health-related fields by 5 percent. An output of the project is the creation of 3 additional courses in health-related fields. (Up to 6 points)
- (ii) Applicants must clearly identify and list the proposed outcomes and outputs (i.e., deliverables such as products, features, benchmarks) that will result from the project according to their LP. These outcomes and outputs must help address the needs and objectives the applicant identified in the Statement of Need. Outputs must be expressed as deliverables that can be shared with the Department at the end of the grant period. (Up to 6 points)
- (iii) The applicant must provide the state's objective, in a sentence or two, for each of the following major activities listed below as applicable (each item is associated with the appropriate applicant type(s) as noted in parentheses) (Up to 6 points):
  - Creating or expanding workforce longitudinal database (all applicants);
  - Improving the quality of workforce data (all applicants);
  - Developing or expanding the capacity to match workforce and education data (all applicants);

- Using data for analysis of workforce and education programs (LP3);
- Producing and disseminating workforce training provider performance information and outcomes (LP2 and LP3);
- Creating user-friendly portals to inform consumer choice (LP2 and LP3); and

**c) Project Design (Up to 25 points)**

**We will score this criterion based on the extent to which the following factors are clearly, accurately and convincingly addressed:**

- (i) Applicants must outline a plan that describes the scope and required activities and work necessary to accomplish the project requirements listed below according to the state's launch point. The project design must include a timeline for the completion of work that will be updated quarterly throughout the grant period of performance. Applicants must summarize work done to obtain their current LP. (Up to 6 points)
- (ii) Applicants must account for all functions or activities identified in the application, cite factors that might accelerate or decelerate the work and state the reason for taking the proposed approach rather than other approaches, and identify any potential barriers and describe how the project will be able to overcome those barriers. DO NOT include proprietary information in the application. (Up to 6 points)
- (iii) The requirements are broken out by the launch point. Please refer to your launch point section below for your specific requirements. (Up to 13 points)

**(1) For Applicants with New or Planned Databases (LP1)**

The application must address the following:

**(a) Database Design, Data Quality Assurance, and Proposed Uses**

Applicants with no workforce longitudinal administrative database must provide a complete project plan that outlines system specifications, data analysis functionality, and a detailed description of the intended design of data content and usage.

Applicants must specify the planned layout for the data files that will be contained in the databases. This layout must include the format for the data records and the format and definition of each included data field. Applicants are encouraged to incorporate data elements from the Participant Individual Record Layout (PIRL) for the workforce and education programs required under WIOA.

Applicants must also demonstrate the intended use of the following database design element:

- Personal Identifier:

Applicants must explain how the database will be developed using the social security number (SSN) or tax identification number as a unique personal identifier for individuals entering into the workforce system, in addition to job seekers and employees already in the workforce system. The SSN is already in use throughout the workforce system and will allow States to gather this data longitudinally in order to accurately track movement into and out of workforce and education systems.

For most programs, DOL recognizes that SSNs are collected on a voluntary basis; therefore, DOL understands that the workforce longitudinal administrative databases will be restricted to those individuals having supplied their SSN and thus may not represent a complete database of all persons who are receiving workforce development services.

Applicants must also describe the capacity of the workforce longitudinal databases to link, consistent with Family Education Rights and Privacy Act (FERPA) requirements, to unique identifiers in the SLDS. Specifically, for SWAs where the workforce longitudinal database is emerging or undeveloped, applicants must describe their plans to match the data between the education and workforce databases.

Applicants must provide a clear description of how they will develop data-validation measures and other quality assurance measures used to promote the quality, completeness, validity, and reliability of the data collected.

**(b) Scope of Longitudinal Workforce Data:**

Applicants must list the programs that will be included in the database and the plan to match data across each program. At a minimum, the database must include disaggregated individual- record data (including wage record information) for the following:

- WIOA title I programs;
- Adult Education and Family Literacy (AEFLA) program, authorized under WIOA title II;
- Vocational Rehabilitation (VR) program, authorized under Title I of the Rehabilitation Act, 1973, as amended by WIOA title IV;
- Employment Service program authorized under the Wagner-Peyser Act, as amended by WIOA title III;
- Trade Adjustment Assistance for Workers program under the Trade Act of 1974, title II, as amended, and Trade Readjustment Allowances program data;
- UI wage-record information from quarter to quarter measuring employment and income earning gains;
- UI benefit data including demographic information associated with UI benefit payments; and
- Federal employment data.

We also encourage applicants to include data from other education and human services programs such as: the Department of Health and Human Services' Temporary Assistance for

Needy Families; the Department of Agriculture's Supplemental Nutrition Assistance Program; Registered Apprenticeship; and data from other similar programs that may yield workforce-related outcomes.

**(c) Partnership with the State Education Agency**

Applicants must describe how they will establish or maintain a relationship with the State Education Agency to link data between education and workforce databases, consistent with FERPA; where applicable, this relationship must include the State Education Agency leading the SLDS initiative. As specified in Section IV.B.4, the applicant must provide (as an attachment) a signed letter of agreement or letter of intent between the State Workforce and Education Agencies.

**(d) Other Inter- and Intra-state Agency Partnerships**

Participant data may be supplied by organizations within the SWA as well as outside agencies within and across state lines. Partnerships with state economic, human services, and other agencies provide an opportunity to match individual-level data to the workforce longitudinal database. Applicants must describe, in detail, their strategy for developing partnerships with agencies inside and outside the state workforce system. These partnerships include (but are not restricted to) agencies outside of the SWA such as the state revenue department, Department of Motor Vehicles, and other state agencies administering DOL programs such as UI and WIOA in full or in part.

Documentation of proposed and/or existing partner relationships may include brief descriptions of existing or proposed MOUs, letters of support, and/or detailed plans for working relationships and shared responsibilities. In all cases, SWAs must forge partnerships to gather relevant workforce and education data.

**(e) Data Sharing Agreements (DSA)**

For each program data set included in the workforce longitudinal administrative database, applicants must submit copies of DSAs with the agencies that are responsible for the collection, retention, use, and release of the programmatic data. DSAs included as attachments to the Project Narrative will not count against the page limit.

