

U.S. DEPARTMENT OF LABOR

Employment and Training Administration

Notice of Availability of Funds and Solicitation for Grant Applications for Trade Adjustment Assistance Community College and Career Training Grants Program

Announcement Type: Solicitation for Grant Applications (SGA)

Funding Opportunity Number: SGA/DFA PY 11-08

Catalog of Federal Domestic Assistance (CFDA) Number: 17.282

Key Dates: The closing date for receipt of applications under this announcement is May 24, 2012. Applications must be received no later than 4:00 p.m. Eastern Time. A pre-recorded webinar will be on-line (<http://www.workforce3one.org>) and accessible for viewing on March 9, 2012, and will be available for viewing anytime after that date. While a review of this webinar is encouraged, it is not mandatory that applicants view this recording. Frequently Asked Questions (FAQs) will be posted to the Employment and Training Administration's Trade Adjustment Assistance Community College and Career Training Grants Program (TAACCCT) website at <http://www.doleta.gov/taaccct> no later than March 2, 2012. Please check the TAACCCT website frequently for future updates.

Addresses: Mailed applications must be addressed to the U.S. Department of Labor, Employment and Training Administration, Office of Grants Management, Attention: Donna Kelly, Grant Officer, Reference SGA/DFA PY 11-08, 200 Constitution Avenue, NW, Room N4716, Washington, DC 20210. For complete application and submission information, including online application instructions, please refer to section IV.

Summary: The U.S. Department of Labor (DOL or the Department) announces the availability of up to \$500 million in grant funds to be awarded under the Trade Adjustment Assistance Community College and Career Training (TAACCCT) grant program. The TAACCCT grant program provides eligible institutions of higher education, as defined in section 102 of the Higher Education Act of 1965 (20 U.S.C. 1002), with funds to expand and improve their ability to deliver education and career training programs that can be completed in two years or less, and are suited for workers who are eligible for training under the Trade Adjustment Assistance (TAA) for Workers Program ("TAA-eligible workers") of the Trade Act of 1974 (as amended) 19 U.S.C. 2271-2323, as well as other adults. Eligible institutions may be located in the 50 States, the District of Columbia, Puerto Rico or the U.S. territories; however, the competitiveness of institutions in the U.S. territories under this SGA may be impacted by their limited opportunity to serve TAA-eligible workers. Although the Department expects that a wide range of individuals will benefit from the TAACCCT program, the primary intent is to meet the educational or career training needs of workers who have lost their jobs or are threatened with job loss as a result of foreign trade.

The Department intends to fund multi-year grants to eligible institutions for either developing new education and career training program strategies or for replicating existing evidence-based design, development, and/or delivery strategies for such programs. As a result of this Solicitation for Grant Applications (SGA), the Department is helping to ensure that our nation's institutions of higher education are able to help TAA-eligible workers and other adults succeed in acquiring the skills, degrees, and credentials needed for high-wage, high-skill employment while also meeting the needs of employers for skilled workers.

In accordance with the TAACCCT requirement that each state receive at least 0.5 percent of the approximately \$500 million total amount of funds available under this SGA, the Department intends to fund grants of \$2.5 to \$3.0 million to applicants from each State, the District of Columbia, and Puerto Rico. In addition to grants of \$2.5 to \$3.0 million to individual applicants, the Department intends to fund grants of \$5 million to \$15 million to consortium applicants that propose programs that will impact TAA-eligible workers and other adults across a state, region or regions, industry sector or cluster of related industries. Eligible institutions that received individual grants or were the "lead institution" under the Solicitation for Grant Applications for TAACCCT Grants

Program Funding Opportunity Number: SGA/DFA PY 10-03, dated January 20, 2011, are not eligible to apply for grants under this SGA.

For more information and updates about the TAACCCT grant program, please visit: www.doleta.gov/TAACCCT.

ADDRESSES: Mailed applications must be addressed to the U.S. Department of Labor, Employment and Training Administration, Division of Federal Assistance, Attention: Donna Kelly, Grant Officer, Reference SGA/DFA PY 11-08, 200 Constitution Avenue, NW, Room N-4716, Washington, DC 20210. For complete "Application and Submission Information," please refer to Section IV.

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I. Funding Opportunity Description

A. Overview of the Grant Program

In an increasingly competitive world economy, America's economic strength depends upon the education and skills of its workers. In the coming years, jobs requiring at least an Associate's degree are projected to grow twice as fast as those requiring no college experience. The nation needs workers with the education and skills to succeed in fast growing high-wage occupations, and community colleges serve as significant and rapidly growing contributors to the nation's higher education system. Community colleges work with business, labor, and government in their communities to create tailored education and training programs to meet employers' needs and give students the skills required to obtain good jobs, earn family-sustaining wages, and advance along a career pathway.

The college graduation goals recently set by President Barack Obama and the need to increase the number of workers who attain degrees, certificates, and other industry-recognized credentials are, in part, addressed by the Health Care and Education Reconciliation Act of 2010 (Reconciliation Act), Public Law No. 111-152, 19 USC 2372 – 2372a, which appropriated \$2 billion for Fiscal Years (FY) 2011 – 2014 (\$500 million annually) for the TAACCCT grant program. The TAACCCT program provides grants to eligible institutions to expand and improve their ability to deliver education and career training programs that can be completed in two years or less, are suited for TAA-eligible workers, and prepare participants in grant-funded programs for employment in high-wage, high-skill occupations. The Department expects that successful applicants will propose projects that expand and improve their ability to deliver education and training programs and achieve improved education and employment outcomes, rather than simply offering their existing courses to more workers and other students. The Department is implementing this program in partnership with the U.S. Department of Education.

The overarching goals of this SGA are to: (1) increase attainment of certifications, certificates, diplomas, and other industry-recognized credentials to better prepare TAA-eligible workers and other adults for high-wage, high-skill employment or re-employment in growth industry sectors; (2) introduce innovative and effective methods for curriculum development and delivery that address specific industry needs and lead to improved learning outcomes and retention rates for TAA-eligible workers and other adults; and (3) demonstrate, for TAA-eligible workers in particular, improved employment outcomes as a result of the funded program.

The Department is committed to funding applications that will use data and evidence to: (1) design strategies that are likely to produce significant positive change in learning and employment outcomes; (2) continuously evaluate the effectiveness of their strategies in order to improve their programming; and (3) identify and integrate promising and proven strategies into their education and training programs. The Department expects that the TAACCCT grant program will contribute to the field of research on community college practices through the development and evaluation of innovative program models that provide workers with education and skills to succeed in high-wage, high-skill occupations.

