

U.S. DEPARTMENT OF LABOR
Employment and Training Administration

NOTICE OF AVAILABILITY OF FUNDS AND FUNDING OPPORTUNITY

ANNOUNCEMENT FOR: Workforce Opportunity for Rural Communities (WORC): A Grant Initiative for the Appalachian and Delta Regions

ANNOUNCEMENT TYPE: Initial

FUNDING OPPORTUNITY NUMBER: FOA-ETA-22-13

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER: 17.280

KEY DATES: *The closing date for receipt of applications under this Announcement is 07/08/2022. We must receive applications no later than 11:59 pm Eastern Time.*

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.


Signature

April 27, 2022
Date

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EXECUTIVE SUMMARY

The Employment and Training Administration (ETA), U.S. Department of Labor (DOL, or the Department, or we), announces the availability of approximately \$34,200,000 in grant funds authorized by the Workforce Innovation and Opportunity Act (WIOA) for the fourth round of Workforce Opportunity for Rural Communities (WORC) Initiative demonstration grants.

The funding, as described in the Consolidated Appropriations Act, 2021 (Pub. L. 116-260), will build on previous rounds of WORC grants and fund projects supporting rural communities in aligning workforce development efforts with economic development plans, serving the following areas hard-hit by economic transition and recovering slowly:

- The Appalachian region, as defined in 40 U.S.C. 14102(a)(1), and
- The Lower Mississippi Delta (Delta) region, as defined in 7 U.S.C. 2009aa(2).

The purpose of this grant opportunity is to create economic mobility, address historic inequities for marginalized communities of color and other underserved and underrepresented communities, and produce high-quality employment for workers who reside in the Appalachian and Delta regions, enabling them to remain and thrive in these communities. The WORC Initiative provides funding to eligible applicants proposing to meet this goal with a project addressing the employment and training needs of the local and regional workforce, created in collaboration with community partners and aligned with existing economic and workforce development plans and strategies.

Successful applicants will demonstrate clear strategies to provide needed career, training, and support services to eligible individuals in counties, parishes, or areas currently underserved by other resources, so they may secure good jobs in stable, high-demand occupations. Eligible individuals served under this grant include dislocated workers, new entrants to the workforce, and incumbent workers.

Successful applicants will further propose strategies to achieve economic opportunity and address historical inequities affecting marginalized individuals and communities, especially in Energy Communities (as defined in Section IV.B.3(a)). Such strategies should include the following:

- comprehensively and intentionally address and promote racial equity through recruitment strategies, service design, implementation, and support services that aim to provide equitable access and outcomes to communities of color, immigrants, and other marginalized groups; include partnerships with a range of organizations that support the applicant's ability to reach out to and deliver equitable services to marginalized groups; or improve data collection and analysis that allows the applicant to disaggregate program outcomes by race, ethnicity, gender, disability, and income in order to improve performance outcomes for marginalized groups;
- endeavor to ensure that grant participants achieve high-quality employment outcomes;

- develop and maintain meaningful partnerships with community residents, stakeholders, and experts in designing, implementing, and evaluating the proposed project;
- support eligible individuals impacted by substance use disorder; or
- address the transformation in energy production by including in the service area Energy Communities that currently or historically have had a high concentration of employment in energy extraction and related industries.

Successful applicants will demonstrate collaboration with the Appalachian Regional Commission (ARC) and the Delta Regional Authority (DRA), and clearly identify coordinated strategies to provide workforce services in these communities. To this end, ARC and DRA will provide technical assistance to prospective applicants in their respective regions, as well as provide assistance and support to grantees across the life of the initiative, including through sharing of promising practices, curricula and resources developed by existing grantees. Potential applicants are encouraged to visit www.arc.gov or www.dra.gov for more information, including dates and locations for pre-application technical assistance meetings.

I. FUNDING OPPORTUNITY DESCRIPTION

A. PROGRAM PURPOSE

This announcement solicits applications for the WORC Initiative for grants serving the Appalachian and Delta regions.

The purpose of this program is to **create economic mobility, address historic inequities for marginalized communities of color and other underserved and underrepresented communities and produce high-quality employment for workers in impacted ARC and DRA regions, enabling them to remain and thrive in these communities.** The WORC Initiative is designed to address persistent economic distress by aligning community-led economic and workforce development strategies and activities to ensure long-term economic resilience and enable dislocated and other workers in the regions to succeed in current and future job opportunities.

Successful applicants must demonstrate coordinated strategies in the ARC and DRA regions and help address workforce training and employment needs to help achieve long-term economic success. Successful applications will propose projects that demonstrate clear and consistent strategies, activities, and partnerships designed to achieve the purpose of the initiative.

Please note that for projects proposing equipment purchases or capital improvement activities, applicants must clearly address how these proposed expenditures will facilitate the WORC purpose and explain how these expenditures will assist in the sustainability of the WORC grants through successful employment and training activities.

B. PROGRAM AUTHORITY

WIOA sec. 169(c), as well as Division H of the Consolidated Appropriations Act, 2021 (Pub. L. 116-260, Div. H), authorizes this program.

II. AWARD INFORMATION

A. AWARD TYPE AND AMOUNT

Funding will be provided in the form of a grant.

We expect availability of approximately \$34.2 million to fund approximately 30 grants. You may apply for a minimum award of \$150,000 and a ceiling amount of up to \$1,500,000. 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.

B. PERIOD OF PERFORMANCE

The period of performance is 36 months with an anticipated start date of 09/15/2022. This performance period includes all necessary implementation and start-up activities.

The period of performance end date is the quarter ending 9/30/2025.

III. ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS

The following organizations are eligible to apply:

- State governments
- County governments
- City or township governments
- State or Local Workforce Development Boards
- Special district governments
- Independent school districts
- Public and State controlled institutions of higher education
- Native American tribal governments (Federally recognized)
- Public housing authorities/Indian housing authorities
- Native American tribal organizations (other than Federally recognized tribal governments)
- Labor organizations or labor-management partnerships
- Nonprofits having a 501(c)(3) status with the IRS, other than institutions of higher education
- Nonprofits without 501(c)(3) status with the IRS, other than institutions of higher education
- Private institutions of higher education
- Hispanic-serving institutions
- Historically Black Colleges and Universities (HBCUs)
- Tribally Controlled Colleges and Universities (TCCUs)

Among eligible applicants listed above, an applicant must include the following three types of partner entities:

- at least two employers/industry representatives, particularly those employers that offer jobs with family-sustaining wages, benefits, opportunities for advancement, and worker voice;

- at least one State or Local Workforce Development Board, American Job Center operator or partner program, or other training provider, or similar entity (except where the applicant is itself one of these organizations; an applicant that is a State or Local Workforce Board, American Job Center operator or partner program, or other training provider must provide documentation of its status but is not required to partner with an additional workforce entity); and
- at least one organization representing the target community(ies) covered by the proposed project, (except where the applicant is itself one of these organizations; an applicant which is itself a community organization must provide documentation of its work in the community and is not required to partner with an additional community organization), to ensure that local participation and input are an integral part of the planning and execution of the grant.

Applicants also are encouraged to partner with other appropriate organizations serving the economic, workforce, and other needs of the community(ies) the application proposes to serve. These other organizations may include unions; community- and faith-based organizations; human services agencies; academic institutions such as local school systems, universities, and community colleges; or other organizations providing job training. Such partnerships expand project capacity to reach and serve grant participants by leveraging and building upon existing community efforts, resources, and networks to benefit workers and address employment and training needs. Partnerships also help to sustain the delivery of effective career and training services to address workforce needs and to build workforce development infrastructure and capacity in the Appalachian and Delta regions.

Applicants are also required to demonstrate that they will only enroll eligible participants who live in the Appalachian or Delta regions. Applicants may train eligible participants for jobs that are located outside of either of the regions, including remote work, so long as the applicant clearly demonstrates that employment in these occupations will not require participants to relocate outside the region. Such jobs must clearly align with the overall intent of the grant application and the statement of need.

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.

Application Requirement	Instructions	Complete?
The deadline submission requirements are met.	Section IV.C	
The applicant eligibility requirements are met.	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	
SAM Registration is current and reflects Applicant Information identified on SF-424, lines 8.a-d.	Section IV.B.1	
SF-424, Application for Federal Assistance is submitted.	Section IV.B.1	
The SF-424 includes a federal funds request within the range of \$150,000 to \$1,500,000, on line 18.a, Estimated Funding (\$), Federal.	Section II.A	
SF-424 includes designation of ARC or DRA Region, the primary Region under with the application should be considered, on line 15, Descriptive Title of Applicant's Project.	Section IV.B.4.a	
SF-424 includes a DUNS Number for the Applicant identified on SF-424.	Section IV.B.1	
SF-424A, Budget Information Form is submitted.	Section IV.B.2	
Budget Narrative is submitted.	Section IV.B.2	
Project Narrative is submitted.	Section IV.B.3	

The applicant must include the federal funding request within the range of \$150,000 to \$1,500,000, on line 18.a on the SF-424. Amounts included on separate lines or forms will not be considered.