The DSA must outline the storage, permissible use, ongoing maintenance, and disposition of the data and address the following requirements:

- How data will be exchanged between partners;
- The purposes for which the data will be used;
- How and when the data will be disseminated;
- Which entity maintains control of the data;
- Which entity actually owns the data;
- The intended methods of ensuring confidential collection, use, and storage of the data; and

- Which entities inside and outside of the data-sharing agreements will have access to the data.

DSAs that involve the disclosure of PII from education records must:

- Designate the entity collecting the data as the authorized representative of the State educational authority to evaluate a federally or State supported education program;
- Specify: (a) the PII to be disclosed; (b) the purpose for which the PII is disclosed to the authorized representative as stated in 34 CFR 99.35; and (c) a description of the activity with sufficient specificity to make clear that the work falls within the exception of 34 CFR 99.31(a)(3), including a description of how the authorized representative will use the PII;
- Require the authorized representative to destroy the PII when it is no longer needed for the purpose specified;
- Specify the time period in which the authorized representative will destroy the PII; and
- Establish policies and procedures, consistent with FERPA and other federal and state confidentiality and privacy provisions, to protect PII from further disclosure (except back to the disclosing entity) and unauthorized use, including limiting use of PII to only authorized representatives with legitimate interests in the evaluation of a federal or State-supported program. DSAs also should contain specific plans for secure data transfer and storage.

DSAs that involve the disclosure of unemployment compensation (UC) information must:

- Include a description of the specific information to be disclosed and the purposes for which the information is sought.
- Require the recipient to use disclosed information only for purposes authorized by law and consistent with the written agreement it entered into that meets the requirements of 20 CFR 603.10.
- Include a description of the format and timing of requests for information and responses to those requests.
- Provide for paying the State UC agency for any costs of furnishing the information. Grantees may use grant funds to pay costs associated with any disclosure of UC information. However, we expect disclosures to involve no more than an incidental amount of staff time and no more than nominal processing costs.
- Includes the following statement: “Access to information under the agreement is limited to authorized representatives for the purposes listed in this agreement and authorized representatives will only access the information for those purposes.”
- Provide for safeguarding the information disclosed, as required by section 20 CFR 603.9.
- Authorized representatives must not retain information with PII disclosed for longer than such period of time as the State or State UC agency deems appropriate on a case-by-case basis. The length of the retention period will be determined by the purpose

for the disclosure, required under 20 CFR 603.10(b)(1), and any retention laws to which the recipient is subject.

- After the disclosure has served its purpose, the recipient must dispose of the confidential information. Disposal means return of the information to the disclosing State or State UC agency or destruction of the information as directed by the State or State UC agency. Disposal includes deletion of PII by the State or State UC agency in lieu of destruction. 20 CFR 603.9(b)(1)(vi).
- Require recipients to maintain a system sufficient to allow an audit of compliance with safeguards and security requirements. 20 CFR 603.9(b)(1)(vii).
- Provision for on-site inspections of the entity holding the confidential information to check that the entity is meeting the requirements of the State's law and the agreement. 20 CFR 603.10(b)(1)(vi).

The Department encourages the production of full- or limited-scope public use data files that the SWA (or an agreed upon designated host) will host.

Applicants must also discuss, in detail, any potential barriers to sharing data with partner agencies, and discuss feasible proposed solutions to overcome these barriers.

**(f) State-based Wage Data Matching Systems**

Applicants must clearly describe their ability to implement state- based wage data matching infrastructure to improve performance reporting capabilities, including reporting of outcomes for eligible training providers. The description must include how this integration will support the successful implementation of the performance accountability requirements under WIOA.

**(g) Confidentiality**

Applicants must thoroughly describe the methods and procedures (e.g., through MOUs, letters of intent, and DSAs) for assuring the security and confidentiality of the collection, storage, and use of all data contained in the workforce longitudinal administrative database, including protection of PII. Applicants must describe how they will maintain confidentiality in research, evaluation, and performance management. The applicant must also explain the security responsibilities of the SWA and its partners.

Applicants must describe the confidentiality procedures that they will use to protect PII, including requirements for the actual collection of data, data transmission, maintenance of computerized data files, reporting and publication of data, and compliance with State and federal PII privacy and confidentiality statutes and regulations.

Applicants must also describe under what circumstances they will make available PII data, and to whom, and to what level of specificity, in accordance with confidentiality laws. We advise applicants to consult recommendations released from the National Institute of Standards and Technology (NIST) on the protection of PII.

Applicants must identify staff-level positions that they will grant access to confidential data and the corresponding level of access for each position. Where a SWA has partnered with a research university or other research institution, staff granted access to confidential data must observe rules set by the university's or research institution's institutional review board (IRB).

Additionally, for the purpose of this application, federal laws governing data-sharing, transfer of data, and PII confidentiality, including but not limited to requirements of FERPA, 20 U.S.C. 1232g and 34 CFR Part 99, will apply to all employees identified in the application.

## **(2) For Applicants with a Partially-Developed Database (LP2)**

The application must address the following:

### **(a) Database Design, Data Quality Assurance, and Proposed Uses**

Applicants with a partially-developed workforce longitudinal database must clearly describe the existing database design (including data analysis functionality) and provide a detailed description of the outstanding design requirements and data content, necessary for full implementation.

Applicants must specify the actual record layout for the data files contained in the database, and any proposed changes to the record layout. This layout must include the format for the data records, and the format and definition of each included data field. Applicants must incorporate data elements from the PIRL for the workforce and education programs required under WIOA.

Applicants must confirm the actual use of the following database design element:

- Personal Identifier:

Applicants must confirm the actual use of the personal identifier, explain how the SSN or tax ID number serves as a unique identifier, and discuss any plans to advance the current system for assigning the unique identifiers to link across multiple systems.

Applicants also must describe their current plan for linking data in the workforce longitudinal databases to (consistent with FERPA requirements) unique identifiers in the state's education longitudinal database.