Furthermore, the Department is interested in encouraging the development of accessible online learning strategies that can effectively serve TAA-eligible workers and other adults. Online learning strategies can allow adults who are struggling to balance the competing demands of work and family to acquire new skills at a time, place and pace that are convenient for them. For example, these strategies can improve access to quality education for TAA-eligible workers and other adults in underserved areas and have the potential to help them learn more in less time than they would with traditional classroom instruction alone. The Department strongly encourages consortium applicants to propose programs that reach large and diverse audiences across broad geographic areas and maximize resources available through this program.

All successful applicants must allow broad access for others to use and enhance project products and offerings, including authorizing for-profit derivative uses of the courses and associated learning materials by licensing newly developed materials produced with grant funds

with a Creative Commons Attribution License (CCBY). This license allows subsequent users to copy, distribute, transmit and adapt the copyrighted work and requires such users to attribute the work in the manner specified by the Grantee. The Department will ensure that deliverables developed with these funds are publicly available. See Section I.D.5 for more information on intellectual property rights and CCBY. Applicants must identify the specific intellectual property deliverables that will be developed through the project, such as books, courses, modules, seminars, tutoring systems, simulations, etc., and must specify the expected date to be delivered to the Department (as specified in Section V.A.3.i).

Applicants must conduct a community outreach process to gather information on relevant entities in at least one community where programs will be offered to determine education and training gaps, as described in Section V.A.1.iii. The outreach will ensure that the project is suited to meet the education and training needs of TAA-eligible workers; complements and/or leverages existing programs; and does not duplicate current community efforts.

Finally, all successful applicants must use grant funds to implement an appropriate third-party evaluation of the project.

B. Core Elements for TAACCCT Projects

To ensure that TAACCCT projects accomplish the goals stated above in Section I.A, the Department is committed to funding applications that incorporate the following five Core Elements:

1. Evidence-Based Design;
2. Stacked and Latticed Credentials;
3. Online and Technology-Enabled Learning;
4. Transferability and Articulation; and
5. Strategic Alignment.

Each Core Element is described below in this section, and detailed scoring criteria for each can be found in Section V.A.

1. Core Element 1: Evidence-Based Design

The TAACCCT is one of several Federal grant programs in which grantor agencies fund projects that seek to use evidence to design program strategies. These initiatives fund the development of new strategies or the replication of existing evidence-based strategies and award grants to eligible institutions that are committed to using data to continuously evaluate the effectiveness of their strategies in order to improve their programming. The Department is committed to funding programs that are likely to improve education and employment outcomes for program participants while providing grantees the flexibility to identify and integrate effective strategies in their education and training programs and adjust or improve weaker strategies. Applicants should continue to use evidence to improve their programs throughout the duration of the project.

As specified in Section V.A.2.i, applicants must base their program design on a level of evidence that is appropriate to the project proposed. Applicants who propose to replicate existing strategies should cite strong or moderate evidence from prior research to support the proposed program design. Alternatively, applicants who propose to develop new, untested strategies should cite preliminary research findings, related research findings, and/or reasonable hypotheses to support the design of the program. Please refer to the Strength of Evidence Definitions in Appendix A for more information about levels of evidence.

2. Core Element 2: Stacked and Latticed Credentials

The Department is interested in providing more opportunities for TAA-eligible workers and other adults to earn post-secondary credentials, while supporting the interoperability of programs and reducing duplication across funded programs. Successful applicants must work closely with industry associations and employers who will review programs of study and identify clusters of

courses that could be considered for valued credentials. As specified in Section V.A.2.ii, applicants must incorporate into the program design the development of certifications, certificates, and diplomas, all of which can be stacked as students progress, allowing them to build a portfolio of credentials that can serve them well regardless of whether or not they ultimately complete a full degree program. The Department also strongly encourages applicants to develop specific plans to work with industry associations and employers within industry sectors to develop standardized credentials that are widely recognized by employers and other educational institutions.

In addition to stacking certificates that lead toward a degree, programs should allow the option to “lattice” these credentials. Where stacking is linear, with each credential building on previously-learned content, latticing, as the name implies, allows for side-to-side credentialing. As students progress through a degree plan, earning certificates along the way, they may get to a point where they want to add or shift to another related field of study.

To determine the most effective and accelerated path toward credential attainment, applicants must plan to perform competency-based assessments and award credit for prior learning and experiences of TAA-eligible workers and other adults who enter their program(s), including adults who have served in the Armed Services. Many individuals will bring with them learning and experience in the form of academic credit, non-credit or professional development certificates, and/or work experience, and should be provided the opportunity to demonstrate competencies in order to earn credit or even complete certificates.

Applicants may also plan to develop and offer creative and outcomes-based approaches to enhance the entrepreneurship skills of students in a wide variety of programs. This could include programs that prepare students to:

- Engage in innovation in business processes, new technologies, or accessing the global marketplace;
- Participate in the commercialization of Federally-funded research & development; and/or
- Engage in business formation activities along a continuum of entrepreneurial behavior, from opportunity identification to business incubation to product launch.

3. Core Element 3: Online and Technology-Enabled Learning

The Department is interested in learning strategies that can effectively serve TAA-eligible workers and other adult learners. Online and hybrid (combining traditional and online) learning strategies can allow adults who are struggling to balance the competing demands of work and family to acquire new skills at a time, place, and/or pace that are convenient for them. Further, the Department encourages strategies that can improve access to quality education for students in underserved areas, and which have the potential to accelerate the time to completion for these individuals. Programs should be designed for maximum scalability in order to successfully reach large numbers of adults. In addition to developing courses and/or programs, applicants may propose technology-based infrastructure projects that aid the delivery of courses and programs and/or improve the effectiveness of the instruction they deliver.

As specified in Section V.A.2.iii, applicants must present innovative and sophisticated applications of technology, including online, hybrid and/or technology-enabled strategies. These strategies should effectively teach content to students, enable students to teach themselves and each other, and/or allow students to engage in hands-on learning. Online and technology-enabled learning strategies can support competency-based assessment models and models for accelerated learning.

Examples of innovative online or technology-enabled learning methods include interactive simulations, personalized and virtual instruction, educational gaming, and strategies for asynchronous and real-time collaboration among learners and instructors. The Department encourages applicants to leverage the Department of Energy’s National Training and Education Resource (NTER), which provides open source tools to help subject matter experts create

compelling, 3D interactive content quickly and easily. See http://www1.eere.energy.gov/wip/about_system.html for more information about NTER.

4. Core Element 4: Transferability and Articulation

The Department is interested in transferability and articulation that will create career pathways for TAA-eligible workers and other adults to further their education, including through increased cooperation among institutions both within and across state lines and linkages with programs such as postsecondary career technical education, pre-apprenticeship and apprenticeship programs that lead to credit-bearing coursework and employment.