The applicant must include a point of contact for the project (other than the Authorized Representative) on line 8f on the SF-424.

The applicant must also include a "regional designation" on line 15 of the SF-424. This designation identifies the region, either the Appalachian or Delta, with which the proposed project aligns. If the project area covers counties/parishes or communities located within both the Appalachian and Delta regions, the applicant must select just one region--either the Appalachian region *or* the Delta region--as applications will be reviewed and funded based upon these regional designations.

2. Number of Applications Applicants May Submit

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

3. Eligible Participants

a. Participants Eligible to Receive Training

The intent of this FOA is to fund projects that create economic mobility, address historic inequities for marginalized communities of color and other underserved and underrepresented communities, and produce high-quality employment for eligible workers who live in impacted ARC and DRA regions, enabling them to remain and thrive in these communities. This may be achieved through grant projects providing or facilitating the delivery of employment and training services to help eligible individuals pursue or advance in full-time employment aligned with community- or regionally defined priorities.

Applicants must propose a project that serves workers in one or more of the following three targeted categories: new entrants to the workforce, dislocated workers, and/or incumbent workers. The definitions for each category are as follows:

New Entrants to the Workforce: For the purposes of this FOA, the category of “new entrants to the workforce” refers to those who have never worked before or who have been out of the workforce for a long enough time to make it as if they are entering the workforce for the first time. For example, this may include, but is not limited to, the long-term unemployed and formerly incarcerated individuals. Also eligible, consistent with federal and state wage and employment laws, are youth who are enrolled in high school and are currently or will be eligible to be employed before or within six months after the end of the grant lifecycle, and youth who have dropped out of school and are seeking their first full-time job.

Dislocated Workers: For the purposes of this FOA, this term refers to individuals who were terminated or laid-off or have received a notice of termination or layoff from employment; or were self-employed but are now unemployed.

Incumbent Workers: For the purposes of this FOA, this term refers to individuals who are employed but need employment and training services to secure full-time employment, advance in their careers, or retain their current occupations. This includes workers who are paid low- and medium-wages who would benefit from upgrading their skills to retain employment or advance in their careers, and workers who are currently working part-time.

Within these categories, applicants may serve a wide range of individuals, including high school or postsecondary students, individuals requiring adult basic and other education programs, individuals with disabilities, veterans, individuals with Limited English Proficiency, and individuals impacted by substance misuse. Applicants are encouraged to prioritize outreach and recruitment among people and communities who have historically experienced systemic and programmatic inequities in employment and economic outcomes, including but not limited to

people of color; immigrants and refugees; individuals with disabilities; individuals who were formerly incarcerated; and lesbian, gay, bisexual, transgender, queer (LGBTQ+) individuals.

b. Veterans' Priority for Participants

38 U.S.C. 4215 requires grantees to provide priority of service to veterans and spouses of certain veterans for the receipt of employment, training, and placement services in any job training program directly funded, in whole or in part, by DOL. The regulations implementing this priority of service are at 20 CFR Part 1010. In circumstances where a grant recipient must choose between two qualified candidates for a service, one of whom is a veteran or eligible spouse, the veterans' priority of service provisions require that the grant recipient give the veteran or eligible spouse priority of service by first providing him or her that service. To obtain priority of service, a veteran or spouse must meet the program's eligibility requirements. Grantees must comply with DOL guidance on veterans' priority. ETA's Training and Employment Guidance Letter (TEGL) No. 10-09 (issued November 10, 2009) provides guidance on implementing priority of service for veterans and eligible spouses in all qualified job training programs funded in whole or in part by DOL. TEGL No. 10-09 is available at https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2816.

The priority for veterans and their spouses is a requirement that applies when enrolling participants into an ETA-funded grant, and applies to all awarded grants. It is not a scoring criterion for this FOA.

While this grant does not require applicants to provide a priority of service to low-income individuals as required in the WIOA Adult program, the WORC Initiative grants are intended to support participants with barriers to employment, and such participants should be targeted for inclusion in program activities as appropriate.

4. Allowable Activities

Applicants may propose projects that include any of the following types of activities:

a. Training and Work-Based Learning Models

Workforce training strategies must align with the target community's or region's strategic plan or economic development priorities. Some of the allowable training and learning approaches include, but are not limited to:

- work-based learning such as Registered Apprenticeships, customized training programs, incumbent worker training, on-the-job training, internships, or other work experiences; or
- traditional classroom or virtual training.

These may occur before or after layoff, in order to help facilitate reemployment.

b. Other Employment-Related Activities

Allowable employment-related activities include, but are not limited to:

- in-depth participant assessment and evaluation to identify employment barriers and develop individual employment plans;
- career planning including using labor market information to help participants select training and careers that lead to family-sustaining wages and benefits, job coaching, and job matching services; and
- employability skills training.

c. Innovative Service Delivery Strategies

WORC Initiative projects may support innovative service delivery strategies that address economic and workforce-related challenges. Such innovations might include application of new business models, including bringing together workers, labor, employers and training providers to address workforce issues, new products, services, technology, or capital improvements/equipment. A capital improvement/equipment innovation for these regions might include adapting spaces previously unusable for training, e.g., the purchase of an HVAC training unit used to provide participants with hands-on experience with the heating, refrigeration and air conditioning industries as part of a broader regional service delivery strategy.

Online and technology-enabled (including hybrid, or a blend of online and classroom instruction) learning strategies provide participants an opportunity to balance the competing demands of work and family with acquiring new knowledge and skills at a time, place, and/or pace that are convenient for them. The use of technology to deliver training online, modularize content delivery and accelerate course delivery (among other strategies) can help increase access to education and training programs, especially in rural areas. In addition, new and emergent technologies, such as interactive simulations, personalized and virtual instruction, educational gaming, and digital tutors, offer the opportunity to improve the quality of online instruction, especially in ways that can increase opportunities for learning, support student success, and connect students with in-demand job opportunities.

In light of broad shifts in the economy to more virtual and hybrid learning and working, applicants may choose to focus their efforts towards building their capacity to facilitate online conversion and to become fully operational within a context of distance learning, or to address other unique challenges in addressing the needs of dislocated workers and other workers in the Appalachian and Delta regions in communities covered by the proposed grant.

Such approaches might include, but are not limited to:

- expanding broadband access to provide distance learning;
- supporting digital literacy among program participants;
- developing or enhancing partnerships with a broad range of regional institutions, including libraries, community colleges, community organizations, and others, to collaborate in needs identification and implementation of new strategies;
- increasing availability of mobile service units, such as custom vehicles equipped with technology, and other technology-enabled solutions to flexibly deliver training, outreach, and/or employment in remote areas;

- developing or expanding use of online or hybrid online and in-person training, employment services, and work experiences;
- using software or hardware tools to implement virtual student services to support career and academic planning; or
- deploying technology intensively to create competency-based, self-paced, skills-based learning, and making interactive resources, such as simulations and videos, widely accessible.

d. Participant Support Services

Support services are necessary activities or resources that enable eligible individuals to participate in career and training services or other grant activities, or to gain or retain employment. Grant recipients are encouraged to offer necessary support services to dislocated workers and other eligible workers directly or through partner organizations.

Generally, customized support service strategies meet the specific needs of a participant and can ensure participants are able to complete a program or services, particularly longer-term training which prepares participants for more economic mobility. Such support services may include, but are not limited to:

- assistance with transportation, child or dependent care, or housing;
- counseling or other mental health services;
- provision of stipends, wages, or other incentives to ensure select participants are able to participate in the program or to obtain/retain employment;
- linkages to community services, including services offered by partner organizations designed to support grant participants;
- assistance with uniforms or other appropriate work attire and work-related tools, including such items as eye glasses and protective eye gear;
- assistance with laptops or tablets, books, fees, school supplies, and other necessary items for students enrolled in training, work-based learning, or other elements of the proposed grant project;
- payments and fees for employment and training-related applications, tests, and certifications;
- workforce strategies addressing substance misuse such as, but not limited to, recovery coaches, job/career coaches, and health navigator services; and
- training site and/or workplace substance use testing and/or drug screening for trainees, when required by the career or workplace which the individual is in training to enter.