Applicants must provide a clear description of how they will improve current data-validation measures and other quality assurance measures used to promote the quality, completeness, validity, and reliability of the data collected.



**(b) Scope of Longitudinal Workforce Data**

Applicants must list the programs that are, or will be, included in the database and the plan to match data across each program. At a minimum, the database must include disaggregated individual-record data (including wage record information) for the following:

- WIOA title I programs;
- Adult Education and Family Literacy (AEFLA) program, authorized under WIOA title II;
- Vocational Rehabilitation (VR) program, authorized under Title I of the Rehabilitation Act, 1973, as amended by WIOA title IV;
- Employment Service program authorized under the Wagner-Peyser Act, as amended by WIOA title III;
- Trade Adjustment Assistance for Workers program under the Trade Act of 1974, title II, as amended, and Trade Readjustment Allowances program data;
- UI wage-record information from quarter to quarter measuring employment and income earning gains;
- UI benefit data including demographic information associated with UI benefit payments;
- federal employment data.
- We also encourage applicants to include data from other education and human services programs such as: the Department of Health and Human Services' Temporary Assistance for Needy Families; the Department of Agriculture's Supplemental Nutrition Assistance Program; Registered Apprenticeship; and data from other similar programs that may yield workforce-related outcomes.

**(c) Partnership with the State Education Agency**

Applicants must describe how they plan to continue their relationship with their State Education Agency leading the SLDS initiative if applicable, and any other agencies that are essential to the implementation of the proposal. As specified in Section IV.B.4, the applicant must provide (as an attachment) a signed letter of agreement between the State Workforce and Education Agencies and, if applicable, signed letter(s) of agreement between the State Workforce Agency and other Agencies.

**(d) Other Inter- and Intra-state Agency Partnerships**

Participant data may be supplied by organizations within the SWA as well as outside agencies within and across state lines. Partnerships with state economic, human services, and other agencies (such as the state revenue department or Department of Motor Vehicles) provide an opportunity to match individual level data to the workforce longitudinal database. Applicants must identify current partnerships and describe their plan for maintaining these partnerships. Applicants also must detail their strategy for expanding to other agencies inside and outside the state workforce system. Applicants must identify the specific agency(ies), provide a reference for their authority, and document their willingness to provide regular access to their data.

Documentation of proposed and/or existing partner relationships may include brief descriptions of existing or proposed MOUs, letters of support, and/or detailed plans for working relationships and shared responsibilities. In all cases, SWAs must forge partnerships to gather relevant workforce and education data.

**(e) Data Sharing Agreements (DSA)**

For each program data set included in the workforce longitudinal administrative database, applicants must submit copies of DSAs with the agencies that are responsible for the collection, retention, use, and release of the programmatic data. DSAs included as attachments to the Project Narrative will not count against the page limit.

The DSA must outline the storage, permissible use, ongoing maintenance, and disposition of the data and address the following requirements:

- How partners will exchange data;
- The purposes for which the partners will use the data;
- How and when the applicant will disseminate data;
- Which entity maintains control of the data;
- Which entity actually owns the data;
- The intended methods of ensuring confidential collection, use, and storage of the data; and
- Which entities inside and outside of the data-sharing agreements will have access to the data.

DSAs that involve the disclosure of PII from education records must:

- Designate the entity collecting the data as the authorized representative of the State educational authority to evaluate a federally or State supported education program;
- Specify: (a) the PII to be disclosed; (b) the purpose for which the PII is disclosed to the authorized representative as stated in 34 CFR 99.35; and (c) a description of the activity with sufficient specificity to make clear that the work falls within the exception of 34 CFR 99.31(a)(3), including a description of how the entity will use the PII;
- Require the authorized representative to destroy the PII when the PII is no longer needed;
- Specify the time period in which the entity must destroy the PII; and
- Establish policies and procedures, consistent with FERPA and other federal and State confidentiality and privacy provisions, to protect PII from further disclosure (except back to the disclosing entity) and unauthorized use, including limiting use of PII to only authorized representatives with legitimate interests in the evaluation of a federal or State-supported program. DSAs also should contain specific plans for secure data transfer and storage.

DSAs that involve the disclosure of UC information must:

- Include a description of the specific information to be disclosed and the purposes for which the information is sought.
- Require the recipient to use disclosed information only for purposes authorized by law and consistent with the written agreement it entered into meeting the requirements of 20 CFR 603.10.
- Include a description of the format and timing of requests for information and responses to those requests.
- Provide for paying the State UC agency for any costs of furnishing the information. Grantees may use grant funds to pay costs associated with any disclosure of UC information. However, we expect disclosures to involve no more than an incidental amount of staff time and no more than nominal processing costs.
- Includes the following statement: “Access to information under the agreement is limited to authorized representatives for the purposes listed in this agreement and authorized representatives will only access the information for those purposes.”
- Provide for safeguarding the information disclosed, as required by section 20 CFR 603.9.
- Authorized representatives must not retain information with PII disclosed for longer than such period of time as the State or State UC agency deems appropriate on a case-by-case basis. The length of the retention period will be determined by the purpose for the disclosure, required under 20 CFR 603.10(b)(1), and any retention laws to which the recipient is subject.
- After the disclosure has served its purpose, the recipient must dispose of the confidential information. Disposal means return of the information to the disclosing State or State UC agency or destruction of the information as directed by the State or State UC agency. Disposal includes deletion of PII by the State or State UC agency in lieu of destruction. 20 CFR 603.9(b)(1)(vi).
- Require recipients to maintain a system sufficient to allow an audit of compliance with safeguards and security requirements. 20 CFR 603.9(b)(1)(vii).
- Provision for on-site inspections of the entity holding the confidential information to check that the entity is meeting the requirements of the State’s law and the agreement. 20 CFR 603.10(b)(1)(vi).

The Department encourages the production of full- or limited-scope public use data files that the SWA (or an agreed upon designated host) will host.