As specified in Section V.A.2.iv, applicants must incorporate credit transferability and articulation into their program design. Both individual and consortium applicants must plan to work with other two-year colleges and four-year institutions in their state to confirm transferability and develop articulation agreements for TAACCCT-funded courses and credentials, including building bridges from non-credit to credit within and between institutions. Applications that propose two-year degree programs must plan to develop an articulation agreement with at least one four-year institution that offers degrees such as a Bachelor of Applied Arts and Sciences (BAAS) or an Applied Baccalaureate (AB), or with a college that is authorized to offer a community college baccalaureate, because these four-year degrees are geared toward the adult student who is bringing experience and/or prior learning to the table, or who is transferring from a community college. If appropriate, the articulation agreement may be with a member of the applicant consortium. The articulation agreements should provide for a streamlined, guaranteed transfer process for transfer students, and list all courses and grades that will transfer from the college to the four-year institution(s).

For consortium applicants, members must agree to accept (as appropriate) all TAACCCT-funded courses and credentials (within the consortium) for transfer to their respective institutions. To expand the reach and impact of TAACCCT-funded programs, consortia that receive funding under this SGA should be prepared to reach out across state lines, and work toward accepting relevant courses and certificates from TAACCCT programs funded in fiscal year 2011 for transfer and articulation, as appropriate (see www.doleta.gov/taaccct for a list of previously-funded programs).

5. Core Element 5: Strategic Alignment

Applicants must strategically align their programs with at least three types of key stakeholders: (i) employers and industry; (ii) the public workforce system; and (iii) educational institutions and other organizations.

i. Employers and Industry

Applicants must involve at least one employer for each targeted industry in the program who must be actively engaged in identifying the necessary skills and competencies for the program(s), and who will assist with curriculum development and program design, as well as participating in one or more of the following ways: helping define the program strategies and goals, providing resources to support education/training (such as equipment, instructors, funding, internships, or other work-based learning activities), and committing to hire qualified program participants. While only one employer for each targeted industry is required, the Department is most interested in applicants that collaborate with multiple employers and/or other organizations representing an industry sector, including skills consortia, existing industry sectoral partnerships, economic development clusters, or regional innovation clusters, to ensure that program participants will be prepared with the skills needed in the applicant's region.

Applicants must provide a signed letter of commitment from employer partner(s) as described in Section IV.B.Part III.c. However, please note that employers are not eligible institutions, and therefore must not be listed as members of a consortium in a consortium agreement.

ii. Public Workforce System

Applicants must engage and collaborate with the public workforce system, including local workforce investment boards, one-stop career centers, or workforce system partners as defined under section 121(b)(1) of the Workforce Investment Act. Examples of suggested partners include adult education agencies, career technical education agencies, and other post-secondary education agencies. This engagement could include identifying, assessing, and referring appropriate candidates for education and training; connecting workers with employers; providing support services where appropriate; and tracking TAACCCT TAA program participants as they re-enter the workforce. Applicants must provide evidence that workforce system partner(s) are committed to being involved in the project. Successful applicants will be encouraged to work with their local Workforce Investment Boards to ensure that proposed programs of study are included in appropriate eligible training provider lists.

Please note that these organizations and agencies are not eligible institutions, and therefore must not be listed as members of a consortium in a consortium agreement.

iii. Educational Institutions and Other Organizations

All applicants must reach out to organizations that received funding under the FY 2011 TAACCCT SGA (as appropriate) to help decrease duplication and strengthen geographic reach, and should coordinate efforts where possible. This engagement could include sharing information, lessons learned, and program content; sharing technological innovations; developing transferability and articulation agreements; and working together to standardize credentials. In order to promote better coordination, the Department encourages applicants to share widely their intent to apply for TAACCCT funds with their state higher education associations and/or boards. By reducing duplication, applicants will be making the best use of TAACCCT funds. Please note, however, that the Department does not intend to fund the continuation or expansion of previously-funded TAACCCT projects.

In addition, the applicant must plan to leverage the work of philanthropic or non-profit organizations that support community colleges in their missions and goals.

C. Third-Party Evaluation of Project

All applications must include a budget, design, and implementation plan for an appropriate third-party evaluation of their proposed project to be funded as part of the grant. A rigorous, quantitative evaluation of impact on participants using a random-assignment experimental design is strongly encouraged; however, it is expected that the activities proposed under this SGA will result in a wide range in the numbers of participants, and that projects will vary in the combination of capacity-building activities and participant training activities offered. Because the appropriate evaluation strategy will depend on the overall design of the proposed project, other evaluation methods may be acceptable. However, the applicant must have a strong justification for using methods other than the most rigorous to which their project is best suited. Further information on methodological types and grant characteristics is available in Appendix H. Evaluation costs must not exceed ten percent of the total budget.

D. Program Requirements

In addition to the Core Elements that applicants must include in the design of their programs and the third-party evaluation of the project, TAACCCT also has the following program requirements.

1. Sustainability

Congress has provided the TAACCCT grant program with funding for four fiscal years. Because the Department does not intend to fund the continuation of projects funded in each of

these fiscal years, applicants should consider project strategies that will have a lasting impact, and must plan to sustain effective innovations developed under this program after the grant period ends. As indicated in Section V.A.3.ii, applicants must describe how they will use data to determine which strategies and activities were effective and explain how they would integrate effective practices into core programs to enact broader institutional improvements. In addition, applicants must describe how successful funded programs will be incorporated into the curriculum offerings of the institution. Finally, applicants must describe how the institution(s) will sustain its partnership with employer partners as indicated in Section V.A.3.ii. This sustainability planning may require securing funding or future funding commitments from non-Federal sources.

2. Review of Grant Deliverables

Grantees will be required to identify third-party subject matter experts to conduct reviews of the deliverables produced through the grant. Applicants should allot funds in their budgets for the independent review of their deliverables by appropriate subject matter experts. Subject matter experts are individuals with demonstrated experience in developing and/or implementing similar deliverables. These experts could include applicants' peers, such as representatives from neighboring education and training providers. The applicant must provide the Department with the results of the review and the qualifications of the reviewer(s) at the time the deliverables are provided to the Department.

3. Accessibility

All online and technology-enabled content and courses developed under this SGA must incorporate the principles of universal design (see <http://www.cast.org/udl/>) in order to ensure that they are readily accessible to qualified individuals with disabilities in full compliance with the Americans with Disabilities Act and Sections 504 and 508 of the Federal Rehabilitation Act of 1973, as amended, and the Web Content Accessibility Guidelines (WCAG) 2.0, Level AA (<http://www.w3.org/TR/WCAG/>).

