

**U.S. DEPARTMENT OF LABOR**  
**Employment and Training Administration**  
**Notice of Availability of Funds and Solicitation for Grant Applications**  
**for *Strategies Targeting Characteristics Common to Female Ex-Offenders***

**Announcement Type:** Initial

**Funding Opportunity Number:** SGA/DFA PY-12-04

**Catalog of Federal Domestic Assistance (CFDA) Number:** 17.270

**Key Dates:** The closing date for receipt of applications under this announcement is **April 17, 2013**. Applications must be received no later than 4:00:00 p.m. Eastern Time.

**Addresses:** Mailed applications must be addressed to the U.S. Department of Labor, Employment and Training Administration, Office of Grants Management, Attention: Latifa Jeter, Grant Officer, Reference SGA/DFA PY 12-04, 200 Constitution Avenue, NW, Room N4716, Washington, DC 20210. For complete application and submission information, including online application instructions, please refer to Section IV.

**Executive Summary:** The U.S. Department of Labor (DOL), Employment and Training Administration (ETA), announces the availability of approximately \$12 million in grant funds authorized by the Workforce Investment Act (WIA) and section 212 of the Second Chance Act of 2007 to award approximately eight grants to serve adult and youth ex-offenders pre- and post-release. Applicants may choose to serve either youth or adults but may not serve both populations. Services to be funded will be targeted to female ex-offenders, but must also be open to eligible male ex-offenders. Applicants may submit only one proposal for up to \$1.5 million, with the amount requested depending on the number of participants to be served. These grants will be selected through a competitive process open to any non-profit organization with IRS 501(c)(3) status.

The purpose of these grants is to improve the long-term labor market prospects of youth and adult ex-offenders who demonstrate characteristics common to female ex-offenders by using strategies targeted to these characteristics, which may include sexual or physical abuse, family turmoil, early puberty, learning disabilities and school failure, and mental health and substance abuse issues. Grantees must include an integrated strategy that includes empowerment and self-development, workforce development, education, and case management, as well as required and additional state and/or local partnerships. This solicitation fully describes the application submission requirements, outlines the process that eligible entities must use to apply for funds covered by this solicitation, and outlines the evaluation criteria used as a basis for selecting the grantees. Additional information on the

Department of Labor's ex-offender initiatives and resources to assist ex-offenders is located at [www.doleta.gov/rexo](http://www.doleta.gov/rexo).

## **I. Funding Opportunity Description**

### **A. Communities and Participants to be Served**

Applicants may select to serve either an adult or youth population, but may not serve both. The population to be served under this grant must be clearly noted in the project title. Applicants may serve either youth ex-offenders not less than age 14 and not more than age 21 who are currently involved with the juvenile justice system or have been involved with the juvenile justice system, and have never been involved with the criminal adult system, or adult ex-offenders aged 18 and above who have been released from a minimum length of three months of incarceration from the criminal adult system, including prison, jail or a halfway house within 180 days before enrollment. The 180 days limitation does not apply to applicants serving youth ex-offenders.

These grants are aimed at geographic areas with large numbers of female ex-offenders. The geographic area for youth programs can be a city, a county, a sub-area of a city or county, a set of contiguous counties, an Indian Reservation, a local workforce investment area, or other similar geographic area. The geographic area for adult programs must be an urbanized area or urban cluster, as determined by the Bureau of the Census in the most recently available census, have a large number of prisoners returning to the area each year (by showing that the number of prisoners returning to the county or city of the target area each year is greater than the number of prisoners returning to an adjoining county or city of the target area) and a high rate of recidivism (equal to or greater than 30 percent) among prisoners returning to the area.

Applicants must identify the geographic area in which the project will be located and provide documentation on the number of adult female ex-offenders returning from either prisons or jails for the most recent year for which data are available, or the number of female youth ex-offenders on probation, in alternative sentencing programs, or in detention in the most recent year for which data is available, depending on which population they propose to serve. National statistics show that there is an adequate number of male youth and adult ex-offenders in all areas available for service by these grants. Therefore, we are only requiring grantees to demonstrate that there are enough female ex-offenders in their identified geographic area available to receive services. Applicants planning to serve adult female ex-offenders must provide data from the criminal justice system. Applicants planning to serve youth female ex-offenders must provide data from the juvenile justice system. Youth or adult participants that have been convicted of a sexual offense, other than prostitution, are not eligible to be served by these grants. Because of the characteristics of the targeted population in this solicitation, the Department deems it necessary to provide a safe and trusting environment that will enable participants to benefit from the components of these programs without fear,

either real or perceived, of injury or assault. The Department requires that grantees follow two stipulations: 1. Grantees must provide a safe environment for their staff and participants, and 2. Grantees must develop a clear and concise written policy for providing services to this population that is implemented consistently across the board.

The Department funds formula and other discretionary grant programs under WIA that do not exclude ex-offenders.

Applicants who are serving adult ex-offenders must enroll participants within 180 days of release from incarceration. The minimum length of time that the eligible adult participants are incarcerated prior to enrollment cannot be less than three months (90 days), inclusive of time spent pre-trial. The intent of these grants is to serve those harder-to-serve ex-offenders who have been apart from their communities and employment opportunities for a significant length of time. Placing this eligibility requirement on the grants ensures that they are working with those ex-offenders who are most in need of re-entry services at release. Applicants who are serving youth ex-offenders do not have a time limit on the involvement of youth in the juvenile justice system before enrollment, unless they are under the supervision of the juvenile justice system in an out-of-home placement, which requires services to begin no more than 90 days before release.

## **B. Required Project Components**

Each project funded under these grants must include all of the project components described below. Individuals enrolled in these projects do not necessarily have to participate in every one of these project components but they must be offered.

### **1. Recruitment and Assessment Strategies**

Applicants must develop recruitment strategies that will enable them to effectively recruit ex-offenders with characteristics common to female ex-offenders. Recruitment must be open to all members of the ex-offender population. Example: If the applicant sends recruitment flyers to a female correctional facility in the target area, they must also send the same recruitment flyer to the male correctional facility in the target area.

Applicants must have a clear and consistent recruitment policy that provides the same opportunity for males and females to learn about the program.

Applicants must also use an assessment tool that assesses the risk factors for criminal behavior that are common to female ex-offenders, such as, but not limited to: sexual or physical abuse, family turmoil, early puberty, learning disabilities and school failure, and mental health and substance abuse issues.

This assessment tool must be used for male and female applicants.

### **2. Strategies of Empowerment and Self-Development**

Participant personal development activities must be offered that develop non-technical, or soft, skills, abilities and traits needed to appropriately function in the workplace. These activities must support one or more workplace

competencies, which may include problem-solving and other cognitive skills, oral communication skills, personal qualities, work ethic, and interpersonal and teamwork skills. Examples include leadership, financial literacy, and job readiness training.

One such strategy may include mentoring. Many types of organizations can provide mentors, such as faith- and community-based organizations, business firms, and college fraternities. This component may include one-on-one mentoring, group mentoring, and service-based (community-service project) mentoring. We encourage the use of one-on-one mentoring and mentoring in small groups. Mentoring must start before release for adults and youth in correctional facilities, where possible, to allow these participants to become familiar with their mentors. Mentors will assist youth and adult mentees with transitioning into the community and may address issues such as family support and unification, self-advocacy and conflict resolution, and assistance with understanding how to secure supportive services.

The Department requires that grantees must require sub-grantees to use evidence-based models of mentoring to design their programs. As with all mentoring programs, it is recommended that programs provide rigorous screening, training, and match support for mentors, and frequent contact with mentees and their parents (if serving youth) as the match progresses.

The following list summarizes the commonly-recognized best practices for running an effective mentoring program:

- Targeted recruitment and thorough screening of appropriate mentors and adult and youth participants
- Customized training for mentors, adult and youth participants, and, if appropriate, parents and others who have a role in the match
- Sound matching, monitoring, supervision, and retention procedures
- Closure procedures that leave all participants satisfied
- Process and outcome evaluation
- Skilled and committed staff
- Stable funding<sup>1</sup>

### **3. Strategies in Case Management**

This component will provide a team of full-time case managers that serve as advocates to program participants. Case managers must assist community supervision officers in linking ex-offenders to supportive services such as: transportation and housing assistance, mental health services, substance abuse treatment centers, legal aid services and organizations that assist with family reunification. In addition, case managers must coordinate with child care agencies to assist participants with children to secure child care. Case

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<sup>1</sup> Understanding and Facilitating the Youth Mentoring Movement .Author(s): Jean E. Rhodes and David L. DuBoi Publisher: *Social Policy Report*, 20(3), 2006

managers must also ensure that participants receive training in financial literacy; counseling about their civil rights including issues related to criminal records and employment, and if the person has a disability, counseling about the right to free and appropriate education and reasonable work accommodations; and assistance applying for jobs and Federal benefits such as Pell Grants, the Supplemental Nutrition Assistance Program (SNAP), and Medicaid.

Participants incarcerated must receive case management services before release, but no earlier than 90 days prior to their release date. Pre-release services should include linking these offenders to supportive services and connections to transportation and housing assistance, mental health and substance abuse treatment centers, legal aid services, rehabilitation services and organizations that assist with family reunification and other social services as needed upon their release.

#### **4. Education and Training**

The activities identified in the education and training component are related to the age of the applicant and not the program model (Adult or Youth). Adult and Youth program applicants must each incorporate all of these activities in their application.