Note: Selected applicants proposing to include stipends or wages for participants exceeding 20 percent of the total grant award must receive prior approval from the grant officer.

e. Employer Support Services

All applicants are required to demonstrate partnership with at least two employers or industry representatives as part of this grant. In addition, providing direct services to employers as part of

grant activities is also an important dimension of this grant. Applicants are encouraged to provide services to local employers, particularly small and medium-sized employers, to help them in a wide range of areas including improving job quality such as adopting more competitive wage scales, establishing more predictable work schedules, examining how benefits may be offered, creating opportunities for advancement, advising employers on how to adhere to nondiscrimination laws, and adopting practices that ensure workers know their rights and that incorporate worker voice. Applicants are also encouraged to provide services to employers that already offer quality jobs, including those with family-sustaining wages, benefits, opportunities for advancement, and worker voice, to enhance their economic success, growth, or sustainability. This can most easily be accomplished by coordinating with local business services teams at American Job Centers or other local business and economic development partners. Efforts may focus on individual employers or have an industry-based approach for clusters or sectors, and may include activities such as: providing technical assistance materials to support job quality or ensure compliance with nondiscrimination laws; designing/disseminating tool kits and training for employers to develop standards/processes for SUD recovery-friendly workplaces or to implement job accommodations to meet the needs of current or future employees; establishing peer coaching, counseling, and worksite mentoring programs; creating, expanding, or enhancing Registered Apprenticeships, internships, and other work experiences, including subsidies of apprentice and intern wages; creating customized training programs; or establishing school-to-work activities.

In addition to meeting the workforce needs of these employers, applicants are encouraged to consider, and incorporate where feasible, other roles that employers may play in grant activities, which might include:

- supporting strategic planning activities;
- advising on defining high-quality jobs for the area, and providing input on the skills and experiences needed for employment or advancement in such jobs;
- participating in career exploration activities for youth or new entrants;
- participating in or serving as a convener for sector strategies planning;
- serving as host sites for internships and work experience, or
- importantly, committing to hire participants in upon program completion.

f. Strategic Planning for Economic Transformation

WORC Initiative success may be increased through alignment of community-focused workforce and economic development plans and strategies, and such activities are an encouraged optional activity within these grants. Strategic planning activities designed to promote and support economic transformation help ensure that project outcomes will lead to sustainable employment opportunities for residents in the communities covered by the grant.

Strategic plans may assess the economic landscape to identify new or growing employment opportunities in high-quality jobs, including those which offer family-sustaining wages, benefits, career advancement opportunities and worker voice. Strategic planning processes also involve convening partnerships and assets from across the economic and social spectrum of the community(ies) covered by a proposed project, and may include the workforce investment

system, industry, community colleges, labor unions and labor-management partnerships, nonprofit community organizations and other stakeholders, and align and integrate them to prepare for and respond to economic shocks, such as plant downsizing or closing. These activities may also support the development of new strategies or updates and expansion of preexisting plans and strategies, or to help create or enhance a vision for a better economic future. Depending on the specific needs, strategic planning might help a community diversify its industries to not be dependent on industries in decline. Ensuring community involvement in strategic planning is a critically important way to create a more inclusive, equitable future for all residents. WORC grant funds may be an important driver of strategic planning both to support the success of the specific project but also to catalyze long-term, broad-based economic transformation.

Strategic planning activities that WORC applicants may propose include, but are not limited to:

- **Convening Community Partners and Leaders:** Organizing a comprehensive group of leaders and partners representing major economic, workforce, education and other community assets and organizations, including companies, research institutions, investors, philanthropists, and labor unions and other worker organizations, and workers, to ensure that all relevant stakeholders have a voice in the project's success. Such a group should include WORC grant partners as well as other organizations from the communities involved. To ensure that workers have a voice in the future of the region, impacted workers and organizations representing impacted workers in the grant area should be encouraged and supported to actively participate.
- **Developing a Vision:** Efforts to achieve sustainable, equitable economic transformation are more successful when they feature a community-led approach that develops a vision for the future. Strategic planning activities under the WORC Initiative may include those designed to identify, map, and prioritize a vision for the future.
- **Conducting Data Analysis:** Good strategic planning requires good information. To ensure that planning approaches are evidence-based, WORC funds may be used to obtain and analyze economic and workforce information, carry out asset mapping, conduct an objective analysis of strengths, weaknesses, opportunities and threats, and more;
- **Aligning Education, Economic, and Workforce Development Strategies with Evidence and Opportunities:** WORC funds may be used to identify and map the necessary skills and competencies for in-demand, high-quality jobs as well as potential new jobs of the future, working with employers to adjust recruitment and selection processes to increase consideration and inclusion of local talent, and organizing education, workforce development, and economic development to focus on creating these jobs, promoting job quality, and preparing a skilled workforce to ensure the success of the plans; and
- **Identifying Resources and Sustainability:** Developing a financial plan consisting of measurable benchmarks detailing how the grant funding will be allocated/spent, or identifying or securing additional resources needed to ensure that transformational activities are sustainable beyond the life and scope of the WORC Grants.

Applicants may propose to expend no more than \$100,000 of a grant award on planning activities that support a broader implementation plan for a WORC grant.

g. Purchasing Equipment and Making Renovations

Capital expenditures, such as the purchase of equipment or capital improvements, are allowable with prior approval from the Grant Officer, provided they *directly facilitate or address the employment and training needs of dislocated workers or other workers in the communities served by the proposed project*. These expenditures must follow the Uniform Administrative Requirements, Cost Principles, and Audit Requirements at 2 CFR Part 200, and the DOL supplemental requirements at 2 CFR Part 2900. For capital expenditures and equipment, see 2 CFR 200.439. Following a WORC grant award, a grantee must seek and receive written ETA approval in a subsequent modification request for all equipment purchases and renovations. The modification must demonstrate how these purchases and renovations will assist in the successful employment and training of participants. Award of a grant under this FOA does not constitute prior written approval of equipment purchase or renovations mentioned in the initial application.

Possible allowable capital improvements must be designed to address the employment and training needs of dislocated workers and other workers in the area covered by the grant and include, but are not limited to, improvements to buildings or equipment that would materially increase their value or useful life, including the cost to put the asset or improvement in place. For buildings, this could include the cost of upgrading, installing, or retrofitting a building's internal systems or utilities (e.g., electrical, plumbing, HVAC, communications) to accommodate training courses or equipment. This could also include structural improvements or upgrades, including the relocation, modification, retrofitting, or enhancement of interior load-bearing walls or interior floors to accommodate training courses or equipment. This could also include implementing and/or enhancing the information technology infrastructure used to provide education and training and related activities.

Minor alterations, renovations, or rearrangements of buildings, facilities, or equipment, if specific to the project, are also allowable with prior written approval from the Grant Officer, provided they facilitate or address the employment and training needs of dislocated workers or other workers in the Appalachian and Delta regions. Minor alterations, renovations, or rearrangements may include the activities and associated costs of relocating, modifying, replacing, or adding items (e.g. switches and outlets) related to internal environments (e.g. temperature, humidity, ventilation, and acoustics), and installation of fixed equipment (including fume hoods and audio/visual equipment).

Allowable costs also include leasing space that is used for the grant participant education, training, and related activities, as well as the altering or renovating of such facilities (in accordance with the Federal Cost Principles at 2 CFR Part 200, Subpart E and the DOL supplemental requirements at 2 CFR Part 2900, Subpart E). Allowable renovations include those related to federal architectural accessibility obligations requiring facilities to be readily accessible to, and usable by, qualified individuals with disabilities.

Following grant award, grantees must submit a subsequent grant modification request to obtain written Grant Officer approval before acquiring equipment or proceeding with proposed capital expenditures, renovation, or alteration of facilities. The Grant Officer must determine that all proposed equipment, capital improvements, and/or alterations and renovation are:

1. allocable, necessary, and reasonable;
2. tied to specific grant-related deliverables and outcomes outlined in the grantee's statement of work (SOW), including capacity-building and/or training outcomes;
3. consistent with the FOA; and
4. aligned with equipment requirements as outlined in 2 CFR Part 200. Applicants proposing in their SOW to spend grant funds on capital improvements and/or alterations and renovations must demonstrate how these expenditures will support the expansion and/or improvement of their project's education and training programs addressing the needs of dislocated workers and other needs of workers in the Appalachian and Delta regions.

Prohibited activities with regard to capital expenditures include new construction or property acquisition.