4. Technical Standards for Digital Assets

All digital assets within online and technology-enabled courses, including course components, tests, e-publications and applications used in course development under this SGA, should be produced to maximize interoperability, exchange and reuse. In addition, all assessments and/or other content that result in a student score or grade must conform to industry-leading e-learning open standards and specifications (for example, LR [Learning Registry], AICC [Aviation Industry Computer-Based Training Committee], LRMI [Learning Resource Metadata Initiative], IMS [Information Management Standard], PESC [Postsecondary Electronic Standards Council], or SCORM [Shareable Content Object Reference Model]). Applicants must identify the industry standard they will use in online course development. All digital assets must be licensed for free, attributed public use and distribution under the CCBY license (as described in Section I.D.5). Applicants are also encouraged to share, where available, anonymous data on learning and usage.

5. Intellectual Property Rights

In order to ensure that the Federal investment of these funds has as broad an impact as possible and to encourage innovation in the development of new learning materials, as a condition of the receipt of a TAACCCT grant, the grantee will be required to license to the public (not including the Federal Government) all work created with the support of the grant (Work) under a Creative Commons Attribution 3.0 (CCBY) license. Work that must be licensed under the CCBY includes both new content created with the grant funds and modifications made to pre-existing, grantee-owned content using grant funds.

This license allows subsequent users to copy, distribute, transmit and adapt the copyrighted Work and requires such users to attribute the Work in the manner specified by the grantee. Notice of the license shall be affixed to the Work. For general information on CCBY, please visit <http://creativecommons.org/licenses/by/3.0>. Questions about CCBY as it applies to specific TAACCCT grant applications should be submitted to DOL to the Grants Management Specialist specified in Section VII.

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

The purpose of the CCBY licensing requirement is to ensure that materials developed with funds provided by these grants result in Work that can be freely reused and improved by others. When purchasing or licensing consumable or reusable materials, grantees are expected to respect all applicable Federal laws and regulations, including those pertaining to copyright and the accessibility provisions of the Federal Rehabilitation Act.

Separate from the CCBY license to the public, the 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 products developed through a subcontract under the grant; and ii) any rights of copyright to which the grantee 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.

6. Required Disclaimer for Grant Deliverables

The grantee must include the following language on all Work developed in whole or in part with grant funds, including its incorporation in the license: “This 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 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.”

E. Allowable Activities

The Department anticipates that the majority of applicants will include three specific types of allowable activities to support their work: a) hiring and/or training additional instructors or staff (including the costs of salaries and benefits) to assist in the development and/or delivery of new curricula, and establishing internships, Registered Apprenticeship, or clinical/cooperative education programs at employer sites; b) purchasing or upgrading classroom supplies and equipment and/or educational technologies that will contribute to the instructional purpose in education and training courses supported by the grant; and c) costs associated with implementing changes in the time or scheduling of courses.

Other allowable activities may include, but are not limited to, implementing and/or enhancing the information technology infrastructure used to provide education and training and related activities; developing staff and infrastructure capacity to acquire, organize, and/or analyze program data for continuous improvement and program evaluation; expanding and improving the

capacity of student services that directly support the goals of the grant (for example, career guidance programs); leasing space that is used for education and training and related activities; altering or renovating facilities (in accordance with the Federal Cost Principles at 2 CFR Part 220) that are used for education and training and related activities (which could include ensuring that the facilities comply with Federal architectural accessibility obligations that require facilities to be readily accessible to and usable by qualified individuals with disabilities); and other costs of program development such as using subject matter experts from industry, education, state workforce agency labor market and economic research entities, and other areas to inform and assist in curriculum design. After grant awards are made, applicants will be required to obtain specific Grant Officer approval prior to proceeding with proposed alteration of facilities. Applicants should refer to Section VI of the SGA for a list of relevant Office of Management and Budget (OMB) Circulars related to cost principles, administrative and other requirements that apply to this Solicitation.

Unallowable activities include the use of grant funds to pay the costs of a participant's tuition (including scholarships), books, fees, and other personal expenditures; incentive payments for participants such as performance-based cash bonuses; wages of participants (including the wages of students participating in co-operative education programs, Registered Apprenticeship, or internships) and stipends for wage replacement of participants; the purchase of real property; and construction (not including altering or renovating facilities, as described above). Applicants should ensure they do not propose the unallowable activities listed above. These activities may duplicate services and benefits provided to TAA-eligible workers, adults who receive Unemployment Insurance, or adults who participate in Workforce Investment Act programs. For example, TAA-eligible participants in TAACCCT-funded programs are entitled to TAA services, including tuition and related necessary and approved expenses such as books, tools, academic fees, travel or transportation expenses, and subsistence expenses.

Applicants may not use grant funds to supplant other funding sources they are currently using to fund existing activities. As with all costs charged to the grant, the costs of equipment must meet the standards in the applicable Federal cost principles, found in Part VI of this SGA, including that the costs are reasonable and necessary to achieve grant outcomes and have prior approval from the Grant Officer after a grant is received.

Applicants could include activities that expand or improve entrepreneurship training if those activities provide training that prepares participants for employment with an employer, such as with a consulting firm, start-up or other business. For example, applicants could propose activities related to either "generalized" entrepreneurship training as a complement to skills-based credentials, or "customized" entrepreneurship training designed for specific career pathways.

II. Award Information

A. Award Amount

Under this SGA, DOL intends to award up to \$500 million in grant funds to eligible institutions as described in Section III. In accordance with Section 272(b) of the Trade Act of 1974, as amended, the Department intends to fund grants of \$2.5 to \$3.0 million each to one individual applicant from each State, the District of Columbia, and Puerto Rico, for a total of approximately \$150 million. In addition, the Department intends to fund grants of \$5 million to \$15 million to consortium applicants as described in Section III.B, for a total of approximately \$350 million. The Department reserves the right to adjust these funding distributions in accordance with the review and selection process described in Section V.C. In the event additional funds become available, the Department also reserves the right to use such funds to select additional grantees from applications submitted in response to this solicitation.

The Grant Officer will ensure that at least one eligible institution from each of the 50 States, the District of Columbia, and Puerto Rico receives an individual grant of approximately \$2.5 million. To do so, the Grant Officer will select one individual (non-consortium) applicant from among the

fundable applications within each state, the District of Columbia, and Puerto Rico. If the Grant Officer finds that a State is not represented by a fundable application for an individual award, a determination will be made on whether any non-fundable individual applications can be made fundable by placing conditions on the grant. If the Grant Officer determines that no individual applications can be made fundable by placing conditions on the grant, or if there are no individual applications received from eligible institutions within a given State, DOL will contact the State agency responsible for community colleges to identify and work with an eligible institution to submit a proposal.