The educational component for youth aged 14 through 17 must place a high priority on the attainment of a high school diploma. This reinforces and is consistent with the compulsory education laws in many states, which require youth to remain in school until the age of 18. The educational component for participants aged 18 and above must focus on the attainment of a high school diploma or State equivalent and increasing literacy and numeracy skills.

The educational component must include the following as appropriate for each age group: reading and math remediation; retrieval and compilation of credits from various high schools and correctional facilities; tutoring; State high school equivalency preparation; language instruction for those with limited English proficiency; and assisting participants to complete college applications and financial aid forms. These interventions must be integrated with career and occupational development. Applicants must design these interventions so that they lead participants to attainment of a secondary school diploma, or other State-recognized educational credential.

Training must lead to credentials in demand industries in the local area. Applicants must use Bureau of Labor Statistics (BLS) data to develop training programs that are relevant to the employment needs of their local community. Training programs should consider focusing on “nontraditional” jobs for women, including through registered apprenticeship opportunities. Although many nontraditional jobs are in the construction and manufacturing industries, the reality is that nontraditional occupations span all major occupational groups; and these nontraditional jobs are often skilled or technical and

typically have a higher rate of pay than jobs traditionally held by women. The considerably higher pay for nontraditional occupations can help individuals attain economic self-sufficiency, support their families, and build assets.

### **5. Workforce Development**

Workforce development programs must assist participants in developing their career goals and understanding career pathway options. An Individual Career Plan (ICP) must be developed for each participant that reflects his or her individual needs and career goals. This will include goals related to personal issues, such as counseling, substance abuse treatment, housing, and child custody/support issues that can affect workplace success, as well as goals related directly to workforce development, such as continuing education, vocational training, and employment placements. The workforce development component may include: paid and/or unpaid work experience, on-the-job training (OJT), internships which allow participants to interact with professionals in their fields of interest, vocational or occupational training opportunities, placement into apprenticeships and employment, career exploration, paid and/or unpaid part-time work experience, part-time employment and summer employment opportunities, depending on the target population to be served. Participants in confinement must be exposed to career opportunities and the establishment of career goals before release.

### **6. Follow-Up Services**

Follow-up services must be provided for a minimum of 9 months for each participant and must be completed by the end of the performance period of the grant. Follow-up services may include: regular contact with participants to ensure retention in employment and/or school; assistance in addressing work-related or school-related problems; assistance in securing better paying jobs or career development; furthering education; referrals to peer support groups; mentoring; and tracking progress made by participants in employment and/or education after training. Grantees may provide follow-up services to some participants while providing direct services to others.

## **C. Required Partnerships and Roles**

### **1. Youth Programs**

- a) **Partnerships with state and/or local juvenile correctional facilities (residential)** must include referrals of eligible youth prior to release who plan to return to the target community. Applicants must coordinate services for incarcerated program participants with state or local juvenile justice agencies such as: career planning; planning for educational placement post-release; case management; mentoring and the coordination of post-release transition services.
- b) **Partnerships with the state and/or local juvenile justice system (non-residential)** must include referrals of eligible youth who are on parole or probation, in alternative sentence programs and in diversion programs. Grantees must coordinate services for program participants with juvenile community supervision officers, such as: career

planning; assistance with educational placement; case management; mentoring and referrals to supportive services.

- c) **Partnerships with state and/or local mental health agencies** must provide assessments and assistance to eligible program participants.
- d) **Partnerships with state and/or local drug and alcohol abuse treatment centers** must provide counseling and treatment to eligible program participants.
- e) **Partnerships with local American Job Centers (formerly known as the One-Stop system) and/or workforce investment board(s) and other local workforce system agencies** must include the coordination of services to support career exploration, OJT, summer employment and paid and/or unpaid part-time work experience.
- f) **Partnerships with local child support enforcement agencies** must include efforts to modify child support payments to allow the opportunity for meaningful work.

## 2. Adult Programs

- a) **Partnerships with state and/or local criminal justice correctional facilities (residential)** must include referrals of eligible adult participants before release who plan to return to the target community. Grantees must coordinate services for incarcerated program participants with state and local criminal justice agencies, including career planning; planning for educational placement post-release; case management; mentoring and the coordination of post-release transition services.
- b) **Partnerships with state and/or local adult criminal justice facilities (non-residential)** must include referrals of eligible adult participants on probation or parole that have been released from prison or jail within 180 days. Applicants must coordinate services for program participants with community supervision officers such as: career planning; employment opportunities; assistance with state-recognized high school diploma equivalent; case management; support groups; and mentoring.
- c) **Partnerships with state and/or local mental health treatment agencies** must include the provision of assessments and treatment assistance for program participants.
- d) **Partnerships with state and/or local drug and alcohol abuse treatment centers** must include counseling and treatment to eligible program participants.
- e) **Partnerships with local American Job Centers and/or workforce investment boards and other local workforce system agencies** must include the coordination of services to support paid and/or unpaid work experience, OJT, internships, apprenticeships and employment opportunities.
- f) **Partnerships with local housing agencies.**

- g) **Partnerships with local child support enforcement agencies** must include efforts to modify child support payments to allow the opportunity for meaningful work.

#### **D. Additional Partnerships for Youth and Adult Programs**

- **Legal Aid Services.** Payment may be made with grant funds on behalf of a participant for legal services related to the purposes of this grant, such as: securing a driver's license, expunging criminal records, creating and/or modifying child support orders, helping parents in obtaining and retaining custody of their children, and helping victims of domestic violence by obtaining protective and restraining orders.
- **Employers** can provide opportunities for work experience, OJT, internships, and unsubsidized employment, including apprenticeships.
- **Social Service Agencies** can provide assistance with securing food, clothing and medical assistance.
- **Local Child and Family Services Agencies** can provide assistance with parenting classes and family reunification efforts.
- **Local Public School Systems** (if youth program) can provide transition assistance for youth returning to school after release from juvenile correctional facilities and a focus on improving education services to youth placed on probation by the juvenile justice system.
- **Alternative Education Providers** can include services and instruction that assist participants with attaining a high school diploma or state equivalent.
- **Local Housing Agencies** (mandatory for adults only) can be used for participant referrals to assist with housing and sheltering for youth participants, where needed.
- **Rehabilitation Services** can be used for participant referrals to assist persons with disabilities.
- **Post-Secondary Education Institutions** can provide participant referrals to provide additional education that leads to career advancement.

NOTE: Additional partnerships are not limited to the examples listed above.

#### **E. Allowable Uses of Grant Funds**

Allowable uses of grant funds for youth and adult projects funded under these grants include:

1. Workforce and education activities, such as:
  - job placement services that include nontraditional jobs for women;
  - vocational skills training and wages in an on-the-job training framework that include nontraditional jobs for women, such as: carpentry, transportation inspectors or highway maintenance workers;
  - paid and unpaid work experiences which include nontraditional jobs for women, including community service activities that offer the opportunity to reunite and be embraced by their community;

- payment of stipends to participants based on their performance in the program to recognize achievements/milestones;
  - payment of employment and retention bonuses to participants based on their achievements/milestones reached in these activities;
  - basic skills instruction and remedial education that emphasize their relevance to daily life;
  - tutoring, dropout prevention activities, GED instruction, alternative secondary school services and career awareness classes that develop lifelong career pathways;
  - counseling and assistance in compiling high school credits/credit retrieval programs, applying for post-secondary education, and financial aid to implement participants' individual career development plans; and
  - language instruction programs and services and information in appropriate languages for individuals with limited English proficiency.
2. Case management, supportive services and related activities, including but not limited to:
- individual and group mentoring with mentors that may have the same risk factor characteristics that have been successful in life;
  - assistance with the development of ICPs for participants;
  - referrals to housing assistance, including those facilities for special identified needs, such as group homes that allow children to reside with their parent(s) or in domestic violence shelters;
  - referrals to mental health counseling that may be required as a result of family violence, domestic violence, sexual abuse or other physiological or sociological factors;
  - referrals to rehabilitation services;
  - referrals to parenting classes and services to assist with successful family reunification;
  - referrals to child support services;
  - referrals to legal aid services as indicated in Section I.D.; and
  - referrals to substance abuse treatment and coordination with other programs and entities for provision of such treatment services.
3. Leadership and personal development activities that seek to develop cognitive and soft skills that participants will need to succeed in future jobs and that support one or more workplace competencies, including:
- Problem-solving, such as balancing family, relationships and work;
  - Oral communication skills, which may assist them in verbalizing problems with balancing family and work;
  - Strong work ethic and sense of responsibility and belonging to the work community; and
  - Ability to work as part of a team and assist new entrants to transition into the work environment.

4. Follow-up services that focus efforts on education, job retention, wage gains, and career progress through regular contact with employers, educational institutions, and other post-placement supporting agencies, including:
  - Assistance in addressing work-related problems that arise, such as the imbalance between work and family responsibilities;
  - Assistance in securing better-paying jobs, which include nontraditional jobs for women;
  - Career development and further education as identified in participants' ICP.
  - Continued coordination with employers and local workforce agencies and educational institutions where participants have been placed;
  - Work in peer support groups with members of the same risk factors and characteristics common to female ex-offenders;
  - Individual and group mentoring with mentors that may have the same risk factor characteristics that have been successful in life; and
  - Tracking of progress made by participants in employment after training.