Grantees should consider developing DSAs with the DOL to obtain individual-level data for various programs for which DOL is the data administrator. The Department encourages the production of full- or limited-scope public use data files that will be hosted by the SWA or an agreed upon designated host.

Applicants must also discuss, in detail, any potential barriers to sharing data with partner agencies, and discuss feasible proposed solutions to overcome these barriers.

**(f) State-based Wage Data Matching Systems**

Applicants must clearly describe their ability to implement or expand their state-based wage data matching infrastructure to improve performance reporting capabilities, including reporting of outcomes for eligible training providers. The description should include how this integration will support the successful implementation of the performance accountability requirements under WIOA.

**(g) Confidentiality**

Applicants must thoroughly describe the methods and procedures (e.g., through MOUs, letters of intent, and DSAs) for assuring the security and confidentiality of the collection, storage, and use of all data contained in the workforce longitudinal administrative database, including protection of PII. Applicants must describe how they will maintain confidentiality in research, evaluation, and performance management. The applicant must also explain the security responsibilities of the SWA and its partners.

Applicants must describe the confidentiality procedures that they will use to protect PII, including requirements for the actual collection of data, data transmission, maintenance of computerized data files, reporting and publication of data, and compliance with State and federal PII privacy and confidentiality statutes and regulations.

Applicants must also describe under what circumstances they will make available PII data, and to whom, and to what level of specificity, in accordance with confidentiality laws. We advise applicants to consult recommendations released from the National Institute of Standards and Technology (NIST) on the protection of PII.

Applicants must identify staff-level positions that they will grant access to confidential data and the corresponding level of access for each position. Where a SWA has partnered with a research university or other research institution, staff granted access to confidential data must observe rules set by the university's or research institution's institutional review board (IRB).

Additionally, for the purpose of this application, federal laws governing data-sharing, transfer of data, and PII confidentiality, including but not limited to requirements of FERPA, 20 U.S.C. 1232g and 34 CFR Part 99, will apply to all employees identified in the application.

**(3) For Applicants with a Comprehensive Database (LP3)**

The application must address the following:

**(a) Database Design, Data Quality Assurance, and Proposed Uses**

Applicants with a comprehensive and operational workforce longitudinal administrative database must clearly describe the existing database design, including data analysis functionality, and provide a detailed description of any plans to upgrade the current design and/or data content, as appropriate.

Applicants must specify the actual record layout for the data files contained in the database, and any proposed changes to the record layout. This layout must include the format for the data records, and the format and definition of each included data field. Applicants should incorporate data elements from the PIRL for the workforce and education programs required under WIOA.

Applicants must confirm the actual use of the following database design element:

- Personal Identifier:

Applicants must confirm the actual use of the personal identifier, explain how the SSN or tax ID number serves as a unique identifier, and discuss any plans to advance the current system for assigning the unique identifiers to link across multiple systems.

Applicants also must describe their current plan for linking data in the workforce longitudinal databases to, consistent with FERPA requirements, unique identifiers in the state's education databases.

Applicants must provide a clear description of how they will improve current data validation measures and other quality assurance measures used to promote the quality, completeness, validity, and reliability of the data collected.

**(b) Scope of Longitudinal Workforce Data**

Applicants must list the programs that are currently included in the database and identify programs that the state plans to include.

Applicants must confirm that, at a minimum, the database includes disaggregated individual-record data (including wage record information) for the following:

- WIOA title I programs;
- Adult Education and Family Literacy (AEFLA) program, authorized under WIOA title II;
- Vocational Rehabilitation (VR) program, authorized under Title I of the Rehabilitation Act, 1973, as amended by WIOA title IV;
- Employment Service program authorized under the Wagner-Peyser Act, as amended by WIOA title III;
- Trade Adjustment Assistance for Workers program under the Trade Act of 1974, title II, as amended, and Trade Readjustment Allowances program data;
- UI wage record information from quarter to quarter measuring employment and income earning gains;
- UI benefit data including demographic information associated with UI benefit payments;
- Federal employment data.

We also encourage applicants to include data from other education and human services programs such as: the Department of Health and Human Services' Temporary Assistance for Needy Families; the Department of Agriculture's Supplemental Nutrition Assistance Program; Registered Apprenticeship; and data from other similar programs that may yield workforce-related outcomes.

**(c) Partnership with the State Education Agency**

Applicants must describe how they plan to continue their relationship with their State Education Agency leading the SLDS initiative if applicable, and any other agencies that are essential to the implementation of the proposal. As specified in Section IV.B.4, the applicant must provide (as an attachment) a signed letter of agreement between the State Workforce and Education Agencies and, if applicable, signed letter(s) of agreement between the State Workforce Agency and other Agencies.

**(d) Other Inter- and Intra-state Agency Partnerships**

Participant data may be supplied by organizations within the SWA as well as outside agencies within and across state lines. Partnerships with state economic, human services, and other agencies (such as the state revenue department or Department of Motor Vehicles) provide an opportunity to match individual level data to the workforce longitudinal database. Applicants must identify current partnerships and describe their plan for maintaining these partnerships. Applicants also must detail their strategy for expanding to other agencies inside and outside the state workforce system. Applicants must identify the specific agency(ies), provide a reference for their authority, and document their willingness to provide regular access to their data.

Documentation of proposed and/or existing partner relationships may include brief descriptions of existing or proposed MOUs, letters of support, and/or detailed plans for working relationships and shared responsibilities. In all cases, SWAs must forge partnerships to gather relevant workforce and education data.

**(e) Data Sharing Agreements (DSA)**

For each program data set included in the workforce longitudinal administrative database, applicants must submit copies of DSAs with the agencies that are responsible for the collection, retention, use, and release of the programmatic data. DSAs included as attachments to the Project Narrative will not count against the page limit.

The DSA must outline the storage, permissible use, ongoing maintenance, and disposition of the data and address the following requirements:

- How partners will exchange data;
- The purposes for which the partners will use the data;
- How and when the applicant will disseminate data;
- Which entity maintains control of the data;
- Which entity actually owns the data;

- The intended methods of ensuring confidential collection, use, and storage of the data; and
- Which entities inside and outside of the data-sharing agreements will have access to the data.