After the Grant Officer has selected one individual (non-consortium) applicant from among the fundable applications within each state, the District of Columbia, and Puerto Rico as described above, consortium applicants will be selected separately.

B. Period of Performance

The period of performance for these grant awards will be 48 months from the effective date of the grant. Applicants may propose a period of grant performance that is less than 48 months if it is reasonable and appropriate to the project timeline, deliverables, and proposed award amount. The performance period includes all necessary implementation and start-up activities, program development and enhancement, evaluation implementation and analysis, and pre- and post-program services.

All programs must be developed and offered within the first 36 months of the period of performance, with grant funds allocated for program development and delivery expended during that time. ETA expects that grantees will begin enrolling participants in education and training programs no later than approximately 12-18 months after the date of grant award. The final 12 months of the period of performance should be limited to gathering information and data for reporting outcome measures, as discussed in Section V.A.4, and completing the requirements for the third-party evaluation, as discussed in Section V.B.

Grantees must ensure that all expenditures are made with full transparency and accountability.

III. Eligibility Information

A. Eligible Institutions

Only “eligible institutions” may be awarded TAACCCT grants. Eligible institutions are institutions of higher education as defined in Section 102 of the Higher Education Act of 1965 (20 U.S.C. 1002) which offer programs that can be completed in not more than two years. They include public, proprietary, or other nonprofit educational institutions. Generally, such institutions of higher education include 2-year and 4-year colleges and universities, Historically Black Colleges and Universities, Tribally Controlled Colleges and Universities, Hispanic-serving Institutions, and Asian American and Native American Pacific Islander-serving Institutions. Educational institutions in the U.S. territories are eligible if they offer programs that can be completed in not more than two years and are accredited by an agency or association recognized by the U.S. Department of Education. However, applications from institutions not located in the 50 States, the District of Columbia, and Puerto Rico will not have certified TAA for Workers participants and may not be eligible for the full 10 points in Section V.A.1.i.

Eligible institutions that received a grant through TAACCCT SGA/DFA PY 10-03 as a single applicant or as the lead institution in a consortium application (called a “Grantee Institution” in this SGA) are not eligible to apply as a single institution or Grantee Institution in a consortium application under this solicitation; and, if submitted, their applications will be found non-responsive and will not be reviewed. However, eligible institutions previously funded as single applicants or lead institutions in consortium applications through TAACCCT SGA/DFA PY 10-03 are eligible to serve as member institutions in a consortium application under this SGA.

Eligible institutions may submit only one application in response to this SGA, either as a single eligible applicant or as the Grantee Institution in a consortium application. Eligible institutions that submit more than one application, either as a single eligible institution or as the Grantee Institution in a consortium, will be found non-responsive and none of their applications will be considered for funding. However, eligible institutions may submit an application as a single eligible institution, and also serve as a member of a consortium in one or more consortium applications in which they do not serve as the Grantee Institution.

Applicants must identify their institution type in Section 9 of the SF-424 Application for Federal Assistance. Eligible institutions must be accredited, as of the closing date of this SGA, by a nationally recognized accrediting agency or association that has been recognized by the U.S. Department of Education. A database of institutions that are accredited by agencies and associations recognized by the U.S. Department of Education can be found at <http://ope.ed.gov/accreditation/>. Applicants are strongly encouraged to check this website, as the Department will reference this database in determining an applicant's accreditation to ensure eligibility. If an applicant does not have active accreditation status in this database as of the closing date of this SGA, the application will be found non-responsive and will not be reviewed.

B. Consortium Applicants

The Department strongly encourages applicants to form consortia of two or more eligible institutions that will work together to develop programs that will impact individuals across a region, State, industry sector or cluster of related industries, and leverage their collective experience to expand and improve their ability to deliver education and career training programs. This may include developing and sharing courses that are available at a reasonable cost, offered during the day, at night, on weekends and virtually, and provide more workers with academic and industry-recognized credentials and meet the needs of more employers in local or regional growth industries for skilled workers in the communities represented by the consortium. DOL is particularly interested in consortium applications that include at least three eligible institutions, are state-wide and/or cross state lines, work with multiple employers within a sector, and/or reach out to and coordinate where possible with previously-funded TAACCCT projects. Applicants should note, however, that the Department does not intend to fund the continuation of projects funded under TAACCCT SGA/DFA PY 10-03.

Consortium applicants must identify in the application a lead institution in the consortium that will serve as the official grantee (the Grantee Institution) and have overall fiscal and administrative responsibility for the grant. This Grantee Institution must be the organization specified in Section 8 of the SF-424 Application Form. For the purposes of this Solicitation, the Grantee Institution specified on the SF-424 Application Form will be: 1) the point of contact with DOL to receive and respond to all inquiries or communications related to this SGA and the grant, if awarded; 2) the institution with authority to withdraw or draw down TAACCCT funds through the Department of Health and Human Services - Payment Management System (HHS-PMS); 3) the institution responsible for submitting to DOL all deliverables under the grant, including all technical and financial reports related to the project, regardless of which consortium member institution performed the work; 4) the institution that may request or agree to a revision or amendment of the grant agreement or statement of work; 5) the institution with overall responsibility for carrying out the programmatic functions of the grant, as well as for the stewardship of all expenditures under the grant; and 6) the institution responsible for working with DOL to close out the grant. Consortium members will function as co-grantees and not as sub-grantees or subcontractors. However, by signing the Consortium Agreement, all consortium members agree that the Grantee Institution will be the official grantee and will perform all of the functions specified in this paragraph.

If any institution identified in the application as a consortium member drops out of the consortium before or upon award of the grant, the Grantee Institution must, within 60 days of award, 1) provide to ETA a written explanation as to why that institution will not be participating in the

project, and 2) contact ETA to discuss next steps. The Department reserves the right to re-evaluate a consortium award in light of any such change in the consortium membership and may terminate the award if deemed appropriate. Please note, if a consortium member institution drops out, the funds and activities committed to in the application and consortium agreement may not be shifted automatically to another consortium member institution or to a new institution; the Grantee Institution must contact DOL and receive Grant Officer approval for changes to the consortium.

Applicants should note that there are specific submission instructions for consortium applications pertaining to the abstract (Section IV.B Part III) and Consortium Agreement (Section IV.B Part III). However, there is no requirement for the Consortium Agreement to take a particular form (e.g. a letter, agreement, or Memorandum of Understanding). The Consortium Agreement serves as the funding mechanism under which grant funds awarded to the Grantee Institution will be transferred to the member eligible institutions in the consortium. It is critical that no organizations other than eligible institutions are on the consortium agreement. Consortium applications that do not contain a Consortium Agreement will be deemed non-responsive to the SGA and will not be reviewed. Consortium Agreements in which one or more individual member institutions do not meet the eligibility requirements of the Solicitation will be deemed non-responsive to the SGA and will not be reviewed.