## **II. Award Information**

### **A. Award Amount**

ETA has approximately \$12 million available under this competition and expects to fund approximately 8 grants. Applicants may submit proposals for up to \$1.5 million, with the amount requested depending on the number of participants to be served. The cost-per-participant over the duration of the grant may range between \$4,000 and \$8,000 (inclusive of administration and planning costs); the cost per participant must **not** exceed \$8,000. Any grant application with a proposed value greater than \$1.5 million will be deemed non-responsive and will not be considered.

In the event additional funds become available, ETA reserves the right to use such funds to select additional grantees from applications submitted in response to this solicitation.

### **B. Period of Performance**

DOL will fund these grants for a 37-month period of performance that includes up to four months of planning and a minimum of 33 months of operation which must include a minimum of 9 months of follow-up for each participant.

In the Budget Narrative, discussed in section IV.B.I, applicants must provide separate budgets for planning and operations. Regardless of the length of the planning period, applicants must budget for a minimum of 33 months of

operation. The 33 months of operation must include time to allow each participant to complete the program and have a minimum of 9 months of follow-up. The last cohort would complete program services 9 months before the end of the grant. Grantees must use their planning funds judiciously during the planning period and use them specifically for planning and pre-implementation activities associated with this grant. Applicants must plan to fully expend grant funds during the period of performance while ensuring full transparency and accountability for all expenditures. Grantees will be expected to achieve planning milestones during the post-award planning phase. These milestones are the hiring of core program staff, including the Project Director and other key positions, such as case managers and job developers. Grantees will also be expected to solidify all necessary partnerships for the successful delivery of services and to have initiated recruitment and outreach efforts for enrollment of participants during the planning phase. The Federal Project Officer will review completion of these milestones within the grant's planning phase. Grantees who do not meet these milestones may be subject to corrective action.

### **III. Eligibility Information**

#### **A. Eligible Applicants**

Any non-profit organization, including community-based and faith-based organizations, with IRS 501(c)(3) status, may apply for these grants.

Organizations proposing to serve either youth or adults may submit only one application for up to \$1.5 million. If more than one application is submitted, only the last application received will be reviewed.

#### **B. Cost Sharing or Matching**

Cost sharing or matching funds are not required as a condition for application; however, grantees must provide, in the budget narrative, a description of how Federal, state, local, or private funding will be leveraged and are currently leveraged (if applicable) to provide support services that are not directly funded by the grant, such as mental health and substance abuse treatment services, and housing. Applicants are also required to provide information about required and additional partnerships.

#### **C. Other Information**

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

Applications that contain any of the following deficiencies will be found non-responsive and will not be reviewed. The deficiencies are:

- Failure to satisfy the deadline requirements referenced in Section IV.C.;
- Applications that exceed the ceiling amount of \$1.5 million referenced in Section II.A;
- Applications that exceed the cost per participant maximum of \$8,000 referenced in Section IV. B. 4;

- Failure to include: SF-424 including D-U-N-S® (DUNS) Number, a project budget including a SF-424A and budget narrative, a project narrative, and attachments to the project narrative referenced in Section IV.B;
- Failure to register with SAM and maintain an active account referenced in Section IV.B;
- Failure to include required information as an attachment referenced in Section IV.B:
  - *abstract*
  - *project/performance site location form*
  - *verification of non-profit 501(c)(3) status*
  - *chart documenting past grant performance*
  - *chart documenting timeliness of reports*
  - *previous grantor contact information*

Applications for renewal or supplementation of existing projects are eligible to compete with applications for new awards. However, multiple applications from an organization are not allowed. Organizations are not precluded from participating as a partner in a separate application submitted in response to this SGA.

#### D. Eligible Participants

##### 1. Participants Eligible to Receive Services

##### **Youth Program**

An individual may participate in a project funded under these grants if she/he:

- is not less than age 14 and not more than age 21 on the date of enrollment;
- is determined appropriate for needing services under the grantee's enrollment assessment tool developed in accordance with Section I. B;
- is currently involved or has been involved with the juvenile justice system but has never been involved in the adult criminal justice system. Involvement is defined as those who are or were:
  - under the supervision of the juvenile justice system, either in out-of-home placements (with release dates within 90 days) or on probation or parole;
  - placed in an alternative sentence by the juvenile justice system; or
  - placed in a diversion program as an alternative to juvenile prosecution by the juvenile justice system.
- has never been convicted as an adult under Federal or State law and has not been convicted of a sexual offense, other than prostitution; and
- currently resides in the geographic area to be served as identified by the grantee, or resided in the geographic area before current confinement in a correctional facility, and will be returning to the geographic area to be served.

## **Adult Program**

An individual may participate in a project funded under these grants if she/he:

- is 18 years old or older on the date of enrollment;
- has been convicted as an adult and imprisoned under Federal or State law but has never been convicted of a sexual offense other than prostitution;
- is determined appropriate for needing services under the grantee's enrollment assessment tool developed in accordance with Section I.B;
- is enrolled in the program within 180 days after their release from prison, jail, or a halfway house after a minimum incarceration period of three months and is returning to the target community, or is currently incarcerated but has a release date within 90 days;
- currently resides in the geographic area to be served as identified by the grantee, or resided in the geographic area before current confinement in a correctional facility, and will be returning to the geographic area to be served;

Grantees operating an **adult program** are required to provide a priority of service to individuals who have been released from State correctional facilities.

### 2. Veterans Priority for Participants

The Jobs for Veterans Act (Public Law 107-288) requires grantees to provide priority of service for 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 can be found 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 [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2816](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2816).

## E. Other Grant Specifications

### 1. Transparency

DOL is committed to conducting a transparent grant award process and publicizing information about program outcomes. Posting grant applications on public websites is a means of promoting and sharing innovative ideas. For this grant competition, we will publish the Abstracts required by Section IV.B.Part 4a, and selected information from the SF-424 for all applications on

the Department's public website or similar publicly accessible location. Additionally, we will publish a version of the Project Narrative required by Section IV.B. Part 3, for all those applications that are awarded grants, on the Department's website or a similar location. No other attachments to the application will be published. The Project Narratives and Abstracts will not be published until after the grants are announced. In addition, information about grant progress and results may also be made publicly available.

DOL recognizes that grant applications sometimes contain information that an applicant may consider proprietary or business confidential information, or may contain personally identifiable information (PII). Proprietary or business confidential information is information that is not usually disclosed outside your organization and disclosing this information is likely to cause you substantial competitive harm.

PII is any information that can be used to distinguish or trace an individual's identity, such as name, social security number, date and place of birth, mother's maiden name, or biometric records, and any other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information.<sup>2</sup>

Abstracts will be published in the form originally submitted, without any redactions. Applicants should not include any proprietary or confidential business information or PII in this summary. In the event that an applicant submits proprietary or confidential business information or PII, DOL is not liable for the posting of this information contained in the Abstract. The submission of the grant application constitutes a waiver of the applicant's objection to the posting of any proprietary or confidential business information contained in the Abstract. Additionally, the applicant is responsible for obtaining all authorizations from relevant parties for publishing all PII contained within the Abstract. In the event the Abstract contains proprietary or confidential business information or PII, the applicant is presumed to have obtained all necessary authorizations to provide this information and may be liable for any improper release of this information.

By submission of this grant application, the applicant agrees to indemnify and hold harmless the United States, the U.S. Department of Labor, its officers, employees, and agents against any liability or for any loss or damages arising from this application. By such submission of this grant application, the applicant further acknowledges having the authority to execute this release of liability.

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<sup>2</sup> OMB Memorandum 07-16 and 06-19. GAO Report 08-536, *Privacy: Alternatives Exist for Enhancing Protection of Personally Identifiable Information*, May 2008, <http://www.gao.gov/new.items/d08536.pdf>.

In order to ensure that proprietary or confidential business information or PII is properly protected from disclosure when DOL posts the winning Project Narratives, applicants whose Project Narratives will be posted will be asked to submit a second redacted version of their Project Narrative, with any proprietary, confidential commercial/business, and PII redacted. All non-public information about the applicant's and consortium members' staff (if applicable) should be removed as well.

The Department will contact the applicants whose Project Narratives will be published by letter or email, and provide further directions about how and when to submit the redacted version of the Project Narrative.

Submission of a redacted version of the Project Narrative will constitute permission by the applicant for DOL to make the redacted version publicly available. We will also assume that by submitting the redacted version of the Project Narrative, the applicant has obtained the agreement to the applicant's decision about what material to redact of all persons and entities whose proprietary, confidential business information or PII is contained in the Project Narrative. If an applicant fails to provide a redacted version of the Project Narrative within 45 days of DOL's request, DOL will publish the original Project Narrative in full, after redacting only PII. (Note that the original, unredacted version of the Project Narrative will remain part of the complete application package, including an applicant's proprietary and confidential business information and any PII.)

Applicants are encouraged to maximize the grant application information that will be publicly disclosed, and to exercise restraint and redact only information that clearly is proprietary, confidential commercial/business information, or PII. The redaction of entire pages or sections of the Project Narrative is not appropriate, and will not be allowed, unless the entire portion merits such protection. Should a dispute arise about whether redactions are appropriate, DOL will follow the procedures outlined in the Department's Freedom of Information Act (FOIA) regulations (29 CFR Part 70).

Redacted information in grant applications will be protected by DOL from public disclosure in accordance with federal law, including the Trade Secrets Act (18 U.S.C. § 1905), FOIA, and the Privacy Act (5 U.S.C. § 552a). 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. 29 CFR § 70.26. Consequently, it is possible that application of FOIA rules may result in release of information in response to a FOIA request that an applicant redacted in its "redacted copy."