DSAs that involve the disclosure of PII from education records must:

- Designate the entity collecting the data as the authorized representative of the State educational authority to evaluate a federally or State supported education program;
- Specify: (a) the PII to be disclosed; (b) the purpose for which the PII is disclosed to the authorized representative as stated in 34 CFR 99.35; and (c) a description of the activity with sufficient specificity to make clear that the work falls within the exception of 34 CFR 99.31(a)(3), including a description of how the entity will use the PII;
- Require the authorized representative to destroy the PII when the PII is no longer needed;
- Specify the time period in which the entity must destroy the PII; and
- Establish policies and procedures, consistent with FERPA and other federal and state confidentiality and privacy provisions, to protect PII from further disclosure (except back to the disclosing entity) and unauthorized use, including limiting use of PII to only authorized representatives with legitimate interests in the evaluation of a federal or state-supported program. DSAs also should contain specific plans for secure data transfer and storage.

DSAs that involve the disclosure of UC information must:

- Include a description of the specific information to be disclosed and the purposes for which the information is sought.
- Require the recipient to use disclosed information only for purposes authorized by law and consistent with the written agreement it entered into meeting the requirements of 20 CFR 603.10.
- Include a description of the format and timing of requests for information and responses to those requests.
- Provide for paying the State UC agency for any costs of furnishing the information. Grantees may use grant funds to pay costs associated with any disclosure of UC information. However, we expect disclosures to involve to no more than an incidental amount of staff time and no more than nominal processing costs.
- Includes the following statement: “Access to information under the agreement is limited to authorized representatives for the purposes listed in this agreement and authorized representatives will only access the information for those purposes.”
- Provide for safeguarding the information disclosed, as required by section 20 CFR 603.9.
- Authorized representatives must not retain information with PII disclosed for longer than such period of time as the State or State UC agency deems appropriate on a case-by-case basis. The length of the retention period will be determined by the purpose

for the disclosure, required under 20 CFR 603.10(b)(1), and any retention laws to which the recipient is subject.

- After the disclosure has served its purpose, the recipient must dispose of the confidential information. Disposal means return of the information to the disclosing State or State UC agency or destruction of the information as directed by the State or State UC agency. Disposal includes deletion of PII by the State or State UC agency in lieu of destruction. 20 CFR 603.9(b)(1)(vi).
- Require recipients to maintain a system sufficient to allow an audit of compliance with safeguards and security requirements. 20 CFR 603.9(b)(1)(vii).
- Provision for on-site inspections of the entity holding the confidential information to check that the entity is meeting the requirements of the State's law and the agreement. 20 CFR 603.10(b)(1)(vi).

The Department encourages the production of full- or limited-scope public use data files that the SWA (or an agreed upon designated host) will host.

Grantees should consider developing DSAs with the DOL to obtain individual-level data for various programs for which DOL is the data administrator. The Department encourages the production of full- or limited-scope public use data files that will be hosted by the SWA or an agreed upon designated host. Applicants should also discuss, in detail, any potential barriers to sharing data with partner agencies, and discuss feasible proposed solutions to overcome these barriers.

**(f) State-based Wage Data Matching Systems**

Applicants must clearly describe their ability to implement or expand their state-based wage data matching infrastructure to improve performance reporting capabilities, including reporting of outcomes for eligible training providers. The description should include how this integration will support the successful implementation of the performance accountability requirement under WIOA.

**(g) Confidentiality**

Applicants must thoroughly describe the methods and procedures (e.g., through MOUs, letters of intent, and DSAs) for assuring the security and confidentiality of the collection, storage, and use of all data contained in the workforce longitudinal administrative database, including protection of PII. Applicants must describe how they will maintain confidentiality in research, evaluation, and performance management. The applicant must also explain the security responsibilities of the SWA and its partners.

Applicants must describe the confidentiality procedures that they will use to protect PII, including requirements for the actual collection of data, data transmission, maintenance of computerized data files, reporting and publication of data, and compliance with State and federal PII privacy and confidentiality statutes and regulations.



Applicants must also describe under what circumstances they will make available PII data, and to whom, and to what level of specificity, in accordance with confidentiality laws. We advise applicants to consult recommendations released from the National Institute of Standards and Technology (NIST) on the protection of PII.

Applicants must identify staff-level positions that they will grant access to confidential data and the corresponding level of access for each position. Where a SWA has partnered with a research university or other research institution, staff granted access to confidential data must observe rules set by the university's or research institution's institutional review board (IRB).

Additionally, for the purpose of this application, federal laws governing data-sharing, transfer of data, and PII confidentiality, including but not limited to requirements of FERPA, 20 U.S.C. 1232g and 34 CFR Part 99, will apply to all employees identified in the application..

**(h) Planned Reports and/or Deliverables**

Applicants must include their plans to conduct analysis and research projects to produce reports that provide information about statewide performance of the workforce system. The database should facilitate the evaluation of what works at the state, inter-state, and federal levels. The database also should make available information about participant demographics and service receipt. Applicants must describe the policy questions that they will use the longitudinal administrative database to answer. Applicants must describe how stakeholders can use the reports to improve the workforce system including providing access to demographic and service information. (Not every partner must be included in each report.) Applicant must also describe the extensive research and analysis products that will be generated beyond the regular reporting and analysis requirements.

All applicants must describe their plan to produce and disseminate workforce provider performance information and outcomes to the public in a standardized, easy to understand format (e.g., dashboard, scorecards, or integrated digital platforms), consistent with all applicable federal and state privacy laws.