Generally, ETA encourages proposed WORC projects to limit allowable equipment purchases or renovations to no more than 50 percent of project budget. Where an applicant can successfully demonstrate that equipment purchases or renovations represent a critical component of the development of a necessary training facility or program, and other non-capital costs are supported by other federal or non-federal resources, an application may request to exceed the 50 percent threshold. In such cases, it is incumbent upon the applicant to demonstrate how use of these funds for equipment purchases or renovations will facilitate necessary workforce training or other allowable service delivery for workers. The applicant must fully develop every section of the Project Narrative, relative to the proposed project focusing on capital or equipment expenditures.

Grantees must complete all activities related to capital expenditures and other alterations within the period of performance of the grant.

IV. APPLICATION AND SUBMISSION INFORMATION

A. HOW TO OBTAIN AN APPLICATION PACKAGE

This FOA, found at www.Grants.gov and <https://www.dol.gov/agencies/eta/grants/apply/find-opportunities>, 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, 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 and its implementing regulations at 29 CFR Part 38, which 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 or status as a lawfully admitted immigrant authorized to work in the United States, or participation in any WIOA Title I—financially assisted program or activity; Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the bases of race, color, and national origin; Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities; The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs.

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

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 estimated 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 estimated 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 the cost of supplies (e.g., general office supplies, desk/chairs, laptops/printers, other specialty items) in the detailed budget per category. Except for general office supplies, 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/office-of-the-senior-procurement-executive/cost-price-determination-division>.

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 10 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 18 Points)

The Statement of Need is the foundation of the application and must clearly explain the reason(s) for the proposed project. It must also support the grant initiative's purpose of create economic mobility, address historic inequities for marginalized communities of color and other underserved and underrepresented communities and produce high-quality employment for dislocated and other workers in impacted ARC and DRA regions, enabling them to remain and thrive in these communities. Any needs included in this section must be addressed by the project activities and accounted for in the subsequent Project Description (Section IV.B.4.c), and highlighted as outcomes in the Project Results and Sustainability (Section IV.B.4.b).

The application must include information with appropriate citations for the following:

i. Description of Area to Be Served and Identified Challenges (up to 6 points)

This section on "Description of Area to Be Served and Identified Challenges" must describe the region to be served by the project and provide sufficient details and information with appropriate citations to supporting documentation used to identify the region.

Applicants must additionally describe the need for assistance, the nature and scope of challenges to overcome, and the consequences of not addressing the need. The needs described must align with the target population anticipated to be served, and must be clearly connected to the Project Design and the Project Results and Sustainability sections.

The application must provide a description of the area that will be covered in the proposed project, as well as the barriers faced by the residents, businesses and communities in addressing workforce challenges and achieving sustained economic success.

To receive full points, this description must also include:

1. Documented challenges facing the communities to be covered by the grant and dislocated workers and other workers residing within them (ex. unemployment rate, substance misuse rates, educational attainment, or other factors the applicant deems relevant to demonstrating such challenges). And,
2. A description of the applicant's definition of "high-quality employment outcomes" that the proposed project will endeavor to provide to participants. High-quality employment outcomes are likely to vary among projects based on a number of criteria. Some criteria that applicants may include in this description include:
 - employment that offers a living wage, as defined by geographic-specific economic indicators, including housing, food, transportation, and utility costs;
 - employment that offers benefits (e.g., health care, pension, etc);
 - employment that includes career ladders or opportunities for advancement and wage growth;
 - employment that addresses specific regional needs or projected growth, such as renewable or clean energy sector employment;
 - employment where hiring and promotion potential are transparent and equitable, and where workers have a voice in the operations of the organization;
 - employment that is free from discrimination and harassment and that promotes equal opportunity and inclusion;
 - employment where workers have a voice and are able to exercise their legal rights to organize and form or join unions;
 - or any other factors that the applicant deems appropriate.

(1) Demonstration of Inclusion of Energy Community(ies) (up to 4 points)

For purposes of this FOA, energy communities are those that either:

- have a location quotient for energy extraction or related industries (see list of such industries below) of 10 or higher demonstrated by data from the Quarterly Census of Employment and Wages published by the Bureau of Labor Statistics, using the latest data available at the time of FOA publication: 2021 second quarter data; or
- have historically had a high concentration of employment in energy extraction or related industries but where economic transition has substantially reduced or eliminated employment in these industries to a location quotient below 10, and new employment opportunities are limited. In such cases applicants should include appropriate verifiable data such as historical location quotient information and layoff data, changes in labor market information, or other supporting information.

For this FOA, “energy extraction or related industries” includes the following 2017 North American Industry Classification System (NAICS) codes:

- 2111 – Oil and Gas Extraction
- 2121 – Coal Mining
- 213111 – Drilling Oil and Gas Wells
- 213112 – Support Activities for Oil and Gas Operations
- 213113 – Support Activities for Coal Mining
- 221112 – Electric power generation, fossil fuel (e.g., coal, oil, gas)

To receive full points, the application must identify at least one county/parish and the corresponding information listed in the examples below:

- County/Parish and State
- Energy-related NAICS code(s)
- Location Quotient and citation
- If the location quotient is currently below 10, include appropriate verifiable data such historical location quotient information, recent layoff data, changes in labor market information, or other supporting information & citations

This information may be provided in whatever format the applicant prefers, including in a table.

(2) Demonstration of Inclusion of Persistent Poverty Community(ies) (up to 2 points)

Applications must include at least one ARC or DRA community that meets the criteria for persistent poverty as defined by the US Department of Agriculture’s Economic Research Service and listed in Appendix B. To receive full points, the application must include and identify:

- at least one county or parish meeting the definition of Persistent Poverty
- the state(s) in which the relevant counties or parishes are located.

See Appendix B for a list of all ARC and DRA counties that meet the definition of persistent poverty.

NOTE: Applicants are expected to provide sufficient details and citations to demonstrate the information provided above and attribute it to a verifiable source; however, applicants are not required to submit additional documentation.

ii. Description of Workforce Needs (up to 2 points)

To demonstrate that the proposed project is designed to address the purpose of the WORC Initiative and ensure that participants are able to obtain high-quality employment outcomes, applicants must include appropriate information on the current or expected workforce needs of employers or industries in the communities covered by the application that the proposed project activities will be designed to address. The Project Design section of the narrative must align

with the demonstrated workforce needs.

iii. Target Population (up to 4 points)

To receive full points, applicants must identify and define the population(s) of eligible participants intended to be served through the grant, including all appropriate documentation and any supporting information on why this population was selected. This section must also identify and define historically-marginalized individuals or communities (which may include communities of color, immigrants, limited English proficient individuals, Native American communities, individuals with disabilities, individuals who were formerly incarcerated, or other individuals or communities experiencing inequitable treatment or outcomes) to be prioritized for participation in grant activities and outcomes, describe why these individuals or communities were chosen as a focus of the project, and demonstrate how serving this population will address inequalities or other barriers resulting from historic marginalization or exclusion.

b. Project Results and Sustainability (Up to 28 Points)

Applications must clearly state expected project results that are specific, measurable, achievable, and reasonable according to the project design and timeline. Project results must include: 1) any results, including appropriate outputs and outcomes, that are achieved by the end of the grant period; 2) long-term benefits that include outcomes expected 5+ years after the end of the grant period to demonstrate sustainability; and 3) results demonstrating that the project will achieve the purpose of the WORC Initiative. All project results must clearly align with the needs, gaps, or challenges identified in the Statement of Need and the activities identified in the Project Description. All results included in the application must be consistent and logical; for example, the total number of participants receiving services should not be lower than the total number obtaining new or enhanced employment. Part of the evaluation of an application will include an assessment of the expected results, including whether the expected results are consistent and logical.

i. Expected Results (up to 10 points)

The Department strongly encourages applicants to focus on creating projects that prioritize delivering high-quality employment outcomes such as entering employment that includes family-sustaining wages, benefits, opportunities for career advancement, and opportunities for worker voice. As described in the Statement of Need section above, an applicant is expected to include a description of its definition of “high-quality employment outcomes” that the proposed project will endeavor to provide to participants. Some examples of outcomes that applicants may include in this description are: increasing employment opportunities that provide family-sustaining wages, benefits, and career ladders or opportunities for advancement and wage growth; increasing employment opportunities in the region where hiring and promotion potential are transparent and equitable, free from discrimination and where workers have a voice in the operations of the organization; building participants' skills to address specific regional needs or projected growth; and other high-quality employment outcomes that the applicant may propose.

For the WORC Initiative, expected results include both outputs (e.g., delivered products, services, trainings, or participants served) and outcomes (e.g., workforce/employer/participant accomplishments, changes, or improvements), as well as other results the applicant believes will demonstrate the success of the project, that are expected to be achieved by the end of the grant period.