#### **IV. Application and Submission Information**

##### **A. How to Obtain an Application Package**

This SGA contains all of the information and links to forms needed to apply for grant funding.

##### **B. Content and Form of Application Submission**

Proposals submitted in response to this SGA must consist of four separate and distinct parts: (1) the SF-424 “Application for Federal Assistance;” (2) Project Budget; (3) Project Narrative; and (4) attachments to the Project Narrative. It is the applicant’s responsibility to ensure that the funding amount requested is consistent across all parts and sub-parts of the application.

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

Applicants must complete the SF-424, “Application for Federal Assistance” (available at <http://apply07.grants.gov/apply/FormLinks?family=15>). 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 shall be considered the authorized representative of the applicant. As stated in block 21 of the SF-424 form, 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 <http://apply07.grants.gov/apply/FormLinks?family=15>). The SF-424B is not required to be submitted with the application.

In addition, the applicant’s signature in block 21 of the SF-424 form constitutes assurance by the applicant of the following in accordance with 29 CFR 37.20:

As a condition to the award of financial assistance from the Department of Labor under Title I of WIA, the grant applicant assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws: Section 188 of the Workforce Investment Act of 1998 (WIA), which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIA 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 it will comply with 29 CFR

part 37 and all other regulations implementing the laws listed above. This assurance applies to the grant applicant's operation of the WIA Title I-financially assisted program or activity, and to all agreements the grant applicant makes to carry out the WIA 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.

All applicants for Federal grant and funding opportunities are required to have a Data Universal Numbering System (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: <http://fedgov.dnb.com/webform/displayHomePage.do>. As authorized under 2 CFR 25, grant recipients authorized to make subawards must be aware of the following requirements related to DUNS Numbers:

1. Grantees must notify potential sub-grantees that no entity may receive a sub-award from you unless the entity has provided its DUNS number to you.
2. Grantees may not make a sub-award to an entity unless the entity has provided its DUNS number to you.

As a requirement for application submission, applicants must register with the System for Award Management (SAM) before submitting an application. Instructions for registering with SAM can be found at <https://sam.gov>. An awardee must maintain an active SAM registration with current information at all times during which it has an active Federal award or an application under consideration. To remain registered in the SAM database after the initial registration, 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. Failure to register with SAM and maintain an active account will result in your application being found non-responsive and not being reviewed.

## 2. Project Budget

Applicants must complete the SF-424A Budget Information Form (available at <http://apply07.grants.gov/apply/FormLinks?family=15>). In preparing the Budget Information Form, the applicant must provide a concise narrative explanation to support the budget request, explained in detail below.

**Budget Narrative:** The budget narrative must provide a description of costs associated with each line item on the SF-424A. It should also include a description of leveraged resources provided (as applicable) to support grant activities.

Use the following guidance for preparing the budget narrative:

**Personnel** – List all staff positions by title. Give the annual salary of each person, the percentage of each person’s time devoted to the project, the amount of each person’s salary funded by the grant and the total personnel cost for the period of performance.

**Fringe Benefits** – Provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, FICA, retirement, etc.

**Travel** – Specify the purpose, mileage, per diem, estimated number of in-state and out-of-state trips and other costs for each type of travel.

**Equipment** – Identify each item of equipment to be purchased which has an estimated acquisition cost of \$5,000 or more per unit and a useful lifetime of more than one year. List the quantity and unit cost per item. Items with a unit cost of less than \$5,000 are supplies.

**Supplies** – Supplies include all tangible personal property other than “equipment.” The detailed budget should identify categories of supplies (e.g. office supplies). List the quantity and unit cost per item.

**Contractual** – Identify each proposed contract and specify its purpose and estimated cost. If applicable, identify any sub-recipient agreements, including purpose and estimated costs. See Section IV.E.3. and 29 CFR 99.105 for more information on the distinction between sub-contractor (vendor) and sub-recipient.

**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. DOL does not consider this as construction and the costs must be shown on other appropriate lines such as Contractual.

**Other** – List each item in sufficient detail for DOL to determine whether the costs are reasonable or allowable. List any item, such as stipends or incentives, not covered elsewhere here.

**Indirect Charges** – If indirect charges are included in the budget, include the approved indirect cost rate with a copy of the Indirect Cost Rate Agreement, a description of the base used to calculate indirect costs and total cost of the base, and the total indirect charges requested. See Section IV.E.1. for more information.

Note that the entire Federal grant amount requested (not just one year) must be included on the SF-424 and SF-424A and budget narrative. No leveraged resources should be shown on the SF-424 and SF-424A. The amount listed on

the SF-424, SF-424A and budget narrative must be the same. Please note, the funding amount included on the SF-424 will be considered the official funding amount requested if any inconsistencies are found.

### 3. The Project Narrative

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

The Project Narrative is limited to 25 double-spaced single-sided 8.5 x 11 inch pages with 12 point text font and 1 inch margins. Any materials beyond the specified page limit will not be read or considered in the application review process. Applicants should number the Project Narrative beginning with page number 1.

The Narrative must be organized around the following section headers and must contain the following discussion:

#### **NEED IN THE GEOGRAPHIC AREA TO BE SERVED**

Applicants must identify the geographic area to be served.

- The rationale for choosing the geographic area to be served. As noted earlier, the *geographic area for youth programs* can be a city, a county, a sub-area of a city or county, a set of contiguous counties, an Indian Reservation, a local workforce investment area, or other similar geographic area. The *geographic area for adult programs* must be an urbanized area or urban cluster, as determined by the Census Bureau in the most recently available census, have a large number of prisoners returning to the area each year (by showing that the number of prisoners returning to the county or city of the target area each year is greater than the number of prisoners returning to an adjoining county or city of the target area) and have a high rate of recidivism (equal to or greater than 30%) among prisoners returning to the area. You must describe the area you propose to serve along with your rationale for choosing that area;
- The resources currently available for serving returning ex-offenders with characteristics common to female ex-offenders in the target area. Provide a full explanation and the source of your data;
- The current gaps in services to ex-offenders with characteristics common to female ex-offenders in the target area. Provide a full explanation and the source of your data; and
- The extent to which there is a pool of eligible participants that is equal to or greater than the number of participants that the applicant proposes to serve in the geographic area (applicants must identify the number of participants they propose to serve). You must document

that there is a sufficient number of female ex-offenders in the geographic area to be served to meet the number of participants that you propose to serve. See Section III. D. for definition of eligible participants.

- Applicants proposing to serve juvenile ex-offenders must provide data from the juvenile justice system showing the number of juvenile female offenders in the target area who were in correctional facilities, in detention, in alternative sentencing programs, in diversion programs, on parole and on probation for the most recent year available;
- Applicants proposing to serve adult ex-offenders must provide data from the criminal justice system showing the number of adult female offenders who returned to the target area from federal or state prisons and local jails in the most recent year available.

### **PROJECT DESIGN**

Describe how you will address the five project design components listed below.

#### **A. Recruitment and Assessment Strategies**

- 1) Describe how you will recruit participants into your program; and
- 2) Describe how you will use an assessment tool with applicants that provide equal opportunity for male and female applicants and that assesses the risk factors common to female ex-offenders, such as, but not limited to: sexual or physical abuse, family turmoil, early puberty, learning disabilities and school failure, and mental health and substance abuse issues.

#### **B. Strategies of Empowerment and Self-Development**

- 1) Describe your personal development activities for participants, which include: the development of non-technical, or soft, skills, abilities, and traits that participants need to function in a work environment.
- 2) Describe how these activities support one or more workplace competencies, which may include problem-solving and other cognitive skills, oral communication skills, personal qualities, work ethic, and interpersonal and teamwork skills.
- 3) Describe how the empowerment and self-development components are integrated into the overall program.
- 4) Discuss the strategy for ensuring that sub-grantees develop evidence-based mentoring programs, including the grantees' requirements of the sub-grantee in the areas of: mentor recruiting and matching with participants; frequency of interactions, type of contact, and method of interaction with participants; quality and comprehensiveness of the training to be provided to mentors and the strategy for support and supervision of mentors; and the level of experience that the Grantee will require of sub-grantees in operating mentoring programs.

#### **C. Strategies in Case Management**

Describe the ratio of case managers to participants and how the case managers will act as advocates for program participants.

- 1) Describe how case managers will assist community supervision officers in serving returning ex-offenders and in linking them to supportive services, such as: transportation, housing, mental health services, substance abuse treatment centers, legal aid services, organizations that assist with family reunification, and child support services.
- 2) Describe how case managers will: coordinate with child care agencies to ensure that participants with children have access to child care; ensure that participants receive training in financial literacy; counsel participants about their civil rights, including civil rights issues related to criminal records and employment; assist participants in applying for jobs and Federal benefits such as Pell Grants, the supplemental Nutrition Assistance Program (SNAP) and Medicaid and if the person has a disability, provide counsel on their right to free and appropriate education and reasonable work accommodations.
- 3) Describe how case management services will bridge active program participation and the follow-up period to ensure adequate tracking of post-program outcomes and retention success for participants within the period of performance of the grant.
- 4) If providing pre-release services, describe the case management services that participants in confinement will receive before release, such as: planning to link them to supportive services and connections to transportation and housing assistance, mental health and other social services upon release.