C. Eligible Participants

Eligible participants are the diverse population of workers eligible for assistance under the TAA for Workers program, as well as other individuals whom grantees determine to be eligible for training and educational opportunities under this grant. Eligibility requirements for those participants who are not eligible for training under the TAA for Workers program must be based on the admission requirements of the institutions funded. In addition, successful applicants must give priority of enrollment to workers eligible for training under the TAA for Workers program. For example, in circumstances where a grant recipient must choose between two qualified candidates for enrollment, one of whom is a worker eligible for training under the TAA for Workers program, this priority of enrollment provision requires that the grant recipient give the worker eligible for training under the TAA for Workers program priority of enrollment by first providing him or her an opportunity to receive the training or educational opportunity funded through the grant. Applicants should note that Veterans priority of service supersedes priority of service for TAA-eligible workers (refer to section III.E, Veterans Priority for Participants).

Applicants should note that the needs of TAA-eligible worker participants may vary from one TAA-impacted area to another and as such, applicants should design an approach that meets the needs of workers in the area(s) where the education and/or training programs will be delivered. Such needs may include the need to increase reading and literacy comprehension, workplace math computation, and micro-enterprise or small business development, entrepreneurship, and other skills as appropriate.

D. Leveraged Expertise

Applicants are strongly encouraged to leverage the knowledge and resources of public and private organizations that have expertise and experience in successfully developing, implementing, and evaluating projects in the core elements described in Section I.B, and are encouraged to leverage the expertise of content experts such as cognitive scientists, human-computer interaction experts, information technologists, program evaluation experts, and others as appropriate to the development and implementation of the project. Where appropriate, applicants are strongly encouraged to leverage the knowledge of authors, publishers and providers of digital and online curricular materials and course modules, including Federally-funded program providers, community colleges, open licensed content providers, not-for-profit and commercial publishers and other types of entities. These individuals, groups and organizations can help the applicant determine if and to what extent such resources already exist and whether the applicant should adopt such existing

resources rather than develop new, effectively duplicative materials, unless such adoptions would impose barriers to the free use or reuse of the materials by others. Consortium applicants are strongly encouraged to leverage expertise from content experts within the consortium in the development of online learning materials. In the implementation and adoption of materials developed under the grant, technology-based consortium projects may also connect with broad networks of education and training institutions to ensure widespread use and encourage continuous improvement of the courses and learning materials created by these projects.

Applicants may propose to procure from outside organizations or individuals goods or services that are ancillary or supportive of the applicant's project work plan. However, these activities may only be implemented through a contract, not through a sub-grant, and must follow all procurement requirements. Please refer to procurement information in Section VI.B.3 for more information. Please see Section IV.E.6 of the SGA for more information on the difference between a contract and a sub-grant.

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 Web sites is a means of promoting and sharing innovative ideas. For this grant competition, we will publish the abstracts required by Section IV.B. Part IIIa, for all applications on the Department's public Web site or similar publicly-accessible location. Additionally, we will publish a version of the Technical Proposal required by Section IV.B. Part II, for all those applications that are awarded grants, on the Department's Web site or a similar location. No other parts of or attachments to the application will be published. The Technical Proposals 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 confidential commercial/business information is information that is not usually disclosed outside your organization and the disclosure of which 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.¹

Abstracts will be published in the form originally submitted, without any redactions. However, in order to ensure that PII and proprietary or confidential commercial/business information is properly protected from disclosure when DOL posts the winning Technical Proposals, applicants whose technical proposals will be posted will be asked to submit a second redacted version of their Technical Proposal, with any proprietary, confidential commercial/business, and PII redacted. All non-public information about the applicant's staff should be removed as well. The Department will contact the applicants whose technical proposals will be published by letter or email, and provide further directions about how and when to submit the redacted version of the Technical Proposal. Submission of a redacted version of the Technical Proposal will constitute permission by the applicant for DOL to make the redacted version publicly available. If an applicant fails to provide a redacted version of the Technical Proposal, DOL will publish the original Technical Proposal in full, after redacting PII. (Note that the original, un-

¹ Memorandums 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>.

redacted version of the Technical Proposal will remain part of the complete application package, including an applicant's proprietary and confidential 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 is clearly proprietary, confidential commercial/business information, or PII. The redaction of entire pages or sections of the Technical Proposal 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."

2. Grant Recipient Training

Grant recipients are required to participate in all ETA training activities related to grantee orientation, financial management and reporting, performance reporting, product dissemination, and other technical assistance training as appropriate during the period of the grant. These sessions may occur via conference calls, through virtual events such as webinars, and in-person meetings. For consortium grants, the Grantee Institution should encourage member institutions to be represented in all sessions that are not face-to-face. Applicants should budget for at least two staff members to attend two face-to-face events in Washington, D.C. during the life of the grant.

3. 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.

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 three separate and distinct parts: (I) a cost proposal; (II) a technical proposal; and (III) attachments to the technical proposal. Applications that do not contain all of the three parts or that fail to adhere to the instructions in this

section will be deemed non-responsive and will not be reviewed. It is the applicant's responsibility to ensure that the funding amount requested is consistent across all parts and sub-parts of the application.

Part I. The Cost Proposal. The Cost Proposal must include the following items:

- 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. The signature of the authorized representative on the SF-424 certifies that the organization is in compliance with the Assurances and Certifications form SF-424B (available at <http://apply07.grants.gov/apply/FormLinks?family=15>). The SF-424B is not required to be submitted with the application.
- All applicants for Federal grant and funding opportunities are required to have a Data Universal Numbering System (D-U-N-S®) number, and must supply their D-U-N-S® Number on the SF-424. The D-U-N-S® Number is a nine-digit identification number that uniquely identifies business entities. If you do not have a D-U-N-S® Number, you can get one for free through the D&B Web site: <http://fedgov.dnb.com/webform/displayHomePage.do>.
- 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. For consortium applications, consortium member costs must be placed on the appropriate budget lines, not on the contractual line.
- 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. Consortium applications must include budget breakouts for each consortium member that identify the SF-424A budget line item. The budget narrative should also indicate the indirect cost rate and amount for each consortium member, if indirect costs are to be claimed. Additionally, the budget narrative should detail how the consortium will address and/or break down the 10% administrative cost limit.
- Note that the entire Federal grant amount requested (not just one year) must be included on the SF-424, 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 narratives 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. Applications that fail to provide an SF-424 including D-U-N-S® Number, SF-424A, and a budget narrative will be considered non-responsive and will not be reviewed.
- Regardless of the method of application submission, all applicants must register with the Federal Central Contractor Registry (CCR) before submitting an application. Step-by-step instructions for registering with CCR can be found at http://www.grants.gov/applicants/org_step2.jsp. An awardee must maintain an active CCR 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 CCR database after the initial registration, the applicant is required to review and update on an annual basis from the date of initial registration or subsequent updates its information in the CCR 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 the CCR before application submission will result in your application being found non-responsive and will not be reviewed.