Applicants may include any relevant results as part of the application. However, applicants must include at least the following results projected to be achieved by the end of the grant period:

1. the number of participants obtaining new or improved employment outcomes; and
2. the total number of participants expected to be enrolled during the grant period.

For proposals that may not have participants due to focus on capital improvements or equipment purchases, applicants must include the number of workers expected to be trained and the number expected to obtain new or improved employment outcomes that are expected to result from the capital expenditures or equipment purchases in the two years after the purchase is completed or improvements are made.

Examples of results expected to be achieved by the end of the grant lifecycle include:

Activities	Expected Results
Total participants obtaining new or enhanced employment (required result)	175 (job placements or incumbent workers entering a career pathway in jobs paying above average for the area)
1 apprenticeship program developed	100 workers/trainees awarded an industry-recognized credential or obtained increased wages after training
5 employer trainings on substance use disorder conducted	20 employers hired individuals recovering from substance abuse
Outreach to companies to support career pathways to promote opportunities for high quality employment outcomes.	5 employer partners implement career pathways programs that include wage increases.
New curriculum developed for accelerated community health worker training program	6 new trainings created in partnership with employers
Accelerated recovery support specialist training program implemented	25 individuals certified as recovery specialists

ii. Long-term Benefits (Sustainability) (up to 8 points)

Sustainability and long-term impact are critical to the success of the WORC Initiative. Applicants must clearly identify the anticipated long-term benefits for the participants, employers, and communities served by the grant, explaining how the activities and investments made under the grant will continue to benefit the workforce and the economy after the end of the project. Applicants must also briefly explain the plan to sustain the work of the project after grant funding ends.

Examples of long-term benefits include:

Long-term Project Benefits
Increased income and benefits for workers/trainees, and equitable gains for participants from different sub-communities of historically-marginalized populations, which also increases revenue (taxes) generated by counties/towns as a result of job creation and/or employment.
Increased industry/employer and labor organization participation and investment in workforce development planning, or integration of an existing labor-management training program into grant-funded activities or the public workforce system.
Decreased employee turnover rates as a result of more supportive work environments and improved awareness about substance use disorder.
Increased talent pipeline for a skilled healthcare workforce reflective of local community, enabling communities to meet their healthcare needs.
Continued expansion of Registered Apprenticeships funded by industry/employer and community partners, including coordination with local workforce development boards and American Job Centers, and employers.
Increased employment opportunities in sectors addressing clean or renewable energy development, transmission, storage, etc.
Development of new and expanded partnerships across workforce, education, labor-management partnerships, economic development and other entities to create an aligned, flexible, and streamlined state and local-driven system of workforce development services and programs that bring all partners together with a shared goal of enhancing service delivery, leveraging all available resources to help job seekers overcome barriers to employment, and achieve economic self-sufficiency and mobility for American workers and businesses.

iii. Achieving WORC Initiative Purpose (up to 8 points)

The purpose of the WORC Initiative is to: create economic mobility, address historic inequities, and produce high-quality employment outcomes for dislocated and other underserved and underrepresented workers who reside in the Appalachian and Delta regions, enabling them to remain and thrive in these communities. Applicants must demonstrate how their proposed project will produce results and benefits that will support or achieve the purpose of the WORC Initiative; applicants may include specific results along with other information to make this demonstration. To receive full points for this portion of the application, applicants must demonstrate how the successful completion of the proposed grant project will support efforts to ensure better economic, workforce and other outcomes for the marginalized population(s) that the grant expects to serve.

In addition, applicants may provide examples of how they anticipate that the activities or strategies of the grant result in outcomes that support achieving the purpose of WORC. Information in this section may include, but is not limited to:

- How the implementation of innovative, sustainable service delivery strategies will address economic and workforce-related challenges within the areas covered by the proposed project;
- How the project will adapt outreach, recruitment, services or supports for marginalized individuals or communities as identified in the statement of need;
- The project's anticipated progress in achieving the high-quality employment outcomes as defined in the statement of need;
- The value of providing or facilitating the provision of new or enhanced training, job placement and support activities to eligible participants, including those affected by substance misuse (e.g., opioids, stimulants, cocaine, and other substances) who reside in ARC and DRA regions;
- The project's anticipated success in creating sustainable economic transformation, including for communities diversifying their industry sectors away from a reliance on a single declining industry;
- The impacts of aligning and integrating workforce development activities through the WORC Initiative with existing economic development strategies;
- Examples of how the project's efforts to develop and expand partnerships, including industry partnerships that build and sustain capacity, will maximize available resources and establish community-based approaches for addressing workforce challenges and industry needs in the ARC and DRA regions; or
- The outcomes of efforts to provide or facilitate delivery of services to assist employers and industry in meeting workforce challenges and industry needs in the ARC and DRA regions.

Information included in this section should align with the expected results to be achieved during the grant period and with the long-term benefits described in this section above. Application review and scoring will include a review of consistency across these three elements.

c. Project Description (Up to 40 Points)

The project description is the heart of the project narrative. It must clearly describe how the design of the proposed project addresses the need(s) identified in Section IV.3.a. above, along with how it facilitates the purpose of the WORC Initiative to create economic mobility, address historic inequities, and produce high-quality employment outcomes for eligible residents in impacted ARC and DRA regions so that they may remain and thrive in these communities. Additionally, the project description must define the partnership(s) that will ensure the success of planned efforts.

i. Project Design (up to 30 points)

The project design narrative provides the framework for the proposed grant project by clearly aligning planned activities with the needs to be addressed and intended project results. The project design must:

- describe all planned activities and the expected implementation process;

- describe how planned activities address the needs and challenges described in the Statement of Need;
- describe how planned activities address the proposed service area's workforce demand and meet workforce needs, and overcome challenges to serve the target population, in particular individuals and communities that have been historically marginalized or other residents for whom systemic barriers have created workforce and economic inequities in their regions;
- ensure the described project activities are represented in the Project Timeline, and use this section to provide helpful details on achieving project milestones;
- ensure the described activities are noted in the budget narrative;
- explain strategies in place to keep activities on track and to achieve expected results;
- for projects that propose to primarily focus on capital improvements or equipment purchases, the applicant must fully develop the Project Design, and specifically address how the planned expenditures will benefit dislocated workers and other job seekers in the region and address the identified employment and training or other needs addressed in the Statement of Need during the period of performance; and
- for projects that propose curriculum development, the applicant must explain why the existing curricula or appropriate tools do not exist that align with, or meet the goals of, the proposed project. Applicants may propose, in consultation with the appropriate State Apprenticeship Agency or DOL's Office of Apprenticeship, as appropriate, to use grant funds to develop curricula, with supporting documentation demonstrating that such curricula does not currently exist, and must clearly indicate how this curriculum will support the project's success during the period of performance.

Grant staff or projected positions should be capable of carrying out, or designed to support, the successful execution of the proposed project; to demonstrate this, applicants must submit **work experience or position descriptions** as described in Section IV.B.4.b below.

Applicants must also meet the requirements of Section III.C.4.g. above.

ii. Project Partnerships (up to 10 points)

To ensure that the planned activities are designed to create, improve, or sustain employment opportunities in the region based upon addressing specific workforce needs in the proposed project area(s), applicants must demonstrate collaboration with a strong and diverse community-wide coalition that includes:

- at least two employers/industry representatives, particularly those employers that offer jobs with family-sustaining wages, benefits, opportunities for advancement, and worker voice; and
- at least one State or Local Workforce Development Board, American Job Center operator or partner program, or other training provider, or similar entity (except where such organization is the applicant); and
- at least one organization representing the community(ies) (except where such organization is the applicant) covered by the proposed project to ensure that local input is part of the planning and execution of the grant.

Note: For applications that include both ARC and DRA regional communities, employer/industry partners may be located within either region. It is also possible for employer/industry partners to not be located in either region; however, in such cases the application must make the case as to why these were included as partners. For example, they must be seeking skilled employees to fill positions located within a reasonable commuting distance for the area, or train for positions not requiring grant participant relocation (e.g., truck driving or remote work).

To demonstrate strong partnerships and receive full points, the application must attach letters from each of the required partners listed above. See Section IV.4.b. Evidence of Required Partners, for information on requested attachments to the application.

Additionally, for each partner entity an application must provide the following information:

- name of each partner entity;
- location/community of each partner;
- role of each partner in the project, explaining their planned activities and how it addresses the specific workforce needs identified by the employer/industry partners; and
- services and/or resources that each partner will contribute to the project in the short-term, as well as to the long-term sustainability of the project.