#### **D. Education and Training**

- 1) Based on the population you are serving (i.e. adult or youth), describe the educational components to be offered. Include the types of educational interventions and/or support such as: reading and math remediation; credit retrieval/compilation of credits from various high schools and correctional facilities; tutoring; high school diploma or other State-recognized educational credential attainment; language instruction for those with limited English proficiency; and assisting participants to complete college applications and financial aid forms. Include the number of hours or percentage of time spent in this activity.
- 2) Describe how these educational interventions will be integrated into career and occupational development, including nontraditional jobs for women.
- 3) Identify the type(s) of training offered that lead to credentials in demand industries in the local area.
- 4) Describe the process and resources used to identify these training program(s). You must use Bureau of Labor Statistics (BLS) data on training program(s) that are relevant to the employment needs of their local community.

## **E. Workforce Development**

- 1) Describe how you will assist participants in developing their career goals and understanding career pathway options.
- 2) Describe how you will develop an Individual Career Plan for each participant and what issues the plan will address.
- 3) Describe how you will develop and provide training opportunities in “non-traditional” jobs for women.
- 4) Describe how you will deliver the workforce development component, including: paid and unpaid work experience; on-the-job training (OJT); internships which allow participants to interact with professionals in their field of interest; vocational and occupational training opportunities, placement into apprenticeships, employment, and career exploration; paid and unpaid part-time work experience; and part-time employment and summer employment, depending on the population to be served.
- 5) If you propose to serve participants pre-release, describe how you will provide exposure to career pathway options and establish career goals for participants in confinement.

## **F. Follow-Up Services**

- 1) Describe the efforts that will be made to ensure sufficient follow-up services are provided to participants for a minimum of 9 months during the grant performance period.
- 2) Describe the follow-up services that will be provided, such as: regular contact with participants to ensure retention in employment and/or school; assistance in addressing work-related or school-related problems; assistance in securing better paying jobs or career development; furthering education; referrals to peer support groups; mentoring; and tracking progress made by participants in employment and/or education after training.
- 3) Describe the frequency and intervals of contact with participants during the follow-up component of the program.

## **PARTNERSHIPS**

### **A. Required Partnerships**

1. Identify the partners and describe the extent to which the applicant has received commitments from the required partners which include: state and/or local juvenile justice or criminal justice correctional facilities (residential) as appropriate for the population proposed to serve; state and/or local juvenile justice or criminal justice correctional facilities (non-residential) as appropriate for the population proposed to serve; state and/or local mental health facilities; state and/or local drug and alcohol abuse treatment centers; American Job Centers, Workforce Investment Boards (WIBs), and other local workforce system agencies; and for applicants proposing to serve adults, local housing agencies; as referenced in Section I.C (**Required Partnerships and Roles**).

2. Describe the partners' roles in the development and implementation of training programs.

Note: Letters of commitment and/or memorandum of understanding must be included as attachments to the Project Narrative as documentation of required partnerships. The letters must clearly specify the roles and responsibilities of each required partner.

**B. Additional Partnerships**

1. Identify the partners and describe the progress made and extent to which the applicant has received commitments from additional suggested partners listed in Section I.D (Additional Partnerships for Youth and Adult Programs). Include letters of commitment and/or memorandum of understanding as applicable to support your response.
2. Describe the partners' roles in the development and implementation of training programs.

**ORGANIZATIONAL ADMINISTRATIVE AND FISCAL CAPACITY**

- Discuss the length of time and the specific experience the organization has in operating programs for ex-offenders.
- Performance Chart: In chart format, as an attachment to the project narrative, all applicants must provide information on past grant performance as required by the grantor, using one of the categories below that is applicable for your organization.
  - *Youth-Serving Applicants* – If you have completed an ETA youth ex-offender grant on or after January 1, 2009, you must, with respect to the most recently completed youth ex-offender grant only, provide past grant performance goals established by DOL and the actual grant outcomes obtained for 1) enrollment and 2) placement (in employment, the military, post-secondary education, or advanced training/occupational skills training). If you have not completed an ETA youth ex-offender grant on or after January 1, 2009, you must use data from a completed grant, not from DOL, using the instructions in the category below for Youth-Serving applicants that have not previously received an ETA youth ex-offender grant.
  - *Adult-Serving Applicants* - If you have completed an ETA adult Reintegration of Ex-Offenders (RExO), formerly known as the Prisoner Reentry Initiative, grant on or after January 1, 2009, you must, with respect to the most recently completed RExO adult grant only, provide past grant performance goals established by DOL and the actual grant outcomes obtained for 1) enrollment and 2) the entered employment rate. If you have not completed an ETA adult RExO grant on or before January 1, 2009, you must use data from a completed grant, not from DOL, using the instructions in the category below for Adult-Serving applicants that have not previously received an ETA adult RExO grant.

- *Youth-Serving Applicants* with no previous ETA youth ex-offender grant awards: You must provide information on the most recently completed grant that was completed on or after January 1, 2009 in which you served youth offenders. This may include a program or project that was funded by a Federal agency other than DOL, state or local agencies, one or more foundations, or funded from individual donations and contributions. You must select and provide two goals required by the grantor(s)/funder(s) and the actual outcomes obtained.
- *Adult-Serving Applicants* with no previous ETA adult RExO grant awards: You must provide information on the most recently completed grant that was completed on or after January 1, 2009 in which you served adult ex-offenders. This may include a program or project that was funded by a Federal agency other than DOL, state or local agencies, one or more foundations, or funded from individual donations and contributions. Specifically, you must select and provide two goals required by the grantor(s)/funder(s) and the actual outcomes obtained.

All applicants may reference only one project that was awarded on or after January 1, 2009, as described above. In the attachment, applicants must also provide the project grant number along with the name, title, organization, email address and telephone number of an individual from the previous grantor entity or agency who has oversight for the program referenced above and can verify the information stated by the applicant.

**ETA reserves the right to confirm this information for all applicants.**

- **Performance Narrative:** Explain the circumstances for the project referenced above that enabled you to meet the project goals or that prevented you from meeting them. You should discuss the systems in place that allowed you to meet the goals or, if you did not meet the goals, explain how those challenges were overcome to make the project as successful as possible.
- **Timely Reporting:** In chart format as an attachment to the project narrative, you must provide the two most recent grant report due dates and the actual dates on which the reports were submitted for the grant project identified above. These reports can be programmatic, financial or other reports required by the grant. If the contact person from the grantor entity or agency who can verify timely submission of reports differs from the contact person verifying past grant performance goals and actual grant outcomes, you must submit the name, title, email address and telephone number for this additional individual. Include this information in the attachment for this sub-criterion.

**ETA reserves the right to confirm this information for all applicants.**

**4. Attachments to the Project Narrative**

In addition to the Project Narrative, the applicant must submit the following attachments:

- a) All applicants must submit an up to two-page abstract summarizing the proposed project, including but not limited to the name of the applicant, title of the project, identification of the population to be served, either youth or adult, scope of the project including the type of training and credentials that will be attained, total number of participants to be served (the cost per participant must not exceed \$8,000 over the period of the grant) and proposed outcomes including placement in unsubsidized employment and credential attainment. The Abstract is limited to two-page double –spaced single sided 8.5x11 inch pages with 12 point text font and 1 inch margins. If using grants.gov for submission, this document must be attached under the Mandatory Other Attachment section and labeled “Abstract.” Please note that applicants will be held to outcomes provided and failure to meet those outcomes may have a significant impact on future grants with ETA.
- b) All applicants must submit a Project/Performance Site Location(s) form (available at <http://apply07.grants.gov/apply/FormLinks?family=15> ). If using grants.gov for submission, this form must be attached under the required forms section. Please note that this is a standard form used for many programs and has a check box for applying as an individual. Disregard this box on the form as individuals are not eligible to apply for this solicitation.
- c) All applicants must submit documentation from the Internal Revenue Service (IRS) that verifies the applicant’s non-profit 501(c)(3) status. The documentation must be signed by an authorized representative of the IRS. All applicants must submit this verification even if the applicant is a current DOL grantee and documentation is assumed to be on file.
- d) All applicants must submit the charts documenting past grant performance and timeliness of reports as discussed in Section IV;
- e) All applicants must submit the previous grantor contact information as discussed in Section IV; and
- f) All applicants must submit Memorandums of Understanding and/or Letters of Commitment of required partners that clearly specify the roles and responsibilities of each partner.
- g) Memorandums of Understanding and/or Letters of Commitment of additional partners (as applicable) that clearly specify the roles and responsibilities of each partner.

All attachments must be affixed as separate, clearly identified appendices to the application.

Only those attachments listed above will be excluded from the page limit. Additional materials such as resumés will not be considered. Applicants must submit their application in one package because documents received separately will be tracked separately and will not be attached to the

application for review. DOL will not accept general letters of support submitted by organizations or individuals that are not partners in the proposed project and that do not directly identify the specific commitment or roles of the project partners.

#### C. Submission Date, Times, Process and Addresses

The closing date for receipt of applications under this announcement is **April 17, 2013**. Applications may be submitted electronically on <http://www.grants.gov> or in hard copy by mail or hand delivery (**including overnight delivery**). Hard copy applications must be received at the address below no later than 4:00:00 p.m. Eastern Time on the closing date.

Applications submitted on grants.gov must also be successfully submitted (as described below) no later than 4:00:00 p.m. Eastern Time on the closing date. Applications sent by e-mail, telegram, or facsimile (FAX) will not be accepted.