**d) Organizational, Administrative, and Fiscal Capacity (Up to 12 points)**

We will score this criterion based on the extent to which the applicant clearly and accurately addresses the following factors:

- (i) Provide information on the applicant organization's current mission, structure, staffing, and relevant experience. Describe how these factors contribute to the ability of the organization to conduct the program requirements and meet program expectations. Include information about any organization(s) under contract (such as a state research university or other research entity) with the applicant that will have a significant role in implementing the project. (Up to 4 points)
- (ii) Applicants must provide a description of the following in their proposed or existing staffing structure (DO NOT include names, salaries, or any other personal information within the Project Narrative or the Abstract) (Up to 4 points):

- A Database or Project Manager must oversee the workforce longitudinal database. Such an individual must be qualified to work with large and complex longitudinal administrative databases. The applicant must clearly list the duties and responsibilities of this position and describe the prior experience that the individual possesses to fulfill them.
  - The duties and responsibilities of a data analyst(s). The position descriptions of proposed staff positions including knowledge, skills, and abilities, as well as examples of the kinds of previous experience that make a candidate for the position highly qualified to assist with planning, implementing, and conducting analysis with these workforce longitudinal databases.
  - Describe how each staff member will be expected to facilitate or contribute to the various data-sharing partnerships. Verify that state employees (with the workforce agency, other agencies, or a state research institution for example) are already subject to state and institutional laws, regulations, or procedures governing confidential data-sharing and/or transfer and be sure to include this in your description of such staff under this section.
  - Identify what entity is to be the actual employer of each proposed staff member. For those who are not direct employees of the SWA, discuss how these individuals will contribute to the project and describe what their compensation levels will be.
- (iii) Applicants must also (Up to 2 points):
- Describe the fiscal and administrative controls in place to properly manage federal funds. Include the organization's capability to sustain some or all project activities after federal financial assistance has ended.
- (iv) Applicants must also (Up to 2 points):
- Describe any data governance structure, policies and procedures in place to ensure the proper management and use of state workforce data assets. Include a description of any data governance body with authority and oversight for management and use of workforce data assets and any policies and procedures related to data management and use. Additionally, describe the agency's involvement in any multi-agency data governance structure with authority and oversight of state workforce data assets. (This is based in part on the definition in the playbook for the Federal Data Strategy).

**e) Past Performance (Up to 27 points)**

Scoring under this criterion will be based on the extent to which the following factors are clearly and accurately addressed related to WDQI components:

- (i) Full description of the lead applicant's prior experience in the development of a state workforce longitudinal administrative database, or capacity to establish or expand the state workforce longitudinal administrative database during the grant period. This could include evidence of existing partnerships, prior experience in developing or connecting longitudinal databases to scale, and developing data-sharing agreements in prior programs; (Up to 12 points)

- (ii) Demonstration that partners have experience in deploying strategies and mechanisms to either develop or further enhance the workforce longitudinal administrative database to achieve outcomes and objectives; including those proposed outlined in the applicant's project design and expected outcomes and outputs; (Up to 8 points)
- (iii) Demonstration that the lead applicant has prior experience in improving the quality and breadth of the data in workforce longitudinal administrative databases; using the longitudinal data to assess the performance of federally and state-supported education and job training programs; and providing user-friendly information to help customers select the education and training programs that best suit their needs. (Up to 7 points)

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

ETA will use the Budget and Budget Narrative 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. We will judge the reasonableness and feasibility of the budget by:

- (i) The extent the proposed expenditures will address all project requirements, and whether key personnel have adequate time devoted to the project to achieve project results. (Up to 2 points)
- (ii) The extent to which the budget narrative provides a description of costs associated with each line item on the SF-424A. It should also include a complete description of leveraged resources provided (as applicable) to support grant activities. (Up to 4 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 resumés or general letters of support. You must submit your application in one package because documents received separately will be tracked separately and will not be attached to the application for review.

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

**a) Required Attachments**

**(1) 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:

- the applicant's name;
- the project title;
- Launch point (LP1, LP2, LP3)
- the funding level requested
- a brief summarization of the proposed project including but not limited to, the scope of the project and proposed outcomes.

**b) Requested Attachments**

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

**(1) Indirect Cost Rate Agreement**

Applicants 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.

This document must be uploaded as an attachment to the application package and labeled "NICRA."

**(2) Letter of agreement, or the equivalent, between the SWA and state education agency**

Attach a signed letter of agreement, or equivalent, between the State Workforce and Education Agencies, and between the State Workforce Agency and any other agencies that are essential to the implementation of the proposal, with a commitment to share participant information and outcomes for performance accountability purposes. The letter(s) of agreement must describe the agencies' plans for linking data between the State Workforce database and the other agencies' database. An email or other form of written agreement is acceptable.

Legislation in some states provides requirements and limitations regarding data sharing between State Workforce and Education and Human Services Agencies. If there are State-legislative or other barriers to sharing data between these agencies, the letter of agreement must describe how the agencies will address and overcome these barriers.

**(3) Letter of agreement, or the equivalent, between the SWA and state research university or a research organization (as applicable)**

Attach a signed letter of agreement, or equivalent, between the SWA and state research university or organization that will manage the longitudinal administrative database. The letter of agreement must describe the roles and responsibilities between the SWA and the state research university or research organization in designing, maintaining, accessing data, and ensuring that PII is protected. An email or other form of written agreement is acceptable.

**(4) Data-Sharing Agreements**

For each program included in the workforce longitudinal database, attach copies of DSAs with the agencies that “own” the program data. The data sharing agreements must meet the requirements in IV.B.3.

**(5) Financial System Risk Assessment Information**

All applicants are requested to submit Funding Opportunity Announcement Financial System Risk 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 **April 26, 2021**. You must submit your application electronically on <https://www.grants.gov> **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 hardcopy, e-mail, telegram, or facsimile (FAX).

**1. Hardcopy Submission**

No applications submitted in hardcopy by mail or hand delivery (including overnight delivery) will be accepted for this funding opportunity.

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

Applicants submitting applications 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**

We will consider only applications successfully submitted through Grants.gov 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.

## **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 Modified Total Direct Costs 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 does not have a current negotiated (including provisional) 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 200.1 for definition), which may be used indefinitely. If chosen, this methodology once elected must be used consistently for all Federal awards until such time as the non-Federal entity chooses to negotiate for a rate, which the non-Federal entity may apply to do at any time. (See 2 CFR 200.414(f) for more information on use of the de minimis rate.)