In addition to the three types of required partners, partnerships may include, but are not limited to:

- local and regional employer/industry networks;
- local economic development organizations;
- local governments;
- regional planning organizations;
- labor unions or labor management partnerships;
- institutions of higher education and other job training and adult education providers;
- supportive and human services providers; and
- other relevant community, economic and workforce development partners.

Applicants may present the partnership information required in any manner that best meets their needs, including in a table.

d. Organizational Capacity and Experience for Project Success (Up to 10 Points)

It is important that applicants have the expertise and experience to develop and carry out a successful project that meets the needs of their target population(s) and the communities where they live and work. Therefore, applicants must describe how their organization (which includes the program team, partners, and others as necessary) has the capacity and expertise to achieve successful outcomes for their WORC Initiative grant. Applicants may provide information they deem appropriate to demonstrate their capacity to achieve the purpose of WORC and the program design that they have proposed.

Applicants must address their prior experience or successes where applicable, and provide clear

and relevant information to support their proposal. Where an applicant does not have specific prior experience, they may provide alternative evidence that they will be able to successfully implement or achieve their programmatic plans, for elements of the FOA. Successful applicants will provide evidence of their:

- Understanding of the community(ies) to be served, and specific needs, experiences, and history of the people and the place(s);
- Background or experience to demonstrate the ability to recruit, enroll and support individuals from historically-marginalized communities as defined in the Statement of Need, and developing policies and procedures for validating participant eligibility in alignment with FOA requirements;
- Previous successes in assisting individuals in achieving high-quality employment outcomes as defined in the Statement of Need;
- Prior experiences in developing or implementing projects designed to address workforce or economic challenges that reflect the organization's ability to successfully carry out the WORC grant;
- Demonstrated ability to successfully complete projects within the timeframe and budget allotted;
- Staff skills, experience, history, knowledge, qualifications, and capabilities, or a demonstration of position descriptions, that will enable the organization to successfully implement the proposed project (including **work experience or position descriptions** as requested to be attached to an application in Section 4.b. below); and,
- Capacity, either within the organization or through external entities or partners, to accomplish required programmatic, performance and financial reporting activities.

See Section IV.4.b below for information on requested attachments to the application that will provide appropriate documentation to support this demonstration of capacity.

Note: This section and the required information is not designed to give advantage to organizations with prior experience managing Federal grants over those without such experience. Where an organization does not have prior experience, an applicant should provide clear evidence of their capacity to achieve the purpose of WORC and successfully carry out their proposed project.

e. Budget and Budget Narrative (Up to 2 Points)

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

- i. All items included in the budget and budget narrative, including personnel, equipment, and capital improvements, align with the project as described (up to 2 points)

4. Attachments to the Project Narrative

In addition to the Project Narrative, you must submit attachments. All attachments must be clearly labeled. We will exclude only those attachments listed below from the page limit. The

Budget and Budget Justification do not count against the page limit requirements for the Project Narrative.

You must not include additional materials such as 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:

i. Project Overview Information

The project overview must contain the following:

- the applicant's name;
- the project title;
- a brief summary of the proposed project including but not limited to the scope of the project and proposed outcomes;
- a description of the area to be served, including a map;
- the total number of participants projected to be enrolled **and** the number of participants projected to obtain new or enhanced employment as a result of the project;
- the funding level requested;
- a list of the counties included in the project area as well as a map of the area;
- whether one or more of the areas included in the project meet the criteria of currently or previously having a high concentration of employment in energy extraction and related industries;
- intended beneficiaries/eligible participants (e.g., dislocated workers, incumbent workers, new workforce entrants) to be trained; and
- a brief summary of subrecipients and subrecipient activities if applicable.

ii. Strategic Alignment

The attachment must include a statement of alignment with strategic plans. WORC Initiative applicants must align their proposed project with existing economic and workforce development priorities and strategies in the area covered by the grant. Applicants must briefly address that and how their proposed plan aligns with **each** of the following three plans:

First, applicants must describe the elements of the relevant *ARC or DRA Federal plan* with which the proposed project aligns.

- The ARC Federal plan: <https://www.arc.gov/about/arc2016-2020strategicplan.asp>.
- The DRA Federal plan: <https://www.dra.gov/funding-programs/strategic-economic-development-plans-by-state/>.

Second, applicants must demonstrate how their proposed project aligns with the *ARC or DRA state plan*.

- ARC State plan: <https://www.arc.gov/funding/stateplansandstrategies.asp>
- DRA State plan: <https://dra.gov/funding-programs-states-economic-development/strategic-economic-development-plans-by-state/>

And third, applicants must demonstrate how their proposed plan aligns with the “Strategic Elements” section of the WIOA State Plan (2020), which can be accessed here: <https://wioaplans.ed.gov/>.

Please note: for proposed projects that include areas in both the ARC and DRA regions, the applicant is only required to include one Federal plan and only one State plan for the designated ARC or DRA region under which the applicant is applying (see Section IV.4.a below). In addition, for projects covering more than one state, the applicant is only required to demonstrate alignment with one WIOA state plan. An applicant may, but is not required to, demonstrate alignment with each of the above plans for each state included in the application; however, doing so will not result in additional benefit to the application.

The Regional Designation and Strategic Alignment elements of the Abstract will not count towards the two page limit for the Abstract.

b. Requested Attachments

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

(1) Past Performance Documentation

This attachment must include both the Chart of Past Performance and the Grantor Verification Letter (if the chart is not signed by the Grantor).

Past performance documentation is not required for WORC Initiative applications.

These documents must be uploaded as an attachment to the application package and labeled “Past Performance.”

(2) Evidence of Required Partners

To receive full points during review, your application must demonstrate partnerships by including letters of commitment as attachments for each of the following:

- two employer/industry representatives,
- one State or Local Workforce Development Board, American Job Center operator partner program, training provider, or similar entity (except where such organization is the applicant); and
- one community-based organization (except where such organization is the applicant).

These letters should provide sufficient information to demonstrate that the partners understand and agree with their role, which should align with the roles described in the application. These letters should be labeled “Letters of Commitment.”

(3) Indirect Cost Rate Agreement

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

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

(4) 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.

(5) Project Timeline

The applicant must submit a proposed Project Timeline, which includes a brief summary of planned grant activities and the associated project milestones of the grant. The timeline must cover the entire proposed grant period of performance, which may not exceed 36 months. The Project Timeline must align with activities referenced in both the Budget and Project Narratives.

(6) Key Staff Experience and Job Descriptions

Applicants must attach existing and planned staff work experience and job descriptions for all current or planned key personnel who may staff the project. Job descriptions must be included for positions that are planned or currently unstaffed. These positions must be included in the budget narrative. See Section V.A. for specific scoring criteria related to submission of these documents.

C. SUBMISSION DATE, TIME, PROCESS AND ADDRESS

We must receive your application by 07/08/2022. You must submit your application electronically on <https://www.grants.gov> **no later than 11:59 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 11:59 p.m. Eastern Time on the closing date. We will not accept applications sent by hard-copy, 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 11:59 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.

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 11:59 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.

Indirect Costs

As specified in the Uniform Guidance Cost Principles, indirect costs are those that are 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.)

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 Part 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.

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.

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.”

Credential Transparency

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.

Use of Grant Funds for Participant Wages

Grant funds may be used to pay reasonable and prudent wages for internships and work

experience, the costs of on-the-job training included in the scope of work with the approval of the Grant Officer. The applicant should state how the wages or OJT costs will be supported beyond the life of the grant if necessary to the continuation of the project.

Organizations receiving grants through this FOA may use grant funds to pay for the wages of participants where the objective assessment and the Individual Career Plan indicate that work experiences are appropriate. Further, the provision of stipends to training enrollees is an allowable cost under this FOA. Payment may take the form of wages or stipends. Generally, participants may receive stipends for participating in classes and training. Wages are compensation for services performed for an employer.

Grantees must comply with WIOA Section 181 and WIOA regulations detailing the applicable wage and labor standards. When paying participant stipends, grantees must maintain documentation of the process for determining the amount of the stipend and the distribution. Grantees providing wages or stipends to participants should be aware of the implications under IRS provisions. Please consult www.irs.gov for more information.

As described in Section III.C.4 above, expenditures for wages or other payments are limited to 20 percent of the grant award unless prior approval is received from the grant officer to exceed this amount.

F. OTHER SUBMISSION REQUIREMENTS

Withdrawal of Applications: You may withdraw an application by written notice to the Grant Officer at any time before an award is made.

V. APPLICATION REVIEW INFORMATION

A. CRITERIA

We have instituted procedures for assessing the technical merit of applications to provide for an objective review of applications and to assist you in understanding the standards against which your application will be judged. The evaluation criteria are based on the information required in the application as described in Sections IV.B.2. (Project Budget) and IV.B.3. (Project Narrative). Reviewers will award points based on the evaluation criteria described below.