Applicants submitting proposals in hard copy must submit an original signed application (including the SF-424) and one (1) “copy-ready” version free of bindings, staples or protruding tabs to ease in the reproduction of the proposal by DOL. Applicants submitting proposals in hard copy are also required to provide an identical electronic copy of the proposal on compact disc (CD). If discrepancies between the hard copy submission and CD copy are identified, the application on the CD will be considered the official applicant submission for evaluation purposes. Failure to provide identical applications in hardcopy and CD format may have an impact on the overall evaluation.

If an application is physically submitted by both hard copy and through <http://www.grants.gov>, a letter must accompany the hard-copy application stating which application to review. If no letter accompanies the hard copy, we will review the copy submitted through <http://www.grants.gov>.

No exceptions to the mailing and delivery requirements set forth in this notice will be granted. Further, documents submitted separately from the application, before or after the deadline, will not be accepted as part of the application.

Mailed applications must be addressed to the U.S. Department of Labor, Employment and Training Administration, Division of Federal Assistance, Attention: Latifa Jeter, Grant Officer, Reference SGA/DFA PY 12-04, 200 Constitution Avenue, NW, Room N4716, Washington, DC 20210. Applicants are advised that mail delivery in the Washington DC area may be delayed due to mail decontamination procedures. Hand-delivered proposals will be received at the above address. All overnight mail will be considered to be hand-delivered and must be received at the designated place by the specified closing date and time.

Applications that are submitted through Grants.gov must be successfully submitted at <http://www.grants.gov> no later than 4:00:00 p.m. Eastern Time on the closing date and then subsequently validated by Grants.gov. The submission and validation process is described in more detail below. The process can be complicated and time-consuming. Applicants are strongly advised to initiate the process as soon as possible and to plan for time to resolve technical problems if necessary.

The Department strongly recommends that before the applicant begins to write the proposal, applicants should immediately initiate and complete the “Get Registered” registration steps at [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). Applicants should read through the registration process carefully before registering. These steps may take as much as four weeks to complete, and this time should be factored into plans for electronic submission in order to avoid unexpected delays that could result in the rejection of an application. The site also contains registration checklists to help you walk through the process. The Department strongly recommends that applicants download the “Organization Registration Checklist” at [http://www.grants.gov/assets/Organization\\_Steps\\_Complete\\_Registration.pdf](http://www.grants.gov/assets/Organization_Steps_Complete_Registration.pdf) and 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.

As described above, applicants must have a D-U-N-S® Number and must register with the System for Award Management (SAM). The next step in the registration process is creating a username and password with Grants.gov to become an Authorized Organizational Representative (AOR). AORs will need to know the D-U-N-S® Number of the organization for which they will be submitting applications to complete this process. To read more detailed instructions for creating a profile on Grants.gov visit:

[http://www.grants.gov/applicants/org\\_step3.jsp](http://www.grants.gov/applicants/org_step3.jsp).

After creating a profile on Grants.gov, the E-Biz point of Contact (E-Biz POC) - a representative from your organization who is the contact listed for SAM – will receive an email to grant the AOR permission to submit applications on behalf of their organization. The E-Biz POC will then log in to Grants.gov and approve an applicant as the AOR, thereby giving him or her permission to submit applications. To learn more about AOR Authorization visit: [http://www.grants.gov/applicants/org\\_step5.jsp](http://www.grants.gov/applicants/org_step5.jsp), or to track AOR status visit: [http://www.grants.gov/applicants/org\\_step6.jsp](http://www.grants.gov/applicants/org_step6.jsp).

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 POC approval, establishes an AOR. When you submit

the application through Grants.gov, the name of your AOR on file will be inserted into the signature line of the application. Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the AOR; this step is often missed and it is crucial for valid submissions.

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. Within two business days of application submission, Grants.gov will send the applicant two email messages to provide the status of the application's progress through the system. The first email, sent almost immediately, 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 SAM is expired.

Only applications that have been successfully submitted by the deadline and subsequently successfully validated will be considered. It is the sole responsibility of the applicant 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, sufficient time should be allotted for submission (two business days) 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 sufficient time is not allotted and a rejection notice is received after the due date and time, the application will not be considered.

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 us from considering the application. ETA will attempt to open the document but will not take any additional measures in the event of problems with opening. In such cases, the non-conforming application will not be considered for funding.

We strongly advise applicants to use the various tools and documents, including FAQs, which are available on the "Applicant Resources" page at [http://www.grants.gov/applicants/applicants\\_faqs.jsp](http://www.grants.gov/applicants/applicants_faqs.jsp).

ETA encourages new prospective applicants to view the online tutorial, "Grant Applications 101: A Plain English Guide to ETA Competitive Grants," available through Workforce3One at: [http://www.workforce3one.org/page/grants\\_toolkit](http://www.workforce3one.org/page/grants_toolkit).

To receive updated information about critical issues, new tips for users and other time sensitive updates as information is available, applicants may subscribe to “Grants.gov Updates” at [http://www.grants.gov/applicants/email\\_subscription\\_signup.jsp](http://www.grants.gov/applicants/email_subscription_signup.jsp).

If applicants encounter a problem with Grants.gov and do not find an answer in any of the other resources, call 1-800-518-4726 or 606-545-5035 to speak to a Customer Support Representative or email “[support@grants.gov](mailto:support@grants.gov)”. The Contact Center is open 24 hours a day, seven days a week. It is closed on federal holidays.

**Late Applications:** For applications submitted on Grants.gov, only applications that have been successfully submitted no later than 4:00:00 p.m. Eastern Time on the closing date and then successfully validated will be considered. Applicants take a significant risk by waiting to the last day to submit by Grants.gov.

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

#### D. Intergovernmental Review

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

#### E. Funding Restrictions

All proposed project costs must be necessary and reasonable and in accordance with Federal guidelines. Determinations of allowable costs will be made in accordance with the applicable Federal cost principles. Disallowed costs are those charges to a grant that the grantor agency or its

representative determines not to be allowed in accordance with the applicable Federal cost principles or other conditions contained in the grant. Applicants, whether successful or not, will not be entitled to reimbursement of pre-award costs.

#### 1. Indirect Costs

As specified in Office of Management and Budget (OMB) Circular Cost Principles, indirect costs are those that have been incurred for common or joint objectives and cannot be readily identified with a particular final cost objective. An indirect cost rate (ICR) is required when an organization operates under more than one grant or other activity, whether Federally-assisted or not. Organizations must use the ICR supplied by the Federal Cognizant Agency. If an organization requires a new ICR or has a pending ICR, the Grant Officer will award a temporary billing rate for 90 days until a provisional rate can be issued. This rate is based on the fact that an organization has not established an ICR agreement. Within this 90 day period, the organization must submit an acceptable indirect cost proposal to their Federal Cognizant Agency to obtain a provisional ICR.

#### 2. Administrative Costs

Under this SGA, an entity that receives a grant to carry out a project or program may not use more than 10 percent of the amount of the grant to pay administrative costs associated with the program or project. Administrative costs could be direct or indirect costs, and are defined at 20 CFR 667.220. Administrative costs do not need to be identified separately from program costs on the SF-424A Budget Information Form. However, they must be tracked through the grantee's accounting system. To claim any administrative costs that are also indirect costs, the applicant must obtain an Indirect Cost Rate Agreement from its Federal Cognizant Agency, as specified above.

#### 3. Salary and Bonus Limitations

None of the grant funds 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 vendors providing goods and services as defined in OMB Circular A-133 (codified at 29 CFR Parts 96 and 99). See Public Laws 112-175 (section 101(a)(8)), 112-74 (Division F, Title I, section 105), 112-10 (Division B, Title I), 111-117 (Division D, Title I, section 107) and Training and Employment Guidance Letter number 5-06 for further clarification: [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2262](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2262).

#### 4. Intellectual Property Rights

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 subgrant or contract under the grant or subgrant; and ii) any

rights of copyright to which the grantee, subgrantee 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, these revenues are program income. Program income is added to the grant and must be expended for allowable grant activities. If applicable, the following needs to be on all products developed in whole or in part with grant funds:

“This workforce product was funded by a grant awarded by the U.S. Department of Labor’s Employment and Training Administration. The product was created by the grantee and does not necessarily reflect the official position of the U.S. Department of Labor. The U.S. Department of Labor makes no guarantees, warranties, or assurances of any kind, express or implied, with respect to such information, including any information on linked sites and including, but not limited to, accuracy of the information or its completeness, timeliness, usefulness, adequacy, continued availability, or ownership. This product is copyrighted by the institution that created it. Internal use by an organization and/or personal use by an individual for non-commercial purposes is permissible. All other uses require the prior authorization of the copyright owner.”

##### 5. Use of Grant Funds for Participant Wages, Stipends, Incentives, and Needs-Related Payments

Grant funds may be used to pay wages and related benefits for work experiences in the public, private for-profit, or non-profit sectors where the objective assessment and Individual Career Plan indicate that work experiences are appropriate. Payments may take the form of wages or stipends. Stipends are generally provided to participants for participating in classes and training. Wages are compensation for services performed for an employer. Grantees must comply with WIA section 181 and 20 CFR 667.272 of the WIA regulations, which detail the applicable wage and labor standards. If paying participants a stipend, grantees must maintain documentation on how the amount for the stipend was set and the parameters governing its distribution. Grantees providing wages or stipends to participants should be aware of the implications under IRS provisions. Please consult [www.irs.gov](http://www.irs.gov) for more information.