Part II. The Technical Proposal. The Technical Proposal must demonstrate the applicant's

capability to implement the grant project in accordance with the provisions of this Solicitation. The guidelines for the content of the Technical Proposal are provided in section V of this SGA. The Technical Proposal is limited to 30 double-spaced single-sided 8.5 x 11 inch pages with 12-point text font and 1-inch margins. For applications from consortia of eligible institutions, the Technical Proposal is limited to 45 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. Applicants should number the Technical Proposal beginning with page number 1. Applications that do not include Part II, the Technical Proposal, will be considered non-responsive and not reviewed.

Part III. Attachments to the Technical Proposal. In addition to the Technical Proposal, the applicant must submit the following attachments:

- a) An up to three-page abstract summarizing the proposed project, including but not limited to the scope of the project and proposed outcomes. The abstract will serve as a summary of the grant and will be shared publicly. The abstract must follow the format found in Appendix C, and identify the following information: (1) applicant name (Grantee Institution name for a consortium application) and a clear designation that the applicant is applying as an individual applicant or a consortium applicant; (2) applicant city/state (Grantee Institution city/state for a consortium application); (3) consortium member(s) and consortium member state(s), if applicable; (4) communities served by grant project (by city, county, and state) for each area served; (5) total funding level requested; (6) sub-total requested funding amount by consortium member (as applicable); (7) project name; (8) project description and a list of credentials to be developed and awarded; (9) populations to be served within the communities identified; (10) targeted industry(ies); (11) employer partner(s); (12) public workforce system partner(s); (13) other key partner(s); (14) public contact information; (15) percentage of program materials that will be developed as open educational resources (OER) and the percentage of program materials that will be licensed or purchased; and (16) up to 25 data tags that summarize their grant activities, which are selected from the standard data tags listed in Appendix D. 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 one or more letters of employer commitment that include signatures from the employer(s) as required in Section 1.B.5.i of the SGA, and describes their role and responsibility in the project. These letters do not eliminate the need to follow the procurement requirements specified at 29 CFR 95.40 – 48 where the parties enter into a contract for supplies or services. If using grants.gov for submission, this document must be attached under the Mandatory Other Attachment section and labeled Letter of Employer Commitment.
- c) An applicant applying as a consortium must provide as an attachment to its technical proposal a Consortium Agreement, which serves as the funding mechanism under which grant funds awarded to the named Grantee Institution will be transferred to the member eligible institutions in the consortium. The Consortium Agreement incorporated into the Grant Agreement, if awarded. The Consortium Agreement can take many forms including but not limited to a letter, agreement, or Memorandum of Understanding, but which must be signed by each consortium member institution and:
 - 1) reflect an appropriate agreement among two or more eligible institutions as defined in Section III.A, referred to as consortium members, to work together on the grant; 2) describe the roles and responsibilities of each consortium member in the design, development, and implementation of the program(s) and acknowledges their agreement

- to spend funds in accordance with the rules and requirements of the grant; 3) specify the amount of funds that will be awarded to each member and deliverables for which each member will be responsible, broken out by consortium member; 4) designate one member of the consortium as the Grantee Institution that will serve as the official grantee for DOL; and 5) reflect the agreement of all consortium members to provide the Grantee Institution all information needed to meet the reporting requirements of the grant. Electronic signatures are permissible in the Consortium Agreement. Do not include any non-eligible institutions as a consortium member institution on the signed Consortium Agreement. If using grants.gov for submission, this document must be attached under the Mandatory Other Attachment section and labeled Consortium Agreement.
- d) All applicants must provide an organizational chart that identifies all relevant leadership, program, administrative, and advisory positions (including positions within partner organizations) for the project. For consortium applications, the Grantee Institution must collaborate with the member institutions to provide one or more organizational charts, as appropriate. If using grants.gov for submission, this document must be attached under the Mandatory Other Attachment section and labeled Organizational Chart.
 - e) All applicants must submit a program evaluation plan and separate evaluation budget narrative for an independent third-party evaluation of the proposed project, as described in section V.B. The project evaluation plan does not count against the technical proposal page limit, but cannot exceed 10 pages. There is no page limit for the evaluation budget narrative. If using grants.gov for submission, these documents must be attached under the Mandatory Other Attachment section and labeled Program Evaluation Plan and Program Evaluation Budget Narrative.
 - f) 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 person. Disregard this box on the form as individual persons are not eligible to apply for this solicitation. For programs that will be delivered completely online, the Project/Performance Site Location will be the grantee location.

Applications that do not include the required attachments will be considered non-responsive and will not be reviewed.

Only those attachments listed above as required attachments will be excluded from the page limit. Additional materials such as resumés or general letters of support or commitment will not be considered.

Applicants should not send documents separately to DOL, because documents received separately will be tracked through a different system and will not be attached to the application for review. DOL will not accept general letters of support submitted by organizations or individuals 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 May 24, 2012. 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 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 p.m. Eastern Time. 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>. For multiple submissions through www.grants.gov, we will review the latest submittal.

Applications that do not meet the conditions set forth in this notice will be considered non-responsive. 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: Donna Kelly, Grant Officer, Reference SGA/DFA PY 11-08, 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](http://www.grants.gov) must be successfully submitted at <http://www.grants.gov> no later than 4:00 p.m. Eastern Time on the closing date and then subsequently validated by [Grants.gov](http://www.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. 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 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 Federal Central Contractor Registry (CCR).

The next step in the registration process is creating a username and password with [Grants.gov](http://www.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](http://www.grants.gov) visit: http://www.grants.gov/applicants/org_step3.jsp.

After creating a profile on [Grants.gov](http://www.grants.gov), the E-Biz point of Contact (E-Biz POC) - a representative from your organization who is the contact listed for CCR – 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, or to track AOR status visit: 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 CCR registration 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/app_help_reso.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. Additionally, online training related to developing budgets, procurement, and other financial and administrative requirements contained in this Solicitation are available at <http://etareporting.workforce3one.org>.

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.

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". 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 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 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. This rate is the same as the F&A rate described in 2 CFR Part 220. 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. Each consortium member, if claiming indirect costs, will need to have an indirect cost or F&A rate.