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.

Criterion	Points (maximum)
<p>a. Abstract (See Section IV.B.4.a.(1) Abstract)</p>	<p>Section Total 2</p>

b. Statement of Need (See Section IV.B.3.a Statement of Need)	Section Total 18
i. Description of Area to Be Served and Identified Challenges (See Section IV.B.3.a.i Description of Area to Be Served and Identified Challenges)	6
(1) Demonstration of Inclusion of Energy Community(ies) (See Section IV.B.3.a.i.(1) Demonstration of Inclusion of Energy Community(ies))	4
(2) Demonstration of Inclusion of Persistent Poverty Community(ies) (See Section IV.B.3.a.i.(2) Demonstration of Inclusion of Persistent Poverty Community(ies))	2
ii. Description of Workforce Needs (See Section IV.B.3.a.ii Description of Workforce Needs)	2
iii. Target Population (See Section IV.B.3.a.iii Target Population)	4
c. Expected Project Results and Sustainability (See Section IV.B.3.b Project Results and Sustainability)	Section Total 28
i. Expected Results (See Section IV.B.3.b.i Expected Results)	12
ii. Long-term Benefits (See Section IV.B.3.b.ii Long-term Benefits (Sustainability))	8
iii. Achieving WORC Initiative Purpose (See Section IV.B.3.b.iii Achieving WORC Initiative Purpose)	8
d. Project Description (See Section IV.B.3.c Project Description)	Section Total 40
i. Project Design (See Section IV.B.3.c.i Project Design)	30
ii. Project Partnerships (See Section IV.B.3.c.ii Project Partnerships)	10
e. Organizational Capacity and Experience for Project Success (See Section IV.B.3.d Organizational Capacity and Experience for Project Success)	Section Total 10
f. Budget and Budget Narrative (See Section IV.B.3.e Budget and Budget Narrative)	Section Total 2
TOTAL	100

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:

Standard Rating	Definition	Standard for Calculating Points
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. Such factors may include the geographic distribution of funds, inclusion of priority communities and other relevant factors. The Grant Officer may consider any information that comes to their attention.

The government may elect to award the grant(s) with or without discussion with the applicant. Should a grant be awarded without discussion, the award will be based on the

applicant's signature on the SF-424, including electronic signature via E-Authentication on <https://www.grants.gov>, which constitutes a binding offer by the applicant.

2. Risk Review Process

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

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

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

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

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

All applicants are requested to submit the following information as an attachment to their application (suggested template below) for ETA to assess the applicant's Financial System. This information will be taken into account as one component of ETA's Risk Review Process. Applicants may use the suggested template or answer the questions in a separate attachment. It is unlikely that an organization will be able to manage a federal grant without the following system/processes in place. Applicants are expected to have these in place before applying for a grant with ETA.

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

**SECTION A:
 PURPOSE**

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.

- (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.
- (2) Entries in accounting records should refer to subsidiary records and/or documentation which support the entry and which can be readily located.
- (3) The accounting system should provide accurate and current financial reporting information.
- (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.

SECTION B: GENERAL

1. Complete the following items:

a. When was the organization founded/incorporated (*month, day, year*)

b. Principal officers Titles

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. (*12 months*)
 \$

SECTION C: ACCOUNTING SYSTEM

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

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	N o	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	N o	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	N o	Not Sure
6. If the organization proposes an overhead rate, does the accounting system provide for the segregation of direct and indirect expenses?	Yes	N o	Not Sure
7. Does the organization have an approved indirect cost rate or cost allocation plan? If so, who approved it (Federal Cognizant Agency or a Pass-through Entity)? What are the effective dates?	Yes	N o	Not Sure
8. Does the accounting/financial system include budgetary controls to preclude incurring obligations in excess of:	Yes	N o	Not Sure
a. Total funds available for a grant?		N o	Not Sure
b. Total funds available for a budget cost category (e.g. Personnel, Travel, etc)?		o	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	N o	Not Sure
SECTION D: FINANCIAL STABILITY			

<p>U.S. DEPARTMENT OF LABOR -EMPLOYMENT AND TRAINING ADMINISTRATION (ETA) FUNDING OPPORTUNITY ANNOUNCEMENT: FINANCIAL SYSTEM RISK ASSESSMENT</p>		
<p>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.</p>		
<p>SECTION E: FINANCIAL STATEMENTS</p>		
<p>1. Did an independent certified public accountant (CPA) ever examine the financial statements? Yes No</p>		
<p>2. If an independent CPA review was performed please attach a copy of their latest report and any management letters issued. Enclosed N / A</p>		
<p>3. If an independent CPA was engaged to perform a review and no report was issued, please provide details and an explanation below:</p>		
<p>SECTION F: ADDITIONAL INFORMATION</p>		
<p>1. Use this space for any additional information (<i>indicate section and item numbers if a continuation</i>)</p>		

VI. AWARD ADMINISTRATION INFORMATION

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.dol.gov/agencies/eta/grants/resources>.

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. Guidance from DOL is found at <https://www.dol.gov/agencies/oasam/grants/religious-freedom-restoration-act/guidance>.

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: You must ensure that PII and sensitive data developed, obtained, or otherwise associated with DOL/ETA funded grants is securely transmitted.

- i. 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.
- ii. 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.
- iii. 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.
- iv. 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.
- v. 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.
- vi. 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.

- vii. You must not extract information from data supplied by ETA for any purpose not stated in the grant agreement.
- viii. 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.
- ix. 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.
- x. 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.
- xi. 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.
- xii. You must retain data received from ETA only for the period of time required to use it for assessment and other purposes, or to satisfy applicable federal records retention requirements, if any. Thereafter, you agree that all data will be destroyed, including the degaussing of magnetic tape files and deletion of electronic data.

e. Record Retention

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

f. Use of Contracts and Subawards

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

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

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

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

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

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

g. Closeout of Grant Award

Any entity that receives an award under this Announcement must close its grant with ETA at the end of the final year of the grant. Information about this process may be found in ETA's Grant Closeout FAQ located at <https://www.dol.gov/sites/dolgov/files/ETA/grants/pdfs/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 20-19 and our webpage at <https://www.dol.gov/agencies/eta/grants/management/reporting>.

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.

Grant recipients must submit a Quarterly Performance Report (QPR; [ETA-9173](#)) through the Workforce Integrated Reporting System ([WIPS](#)). Grantees are required to submit their Participant Individual Record Layout (PIRL) files through WIPS. The PIRL specifies the participant-level data to be provided by grantees for performance reporting. The PIRL collects data on individual participant demographics, services, and outcomes. The PIRL is available for download on [ETA's reporting webpage](#). [Training and Employment Guidance Letter \(TEGL\) 14-18](#) provides further detail regarding performance measures and reporting. Grantees must maintain source documentation for each grant participant in accordance with federal record retention policies. Unemployment Insurance (UI) wage records are utilized to determine program exit outcomes for Median Earnings after Exit, Employment Rate Second Quarter after

Exit, Employment Rate Fourth Quarter after Exit, and Employment Retention Rates. WORC grantees must request and report participant Social Security Numbers in order to facilitate access to UI wage records for the [Common Reporting Information System \(CRIS\)](#).

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.

WORC grantees identify the performance measures they will collect and share as part of their proposed project in each application, and will utilize the Quarterly Narrative Report to report on goals, outcomes, and outputs described in the approved grant proposal.

VII. AGENCY CONTACTS

For further information about this FOA, please contact Anu Mathew, Grants Management Specialist, Office of Grants Management, at DOL-ETA-DWG@dol.gov. Applicants should e-mail all technical questions to DOL-ETA-DWG@dol.gov and must specifically reference FOA-ETA-22-13, and along with question(s), include a contact name, and phone number. This Announcement is available on the ETA website at <https://www.dol.gov/agencies/eta/grants> and at <https://www.grants.gov>.

ETA does not accept calls related to FOAs. Any questions must be submitted via email as noted above.

VIII. OTHER INFORMATION

A. WEB-BASED RESOURCES

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

B. INDUSTRY COMPETENCY MODELS AND CAREER CLUSTERS

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

regional economies.

C. WORKFORCEGPS RESOURCES

We encourage you to view the information on workforce resources gathered through consultations with federal agency partners, industry stakeholders, educators, and local practitioners, and made available on WorkforceGPS at <https://workforcegps.org>.

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

We created Workforce System Strategies to make it easier for the public workforce system and its partners to identify effective strategies and support improved customer outcomes. The collection highlights strategies informed by a wide range of evidence, such as experimental studies and implementation evaluations, as well as supporting resources, such as toolkits. We encourage you to review these resources by visiting <https://strategies.workforcegps.org>.