In addition, grantees are authorized to provide incentive payments to youth. WIA Sec. 129(a)(5) authorizes incentive payments to youth for recognition and achievement tied to training activities and work experiences. Incentive payments to adults are typically unallowable costs under WIA; however,

activities under this SGA are authorized under Section 171(b) of WIA, which allows for demonstration and pilot projects for the purpose of developing and implementing techniques and approaches, and demonstrating the effectiveness of specialized methods, in addressing employment and training needs.

Incentive payments must be tied to the goals of the grant. The organization must have policies and procedures in place governing the award of incentives and the incentives provided under the grant must be in alignment with these organizational policies. In addition, incentive payments are generally considered miscellaneous compensation and are taxable. Please consult [www.irs.gov](http://www.irs.gov) for more information. Under this solicitation, grantees can use no more than 1.5% of the award for incentive payments.

Needs-related payments are a form of supportive services which are paid directly to participants or to other entities to cover specific items of cost incurred by the participant for allowable services that enable the individual to participate in the activity or program. See 20 CFR 663.815. Up to 1.5% of DOL grant funds may be used to provide needs-related payments to assist participants with costs related to transportation, child care, food or other household items, such as paying a utility bill to prevent shut-off. Needs-related payment should be tied directly to the cost identified and must be documented to support both the participant’s need for the service as well as the actual transaction. Grantees must have a consistent policy in place on the provision of needs-related payments.

**F. Other Submission Requirements**

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

**V. Application Review Information**

**A. Evaluation Criteria**

Procedures for assessing the technical merit of applications have been instituted to provide for an objective review of applications and to assist the applicant in understanding the standards against which each application will be judged. The evaluation criteria are based on the information required in the application as described in Section I. and Section IV.B. The evaluation criteria are described below:

Criterion	Points
1. Need in the Geographic Area to be Served (up to 10 points)	10
2. Project Design	50
a) Recruitment and Assessment Strategies (up to 5 points)	
b) Strategies of Empowerment and Self-Development (up to 10 points)	
c) Strategies in Case Management (up to 10 points)	

d) Education and Training (up to 10 points)	
e) Workforce Development (up to 10 points)	
f) Follow-up Strategies (up to 5 points)	
3. Partnerships	25
a) Required Partnerships (up to 20 points)	
b) Additional Partnerships (up to 5 points)	
4. Organizational Administrative and Fiscal Capacity	15
a) Length of time and specific experience providing services for ex-offenders ( up to 5 points)	
b) Performance Chart (up to 4 points)	
c) Performance Narrative (up to 4 points)	
d) Timeliness of Reporting (up to 2 points)	
<b>TOTAL</b>	<b>100</b>

**1. NEED IN THE GEOGRAPHIC AREA TO BE SERVED (Up to 10 points)**

Points will be awarded under this criterion based on the case you make in your proposal for the local need for the project.

**2. PROJECT DESIGN (Up to 50 points)**

This criterion will be evaluated on the likely effectiveness of the project design as determined by the specific information, research, and analysis presented in support of the following:

- a) Recruitment and Assessment Strategies (Up to 5 points)
- b) Strategies of Empowerment and Self-Development (Up to 10 points)
- c) Strategies in Case Management (Up to 10 points)
- d) Education and Training (Up to 10 points)
- e) Workforce Development (Up to 10 points)
- f) Follow-Up Strategies (Up to 5 points)

**3. PARTNERSHIPS (Up to 25 points)**

Points for Partnerships will be awarded on the comprehensiveness and completeness of the responses and the descriptions and documentation provided to support the following:

- a) Required Partnerships (Up to 20 Points)  
**Note:** Points will be deducted if Memoranda of Understanding and/or Letters of Commitment are not affixed as attachments to support the claim of the required partnerships. The letters must clearly specify the roles and responsibilities of each partner and should be signed by representatives from each partner agency.
- b) Additional Partnerships (Up to 5 Points)

**4. ORGANIZATIONAL ADMINISTRATIVE AND FISCAL CAPACITY (Up to 15 points)**

The rating methodology for this criterion is described in the bullet points below.

- a) Discussion of the length of time and the specific experience the organization has in operating programs for ex-offenders. Points will be determined based on the comprehensiveness of the response and the relevance of the response to the proposed project. **(up to 5 points)**
- b) Performance Chart **(up to 4 points):**
  - If the goals, outcomes obtained and contact information for this specific past experience are not provided in the attachment for the selected project, the applicant will receive 0 points for this sub-criterion.
  - Applicants who demonstrate that they exceeded their reported project goals will receive the full 4 points for this sub-criterion.
  - Applicants who met, but did not exceed, their reported project goals will receive 3 points for this sub-criterion.
  - Applicants who met only one project goal, but exceeded that goal, will receive 2 points for this sub-criterion.
  - Applicants who met only one goal and did not exceed that goal will receive 1 point for this sub-criterion.
  - Applicants who did not meet either goal, will receive 0 points for this sub-criterion.
- c) Performance Narrative: Points will be determined based on the level of success indicated by the evidence provided. **(up to 4 points)**
- d) Timely Reporting: **(up to 2 points)**
  - If the dates as outlined in section IV are not provided in the attachment, applicants will receive 0 points for this sub-criterion.
  - Applicants that demonstrate that they met both due dates will receive 2 points for this sub-criterion.
  - Applicants that demonstrate that they met only one due date will receive 1 point for this sub-criterion.
  - Applicants that did not meet any of the due dates will receive 0 points for this sub-criterion.

## B. Review and Selection Process

Applications for grants under this Solicitation will be accepted after the publication of this announcement and until the specified time on the closing date. A technical review panel will carefully evaluate applications against the selection criteria. These criteria are based on the policy goals, priorities, and emphases set forth in this SGA. Up to 100 points may be awarded to an application, depending on the quality of the responses to the required information described in section IV.B. The ranked scores (which may include the mathematical normalization of review panels) will serve as the primary basis for selection of applications for funding, in conjunction with other factors such as geographic balance; the availability of funds; and which proposals are most advantageous to the government. The panel results are advisory in nature and not binding on the Grant Officer. The Grant Officer

may consider any information that comes to his/her attention. The government may elect to award the grant(s) with or without discussions with the applicant. Should a grant be awarded without discussions, the award will be based on the applicant's signature on the SF-424, including electronic signature via E-Authentication on <http://www.grants.gov>, which constitutes a binding offer by the applicant.

## **VI. Award Administration Information**

### **A. Award Notices**

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

Selection of an organization as a grantee does not constitute approval of the grant application as submitted. Before the actual grant is awarded, ETA 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. DOL reserves the right to not fund any application related to this SGA.

### **B. Administrative and National Policy Requirements**

#### **1. Administrative Program Requirements**

All grantees will be subject to all applicable Federal laws, regulations, and the applicable OMB Circulars. The grant(s) awarded under this SGA will be subject to the following administrative standards and provisions:

- a. Non-Profit Organizations – OMB Circular A-122 (Cost Principles), relocated to 2 CFR Part 230, and 29 CFR Part 95 (Administrative Requirements)
- b. Educational Institutions – OMB Circular A-21 (Cost Principles), relocated to 2 CFR Part 220, and 29 CFR Part 95 (Administrative Requirements).
- c. State, Local and Indian Tribal Governments – OMB Circular A-87 (Cost Principles), relocated to 2 CFR Part 225, and 29 CFR Part 97 (Administrative Requirements).
- d. Profit Making Commercial Firms – Federal Acquisition Regulation (FAR) – 48 CFR part 31 (Cost Principles), and 29 CFR Part 95 (Administrative Requirements).
- e. All Grant Recipients must comply with the applicable provisions of The Workforce Investment Act of 1998, Public Law No. 105-220, 112 Stat. 936 (codified as amended at 29 U.S.C. 2801 et seq.) and the applicable provisions of the regulations at 20 CFR 660 et seq. Note that 20 CFR part 667 (General Fiscal and Administrative Rules) includes unsuccessful applicant appeal information.

- f. All entities must comply with 29 CFR Part 93 (New Restrictions on Lobbying), 29 CFR Part 94 (Governmentwide Requirements for Drug-Free Workplace (Financial Assistance)), 29 CFR 95.13 and Part 98 (Governmentwide Debarment and Suspension, and drug-free workplace requirements), and, where applicable, 29 CFR Part 96 (Audit Requirements for Grants, Contracts, and Other Agreements) and 29 CFR Part 99 (Audits of States, Local Governments and Non-Profit Organizations).
- g. 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.
- h. 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.
- i. 29 CFR Part 32—Nondiscrimination on the Basis of Handicap in Programs or Activities Receiving Federal Financial Assistance.
- j. 29 CFR Part 35— Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance from the Department of Labor.
- k. 29 CFR Part 36—Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance.
- l. 29 CFR Part 37 – Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Investment Act of 1998.
- m. 29 CFR Parts 29 and 30—Labor Standards for the Registration of Apprenticeship Programs, and Equal Employment Opportunity in Apprenticeship and Training, as applicable.

## 2. Other Legal Requirements:

### a. Religious Activities

The Department notes that the Religious Freedom Restoration Act (RFRA), 42 U.S.C. Section 2000bb, applies to all Federal law and its implementation. If your 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 Title I of the Workforce Investment Act and maintain that hiring practice even though Section 188 of the Workforce Investment Act contains a general ban on religious discrimination in employment. If you are awarded a grant, you will be provided with information on how to request such an exemption.