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

None of the funds appropriated under the heading “Employment and Training” in the appropriation statute(s) may be used by a recipient or subrecipient of such funds to pay the salary and bonuses of an individual, either as direct costs or indirect costs, at a rate in excess of Executive Level II. This limitation does not apply to contractors providing goods and services as defined in the Audit Requirements of the OMB Uniform Guidance (see 2 CFR 200 Subpart F). Where states are recipients of such funds, states may establish a lower limit for salaries and bonuses of those receiving salaries and bonuses from subrecipients of such funds, taking into account factors including the relative cost of living in the state, the compensation levels for comparable state or local government employees, and the size of the organizations that administer federal programs involved including ETA programs. See Public Law 113-235, Division G, Title I, section 105, and TEGL number 05-06 for further clarification: [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2262](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2262).

## **3. Intellectual Property Rights**

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

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

Instructions for marking your work with CC BY can be found at [https://wiki.creativecommons.org/Marking\\_your\\_work\\_with\\_a\\_CC\\_license](https://wiki.creativecommons.org/Marking_your_work_with_a_CC_license).

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

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

The purpose of the CC BY licensing requirement is to ensure that materials developed with funds provided by these grants result in work that can be freely reused and improved by others. When purchasing or licensing consumable or reusable materials, the grantee is expected to

respect all applicable federal laws and regulations, including those pertaining to the copyright and accessibility provisions of the Federal Rehabilitation Act.

Separate from the CC BY license to the public, the Federal Government reserves a paid-up, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use for federal purposes (i) the copyright in all products developed under the grant, including a subaward or contract under the grant or subaward; and (ii) any rights of copyright to which the recipient, subrecipient, or a contractor purchases ownership under an award (including, but not limited to, curricula, training models, technical assistance products, and any related materials). Such uses include, but are not limited to, the right to modify and distribute such products worldwide by any means, electronically or otherwise. The grantee may not use federal funds to pay any royalty or license fee for use of a copyrighted work, or the cost of acquiring by purchase a copyright in a work, where the Department has a license or rights of free use in such work. If revenues are generated through selling products developed with grant funds, including intellectual property, DOL treats such revenues as program income. Such program income is added to the grant and must be expended for allowable grant activities.

If applicable, the following 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.”**

## **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.

Section IV.B.3 (Project Narrative) of this FOA has several “section headers” (e.g. IV.B.3.a), Statement of Need). Each of these “section headers” of the Project Narrative may include one or more “criterion,” and each “criterion” includes one or more “rating factors,” which provide detailed specifications for the content and quality of the response to that criterion. Each of the rating factors have specific point values assigned. These point values are the number of points possible for the application to earn for the rating factor.

<b>Criterion</b>	<b>Points (maximum)</b>
1. Statement of Need (See Section IV.B.3.a. Statement of Need)	12 total
2. Expected Outputs and Outcomes (See Section IV.B.3.b. Expected Outcomes and Outputs)	18 total
3. Project Design (See Section IV.B.3.c. Project Design)	25 total
4. Organizational, Administrative, and Fiscal Capacity (See Section IV.B.3.e. Organizational, Administrative, and Fiscal Capacity)	12 total
5. Past Performance – Programmatic Capability (See Section IV.B.3.f. Past Performance – Programmatic Capability)	27 total
6. Budget and Budget Justification (See Section IV.B.2. Project Budget)	6 total
<b>TOTAL</b>	<b>100</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 100 points may be awarded to an applicant, depending on the quality of the responses provided. The final scores (which may include the mathematical normalization of review panels) will serve as the primary basis for selection of applications for funding. The panel results are advisory in nature and not binding on the Grant Officer. The Grant Officer reserves the right to make selections based solely on the final scores or to take into consideration other relevant factors when applicable. The Grant Officer plans to prioritize selection of LP2 applications. The Grant Officer may also consider other relevant factors, such as the geographic distribution of funds. 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.

**U.S. DEPARTMENT OF LABOR -EMPLOYMENT AND TRAINING ADMINISTRATION  
(ETA)  
FUNDING OPPORTUNITY ANNOUNCEMENT: FINANCIAL SYSTEM RISK  
ASSESSMENT**

SECTION A: PURPOSE			
<p>The financial responsibility of grantees must be such that the grantee can properly discharge the public trust which accompanies the authority to expend public funds. Adequate administrative and financial systems including the accounting systems should meet the following criteria as contained in 2 CFR 200 and 2 CFR 2900.</p> <p>(1) Accounting records should provide information needed to adequately identify the receipt of funds under each grant awarded and the expenditure of funds for each grant.</p> <p>(2) Entries in accounting records should refer to subsidiary records and/or documentation which support the entry and which can be readily located.</p> <p>(3) The accounting system should provide accurate and current financial reporting information.</p> <p>(4) The accounting system should be integrated with an adequate system of internal controls to safeguard the funds and assets covered, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed management policies.</p>			
SECTION B: GENERAL			
1. Complete the following items:			
a. When was the organization founded/incorporated ( <i>month, day, year</i> )	b. Principal officers <span style="float: right;">Titles</span>		
c. Employer Identification Number:			
d. Number of Employees Full Time:                      Part Time:			
2. Is the organization or institution affiliated with any other organization: Yes                      No If yes, please provide details as to the nature of the company (for profit, nonprofit, LLC, etc) and if it provides services or products to the organization in relation to this grant.			3. Total Sales/Revenues in most recent accounting period. ( <i>12 months</i> ) \$
SECTION C: ACCOUNTING SYSTEM			
1. Has any Government Agency rendered an official written opinion concerning the adequacy of the accounting system for the collection, identification and allocation of costs under Federal contracts/grants?    Yes                      No			
a. If yes, provide name, and address of Agency performing review:		b. Attach a copy of the latest review and any subsequent correspondence, clearance documents, etc.	
		Note: If review occurred within the past three years, omit questions 2-8 of this Section and Section D.	
2. Which of the following best describes the accounting system:		State administered	Internally Developed
		Web-based	
3. Does the accounting system identify the receipt and expenditure of program funds separately for each contract/grant?			Yes      No      Not Sure
4. Does the accounting system provide for the recording of expenditures for each grant/contract by the component project and budget cost categories shown in the approved budget?			Yes      No      Not Sure
5. Are time distribution records maintained for an employee when his/her effort can be specifically identified to a particular cost objective?			Yes      No      Not Sure