We created a technical assistance portal at <https://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

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.

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 04/27/2022 in Washington, D.C. by:
Jenifer McEnery
Grant Officer, Employment and Training Administration

APPENDIX A

Notice about Disability and Medical Information Protections for WORC Grant Participants.

We intend WORC grants to help reintegrate individuals with a history of substance use disorder into the workforce. Accordingly, grant recipients should be aware of requirements pertaining to the gathering and confidentiality of medical information and their obligations under Department civil rights regulations pertaining to protections for individuals with disabilities.

- a. Inquiring about How an Individual Has Been Impacted by the Opioid Crisis
Grantees may only ask the following question to determine that an applicant or eligible participant has been impacted by SUD:

Do you, a friend, or any member of your family have a history of substance misuse? Please answer “Yes” or “No.” Your answer to this question is voluntary.

- b. Confidentiality of Medical Information

Under applicable law, grant recipients must maintain the confidentiality of medical information obtained about an individual. Medical information must be kept confidential even if the individual volunteers the medical information without being asked. Information regarding an individual’s disability is included in information that must be kept confidential, but *any* medical information obtained must be kept confidential (whether or not the individual has a disability).

Example 1: An applicant may disclose that she previously has taken opioids legally with a prescription from her doctor (which is medical information, but may or may not be disability-related). The grant recipient must keep that information in a separate file and limit which staff have access to that information, under 29 C.F.R. 38.41(b)(3) (which explains how to keep such information separately and who may have access to it).

Example 2: An individual may self-disclose that he has diabetes (which is both medical

information and disability-related information). The grant recipient must keep that information in a separate file and limit which staff have access to that information, under 29 C.F.R. 38.41(b)(3) (which explains how to keep such information separately and who may have access to it).

c. Drug Use and Protections for Individuals with Disabilities

When making program decisions about individuals, grant recipients should remember that disability is among the statuses protected from discrimination for participants in and applicants for programs supported by WORC grants. Services provided under these grants must comply with 29 C.F.R. 38.5, which sets out antidiscrimination protections for WIOA title I programs. For example, grant recipients will have to make reasonable accommodations for individuals with disabilities, according to 29 C.F.R. 38.14, and they cannot treat a participant or applicant for services less favorably on the basis of the individual's disability, according to 29 C.F.R. 38.12.

Due to the nature of these grants, some participants or applicants for participation will be individuals with disabilities based on their drug history and some will not. Disability status, and how it may affect the provision of services under a WIOA grant, is a case-by-case determination, and given the many causes and complicating factors surrounding the substance misuse crisis, the circumstances of an individual's history of substance misuse could differ significantly.

Disability status for substance use disorder usually depends on whether the individual is currently engaging in the illegal use of drugs, including the illegal use of some prescription drugs.^[1] An individual in recovery not currently using drugs illegally may be legally protected as an individual with a disability. The question of "current use" of illegal drugs is made on a case-by-case basis. "Current" means that the illegal drug use occurred "recently enough" to justify the grant recipient's reasonable belief that drug use is an ongoing problem. Grant recipients may treat an individual less favorably because of current illegal use of drugs but may not make adverse decisions on the basis of an individual's disability (even if he or she is currently engaged in the illegal use of drugs).

A potential or enrolled participant in a WORC grant also may have another disability—separate from his or her drug history—that entitles them to legal protections.

Example 1: A grant recipient discovers that a blind participant who uses a service dog is currently engaging in the illegal use of opioids. The grant recipient may terminate the individual's participation in the program because of the current illegal use of drugs, but the grant recipient may not prohibit the individual from using his service dog because he is illegally using drugs.

Example 2: An individual is in recovery from an opioid use disorder and is not currently using opioids. The grant recipient must reasonably accommodate this disability by, for example, changing the program activity schedule to allow the participant to visit a medical provider to receive medication assisted treatment or to attend support meetings during the program day. However, if the grant recipient discovers that the individual has resumed misusing drugs, the grant recipient may terminate the individual's participation on the basis of that current drug

misuse.

[1] “Illegal use of drugs” means the use of a drug that is unlawful to possess or distribute under the Controlled Substances Act (21 U.S.C. 801 et seq.). “Illegal use of drugs” does not include the use of a drug taken under supervision by a licensed health care professional or other uses authorized by the Controlled Substances Act or other provisions of federal law.

APPENDIX B

Persistent Poverty Counties and Parishes Appalachian and Delta Regions

State	County Name
AL	Barbour County
AL	Bullock County
AL	Butler County
AL	Choctaw County
AL	Clarke County
AL	Conecuh County
AL	Dallas County
AL	Escambia County
AL	Greene County
AL	Hale County
AL	Lowndes County
AL	Macon County
AL	Marengo County
AL	Monroe County
AL	Perry County
AL	Pickens County
AL	Sumter County
AL	Wilcox County
AR	Bradley County
AR	Chicot County
AR	Columbia County
AR	Crittenden County
AR	Desha County
AR	Jefferson County

AR	Lee County
AR	Mississippi County
AR	Monroe County
AR	Phillips County
AR	Poinsett County
AR	St. Francis County
AR	Searcy County
AR	Woodruff County
IL	Alexander County
IL	Jackson County
IL	Pulaski County
KY	Bath County
KY	Bell County
KY	Breathitt County
KY	Casey County
KY	Clay County
KY	Clinton County
KY	Cumberland County
KY	Elliott County
KY	Estill County
KY	Floyd County
KY	Fulton County
KY	Harlan County
KY	Hart County
KY	Jackson County
KY	Johnson County
KY	Knott County
KY	Knox County
KY	Laurel County
KY	Lawrence County
KY	Lee County
KY	Leslie County
KY	Letcher County
KY	Lewis County
KY	Lincoln County

KY	McCreary County
KY	Magoffin County
KY	Martin County
KY	Menifee County
KY	Monroe County
KY	Morgan County
KY	Owsley County
KY	Perry County
KY	Powell County
KY	Robertson County
KY	Rockcastle County
KY	Rowan County
KY	Russell County
KY	Wayne County
KY	Whitley County
KY	Wolfe County
LA	Acadia Parish
LA	Avoyelles Parish
LA	Bienville Parish
LA	Catahoula Parish
LA	Claiborne Parish
LA	Concordia Parish
LA	East Carroll Parish
LA	East Feliciana Parish
LA	Evangeline Parish
LA	Franklin Parish
LA	Lincoln Parish
LA	Madison Parish
LA	Morehouse Parish
LA	Natchitoches Parish
LA	Orleans Parish
LA	Ouachita Parish
LA	Red River Parish
LA	Richland Parish
LA	St. Helena Parish

LA	St. Landry Parish
LA	Tangipahoa Parish
LA	Tensas Parish
LA	Washington Parish
LA	West Carroll Parish
LA	Winn Parish
MS	Adams County
MS	Amite County
MS	Attala County
MS	Benton County
MS	Bolivar County
MS	Chickasaw County
MS	Choctaw County
MS	Claiborne County
MS	Clay County
MS	Coahoma County
MS	Copiah County
MS	Covington County
MS	Franklin County
MS	Grenada County
MS	Holmes County
MS	Humphreys County
MS	Issaquena County
MS	Jasper County
MS	Jefferson County
MS	Jefferson Davis County
MS	Kemper County
MS	Lafayette County
MS	Leflore County
MS	Lowndes County
MS	Marion County
MS	Marshall County
MS	Montgomery County
MS	Noxubee County
MS	Oktibbeha County

MS	Panola County
MS	Pike County
MS	Quitman County
MS	Sharkey County
MS	Simpson County
MS	Sunflower County
MS	Tallahatchie County
MS	Tunica County
MS	Walthall County
MS	Washington County
MS	Wilkinson County
MS	Yalobusha County
MS	Yazoo County
MO	Carter County
MO	Dunklin County
MO	Mississippi County
MO	New Madrid County
MO	Oregon County
MO	Pemiscot County
MO	Reynolds County
MO	Ripley County
MO	Shannon County
MO	Texas County
MO	Washington County
MO	Wayne County
MO	Wright County
OH	Athens County
TN	Campbell County
TN	Claiborne County
TN	Cocke County
TN	Fentress County
TN	Grundy County
TN	Hancock County
TN	Johnson County
TN	Lake County

TN	Scott County
VA	Lee County
WV	Braxton County
WV	Calhoun County
WV	Clay County
WV	Gilmer County
WV	Lincoln County
WV	McDowell County
WV	Mingo County
WV	Webster County