### 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 OMB Circular A-

122).

c. Transparency Act Requirements

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

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

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

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

d. Safeguarding Data Including Personally Identifiable Information (PII)

Applicant's submitting proposals in response to this SGA 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 a proposal, Grantees are assuring that all data exchanges conducted through or during the course of performance of this grant will be conducted in a manner consistent with applicable Federal law and TEGL No. 39-11 (issued June 28, 2012). All such activity conducted by ETA and/or Grantee/s will be performed in a manner consistent with applicable state and Federal laws. By submitting a grant proposal, the applicant agrees to take all necessary steps to protect such confidentiality by complying with the following provisions that are applicable in governing their handling of confidential information:

1. Grantees must secure transmission of PII and sensitive data developed, obtained, or otherwise associated with DOL/ETA funded grants.
2. To ensure that such PII is not transmitted to unauthorized users, all PII and other sensitive data transmitted via e-mail or stored on CDs,

DVDs, thumb drives, etc., must be encrypted using a Federal Information Processing Standards (FIPS) 140-2 compliant and National Institute of Standards and Technology (NIST) validated cryptographic module. Grantees must not e-mail unencrypted sensitive PII to any entity, including ETA or contractors.

3. Grantees 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. Grantees must maintain such PII in accordance with the ETA standards for information security described in this TEGl and any updates to such standards provided to the grantee by ETA. Grantees who wish to obtain more information on data security should contact their Federal Project Officer.
4. Grantees shall ensure that any PII used during the performance of their grant has been obtained in conformity with applicable Federal and state laws governing the confidentiality of information.
5. Grantees further acknowledge that all PII data obtained through their ETA grant shall be stored in an area that is physically safe from access by unauthorized persons at all times and the data will be processed using grantee 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-grantee managed IT services, e.g., Yahoo mail, is strictly prohibited unless approved by ETA.
6. Grantee employees and other personnel who will have access to sensitive/confidential/proprietary/private data must be advised of the confidential nature of the information, the safeguards required to protect the information, and that there are civil and criminal sanctions for noncompliance with such safeguards that are contained in Federal and state laws.
7. Grantees must have their policies and procedures in place under which grantee employees and other personnel, before being granted access to PII, acknowledge their understanding of the confidential nature of the data and the safeguards with which they must comply in their handling of such data as well as the fact that they may be liable to civil and criminal sanctions for improper disclosure.
8. Grantees must not extract information from data supplied by ETA for any purpose not stated in the grant agreement.
9. Access to any PII created by the ETA grant must be restricted to only those employees of the grant recipient who need it in their official capacity to perform duties in connection with the scope of work in the grant agreement.
10. All PII data must be processed in a manner that will protect the confidentiality of the records/documents and is designed to prevent unauthorized persons from retrieving such records by computer,

remote terminal or any other means. Data may be downloaded to, or maintained on, mobile or portable devices only if the data are encrypted using NIST validated software products based on FIPS 140-2 encryption. In addition, wage data may only be accessed from secure locations.

11. PII data obtained by the grantee through a request from ETA must not be disclosed to anyone but the individual requestor except as permitted by the Grant Officer.
12. Grantees 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 the grantee is complying with the confidentiality requirements described above. In accordance with this responsibility, grantees must make records applicable to this Agreement available to authorized persons for the purpose of inspection, review, and/or audit.
13. Grantees 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 or ETA program evaluation requirements, if any. Thereafter, the grantee agrees that all data will be destroyed, including the degaussing of magnetic tape files and deletion of electronic data.

### 3. Other Administrative Standards and Provisions

Except as specifically provided in this SGA, DOL/ETA's acceptance of a proposal 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 Circulars require that an entity's procurement procedures must ensure that all procurement transactions are conducted, as much as practical, to provide open and free competition. If a proposal identifies a specific entity to provide services, the DOL's award does not provide the justification or basis to sole source the procurement, i.e., avoid competition.

### 4. Special Program Requirements

#### A. Evaluation

DOL may require that a program or project participate in a formal evaluation of overall grant performance of ETA grants and require the cooperation of the grantee as a condition of award. To measure the impact of the grant program, DOL may conduct an independent evaluation of the outcomes and benefits of the projects employing evaluation methodologies which may include comparison group methods such as random assignment of individuals into treatment (service) and control groups (non-service). By accepting the grant funds, grantees of DOL/ETA sponsored programs agree to fully cooperate in any DOL sponsored evaluation and collect, maintain, and make individual records on participants (including personally identifying information such as SSN), employers, and funding available to the evaluator(s) under the direction of DOL with appropriate measures to protect the confidentiality of

participants. Please note that this evaluation may make use of program Management Information System (MIS) data, local administrative data on crime and recidivism, and program progress reports. It is critical that the grantee keep this information up to date and accurate for both performance measurement and evaluation purposes. . We recognize that there will be limitations on this cooperation due to State confidentiality requirements on data on individual offenders.

## B. Performance Goals

These grants will be subject to performance goals measuring their progress in meeting the goals of the grants. National goals will be set after grant award in the following areas:

- The placement rate of participants including placement in employment, post-secondary institutions, advanced training, or occupational skills training;
- The retention of participants placed in employment and education placements in the quarter after program completion;
- The recidivism rate of youth and adult ex-offenders served; and
- The rate at which participants receive high school diplomas (or state equivalents) and/or industry-recognized credentials;
- The rate at which out-of-school youth who are basic skills deficient improve in literacy and/or numeracy; and
- Average wage earnings for adult participants only.

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 have a significant impact on decisions regarding future grants with ETA.

## C. Reporting

Grantees must agree to meet DOL reporting requirements. Quarterly financial reports, quarterly progress reports, and MIS data must be submitted by the grantee electronically. The grantee is required to provide the reports and documents listed below:

### 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. Grantees must use DOL's Online Electronic Reporting System and information and instructions will be provided to grantees.

### 2. Quarterly Performance Reports

The grantee must submit a quarterly progress report within 45 days after the end of each calendar year quarter. The report must include quarterly information regarding grant activities and participant demographics at time of

enrollment, participants services provided, and interim and long-term participant performance outcomes. This reporting also requires information on post-program follow-up and tracking of participants. The last quarterly progress report that grantees submit will serve as the grant's Final Performance Report. This report should provide both quarterly and cumulative information on the grant activities. It must summarize project activities, employment outcomes and other deliverables, and related results of the project, and should thoroughly document the training or labor market information approaches used by the grantee. DOL will provide grantees with formal guidance about the data and other information that is required to be collected and reported on either a regular basis or special request basis. Grantees must agree to meet DOL reporting requirements.

### 3. Quarterly Narrative Reports

Grantees will be required to submit a Quarterly Narrative Report within 45 days after the end of each calendar year quarter. This report must summarize project activities, employment outcomes and other deliverables, and related results of the project, and should thoroughly document the training or labor market information approaches used by the grantee.

#### D. Record Retention

Applicants must be prepared to follow Federal guidelines on record retention, which require grantees to maintain all records pertaining to grant activities for a period of not less than three years from the time of final grant close-out.

## **VII. Agency Contacts**

For further information about this SGA, please contact Denise Roach, Grants Management Specialist, Division of Federal Assistance, at (202) 693-3820. Applicants should e-mail all technical questions to [roach.denise@dol.gov](mailto:roach.denise@dol.gov) and must specifically reference SGA/DFA PY 12-04, and along with question(s), include a contact name, fax and phone number. This announcement is being made available on the ETA Web site at <http://www.doleta.gov/grants> and at <http://www.grants.gov>.

## **VIII. Additional Resources of Interest to Applicants**

### A. Web-Based Resources

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

Career Clusters and Industry Competency Models both identify foundational and technical competencies, but their efforts are not duplicative. The Career Clusters link to specific career pathways in sixteen career cluster areas and place greater emphasis on elements needed for curriculum performance objectives; measurement criteria; scope and sequence of courses in a program of study; and development of assessments. Information about the sixteen career cluster areas can be found by accessing: [www.careerclusters.org](http://www.careerclusters.org).

#### C. Workforce3One Resources

1. ETA encourages applicants to view the information gathered through the conference calls with Federal agency partners, industry stakeholders, educators, and local practitioners. The information on resources identified can be found on Workforce3One.org at:  
<http://www.workforce3one.org/view/2001008333909172195/info>.

2. ETA encourages applicants to view the online tutorial, “Grant Applications 101: A Plain English Guide to ETA Competitive Grants,” available through Workforce3One at: [http://www.workforce3one.org/page/grants\\_toolkit](http://www.workforce3one.org/page/grants_toolkit).

#### **IX. Other Information**

OMB Information Collection No 1225-0086, Expires January 31, 2016.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 20 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments about the burden estimated or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, to the attention of the Departmental Clearance Officer, 200 Constitution Avenue NW, Room N1301, Washington, DC 20210. Comments may also be emailed to [DOL\\_PRA\\_PUBLIC@dol.gov](mailto:DOL_PRA_PUBLIC@dol.gov). PLEASE DO NOT RETURN THE COMPLETED APPLICATION TO THIS

ADDRESS. SEND IT TO THE SPONSORING AGENCY AS SPECIFIED  
IN THIS SOLICITATION.

This information is being collected for the purpose of awarding a grant. The information collected through this “Solicitation for Grant Applications” will be used by the Department of Labor to ensure that grants are awarded to the applicant best suited to perform the functions of the grant. Submission of this information is required in order for the applicant to be considered for award of this grant.

Signed February 28, 2013, in Washington, D.C. by:  
Latifa Jeter  
Grant Officer, Employment and Training Administration