6. If the organization proposes an overhead rate, does the accounting system provide for the segregation of direct and indirect expenses?	Yes	No	Not Sure
7. Does the organization have an approved indirect cost rate or cost allocation plan?	Yes	No	Not Sure
If so, who approved it (Federal Cognizant Agency or a Pass-through Entity)? What are the effective dates?			
8. Does the accounting/financial system include budgetary controls to preclude incurring obligations in excess of:			
a. Total funds available for a grant?	Yes	No	Not Sure
b. Total funds available for a budget cost category (e.g. Personnel, Travel, etc)?	Yes	No	Not Sure
9. Does the organization or institution have an internal control structure that would provide reasonable assurance that the grant funds, assets, and systems are safeguarded?	Yes	No	Not Sure
<b>SECTION D: FINANCIAL STABILITY</b>			
1. Is there any legal matter or an ongoing financial concern that may impact the organization's ability to manage and administer the grant? Yes      No If yes, please explain briefly.			
<b>SECTION E: FINANCIAL STATEMENTS</b>			
1. Did an independent certified public accountant (CPA) ever examine the financial statements?	Yes	No	
2. If an independent CPA review was performed please attach a copy of their latest report and any management letters issued. Enclosed      N / A			
3. If an independent CPA was engaged to perform a review and no report was issued, please provide details and an explanation below:			
<b>SECTION F: ADDITIONAL INFORMATION</b>			
1. Use this space for any additional information ( <i>indicate section and item numbers if a continuation</i> )			

## **VI. AWARD ADMINISTRATION INFORMATION**

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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. All recipients must comply with the applicable provisions of the Workforce Innovation and Opportunity Act (WIOA), Public Law No. 113-328, 128 Stat. 1425 (codified as amended at 29 U.S.C. 3101 et. seq.) and the applicable provisions of the regulations at 20 CFR Part 675 et. seq. Note that 20 CFR Part 683 (Administrative Provisions) allows unsuccessful applicants to file administrative appeals.
- 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. As stated in 29 CFR 2.32(a), religious organizations are eligible on the same basis as any other organization, to seek DOL support or participate in DOL programs for which they are otherwise eligible. 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 entities' previous tax year; and
- Federal awards, if the required reporting would disclose classified information.

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

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

By submitting a grant application, you agree to take all necessary steps to protect such confidentiality by complying with the following provisions that are applicable in governing 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 there are civil and criminal sanctions for noncompliance with such safeguards that are contained in federal and state laws.
- vii. You must have policies and procedures in place under which your employees and other personnel, before being granted access to PII, acknowledge their understanding of the confidential nature of the data and the safeguards with which they must comply in their handling of such data, as well as the fact that they may be liable to civil and criminal sanctions for improper disclosure.
- viii. You must not extract information from data supplied by ETA for any purpose not stated in the grant agreement.
- ix. Access to any PII created by the ETA grant must be restricted to only those employees of the grant recipient who need it in their official capacity to perform duties in connection with the scope of work in the grant agreement.
- x. All PII data must be processed in a manner that will protect the confidentiality of the records/documents and is designed to prevent unauthorized persons from retrieving such records by computer, remote terminal, or any other means. Data may be downloaded to, or maintained on, mobile or portable devices only if the data are encrypted using NIST validated software products based on FIPS 140-2 encryption. In addition, wage data may be accessed only from secure locations.
- xi. PII data obtained by the recipient through a request from ETA must not be disclosed to anyone but the individual requestor, except as permitted by the Grant Officer or by court order.
- xii. You must permit ETA to make onsite inspections during regular business hours for the purpose of conducting audits and/or conducting other investigations to assure that you are complying with the confidentiality requirements described above. In accordance with this responsibility, you must make records applicable to this Agreement available to authorized persons for the purpose of inspection, review, and/or audit.
- xiii. You must retain data received from ETA only for the period of time required to use it for assessment and other purposes, or to satisfy applicable federal records retention requirements, if any. Thereafter, you agree that all data will be destroyed, including the degaussing of magnetic tape files and deletion of electronic data.

**e) Record Retention**

You must follow federal guidelines on record retention, which require that you maintain all records pertaining to grant activities for a period of at least three years from the date of submission of the final expenditure report. See 2 CFR 200.334-.338 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 200.331-.333 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.

**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. Quarterly Performance Reports**

The grantee must submit a quarterly performance report within 45 days after the end of each calendar-year quarter. The report must include quarterly information on interim indicators and performance goals. 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 performance. Submission requirements will be provided to grantees upon award. We will also provide you with guidance about the data and other information that is required to be collected and reported on either a regular basis or special request basis.

### **3. Quarterly Narrative Performance Reports**

In addition to the Quarterly Performance Report, the grantee 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.

## **VII. AGENCY CONTACTS**

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For further information about this FOA, please contact Anu Mathew, Grants Management Specialist, Office of Grants Management, at (202) 693-3254. Applicants should e-mail all technical questions to [mathew.anu@dol.gov](mailto:mathew.anu@dol.gov) and must specifically reference FOA-ETA 21-05, 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 <https://grantsapplicationandmanagement.workforcegps.org/> 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.

## **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 ONLY COMMENTS ABOUT THE BURDEN CAUSED BY THE COLLECTION OF  
INFORMATION TO THIS ADDRESS. SEND YOUR GRANT APPLICATION TO THE  
SPONSORING AGENCY AS SPECIFIED EARLIER IN THIS ANNOUNCEMENT.

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

Signed March 22, 2021, in Washington, D.C. by:

**Brinda Ruggles**

Grant Officer, Employment and Training Administration