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 include costs for the purchase, development or operation of information technology systems and/or data collection systems related to the tracking and monitoring of participant and performance information, employment statistics information, or

performance and program cost information. 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. In consortium grants, the Administrative Cost limitation applies to the total grant award amount and all consortium members. The Grantee Institution is responsible for ensuring the limitation is not exceeded and for maintaining a system for consortium members to report such costs.

3. Salary and Bonus Limitations

Under Public Law 109-234, none of the funds appropriated in Public Law 109-149 or prior Acts under the heading "Employment and Training Administration" that are available for expenditure on or after June 15, 2006, may be used by a recipient or sub-recipient 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, except as provided for in section 101 of Public Law 109-149. Public Laws 111-8 and 111-117 contain the same limitation on funds appropriated under each of these Laws. This limitation applies to grants funded under this SGA. The salary and bonus 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 Training and Employment Guidance Letter number 5-06 for further clarification: http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2262.

4. Use of Grant Funds for Participant Wages

Organizations that receive grants through this SGA may not use grant funds to pay for the wages of participants. Further, the provision of stipends to training enrollees for the purposes of wage replacement is not an allowable cost under this SGA.

5. Use of Funds for Supportive Services

Grantees, including member institutions in a consortium, may not use grant funds to provide supportive services to individuals who are served through these grants. Supportive services include services such as transportation, child-care, dependent care, housing, and needs-related payments that are necessary to enable an individual to participate in training activities funded through this grant. However, grant funds may be used to expand and improve the capacity of student services (for example, career guidance programs, campus-wide tutoring services, etc.) through activities such as hiring and/or training staff, and developing or procuring online systems (such as course management systems) as part of the project.

6. Prohibition on Use of Funds for Sub-grants

Grantees do not have authority under this program to award sub-grants; sub-grantees carry out one or more major programmatic functions to directly meet the project's goals. Therefore, there are no sub-grantees under these grants. However, grantees do have the authority to award subcontracts under this program. A grantee enters into a subcontract to procure goods and/or services that are ancillary or supportive to the grantee's operation of the project. A subcontract is defined as an agreement, purchase order, or any legal instrument issued to a 3rd party (the subcontractor) calling for the performance of a defined piece of work or production and/delivery of specified goods and services. The determination of whether a grantee has entered into a subcontract relationship or a sub-grantee relationship with another organization is determined primarily with reference to the general purpose, programmatic functions, and responsibilities that the grantee gives to the other organization along with grant funds. These three elements should be closely examined, together with the usual characteristics (terms and performance standards, scope of work, etc.). As a reference tool in determining whether an agreement is a sub-grant or a subcontract, see Appendix E. The table in Appendix E is for reference only and does not limit the

Grant Officer's right to review and disallow improper transactions. Additionally, applicants can review the definition of sub-recipient and vendor in OMB Circular A-133 Section 210.

Subcontracts must be awarded in accordance with 29 CFR 95.40-48 and are subject to audit, in accordance with the requirements of 29 CFR 95.26 (d). Grantees are responsible for ensuring that all subcontractors are eligible for participation in Federal assistance programs and all procurement requirements at 29 CFR 95.40-48 are met.

Applicants should note that consortium members will function as co-grantees, not as sub-grantees or subcontractors

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

This section identifies and describes the criteria that review panelists will use to evaluate and score grant proposals. To receive full points for each criterion, applicants must present responses that are clearly substantiated by a level of detail that is sufficient to provide reviewers with a strong understanding of the applicant's proposed project. The evaluation criteria are described below:

Criterion	Points
1. Statement of Need	20
2. Description of the Project: Strategic Approach and Core Elements	40
3. Work Plan and Project Management	20
4. Outcomes	20
5. Non-Participant Data Submission (Bonus)	1
TOTAL	101

1. Statement of Need (20 points)

Applicants must fully demonstrate a clear and strong need to expand and improve the ability of eligible institutions to deliver education and career training programs to TAA-eligible workers and other adults who enter their programs. Points for this section will be based on the following sub-criteria:

i. Serving the Education and Training Needs of TAA-Eligible Workers (10 points)

Applicants must provide evidence that they will serve TAA-eligible workers. Scoring under this sub-criterion will be based on the extent to which applicants address the following three factors:

- Factor 1 – Impact of Foreign Trade: The applicant must demonstrate that at least one community served by the proposed project is impacted by the threat to, or loss of, jobs resulting from foreign trade. In demonstrating this, applicants must:

- Identify one or more TAA Certification determinations (providing the TAA for Workers (TAW) Number, company name, and decision date) in at least one community to be served by the project, made on or after January 1, 2007. The applicant must also provide a narrative that describes the threat to, or the loss of, jobs associated with the identified Certification(s). TAA for Workers petition determinations may be accessed and searched electronically at: http://www.doleta.gov/tradeact/taa/taa_search_form.cfm; or,
- Explain how a proposal that includes a strong focus on online learning programs will be made accessible to, and will serve, TAA-eligible workers, including those in communities in states that receive relatively high levels of funding under the TAA for Workers program.
- Factor 2 – Partnerships with Applicable TAA Agencies: Applicants must describe partnerships with applicable State agencies that administer the TAA for Workers program and other entities in the public workforce system that deliver TAA benefits to TAA-eligible workers (see <http://www.doleta.gov/tradeact/contacts.cfm>), and describe how they will leverage these partnerships to ensure that the proposed project will effectively serve TAA-eligible workers.
- Factor 3 – Education and Training Needs of TAA-Eligible Workers in Community(ies) to be Served: Applicants must demonstrate a strong understanding of the education and training needs of the TAA-eligible workers in each community to be served by the project, including:
 - The industry and/or occupations in which the TAA-eligible workers are or were employed;
 - The current level of skills and educational attainment of the TAA-eligible workers; and
 - The additional barriers TAA-eligible workers may face in seeking employment.

ii. Evidence of Job Opportunities in the Targeted Industries and Occupations (5 points)

Applicants must provide substantial and detailed evidence of current and future job opportunities for TAA-eligible workers and other adults in the targeted industries and occupations. This may include employment in newly-formed businesses by entrepreneurs in that industry. Scoring under this sub-criterion will be based on the extent to which the applicant fully addresses the following three factors:

- Factor 1 – Identification of Targeted Industries and Occupations: The applicant must fully identify the industries and occupations targeted by the proposed project, and describe how employers or groups of employers are involved in the project, and what resources are being provided by those employers to support the proposed project.
- Factor 2 – Evidence of Employer Demand: The applicant must provide strong evidence, based on credible local, state, and/or national labor market information, that the targeted industries and occupations will yield opportunities for TAA-eligible workers and other adults who enter their program to obtain employment in high wage, high skill jobs or advance in their careers, and identify specific employers that are expected to hire grant participants within the period of performance. In addressing this factor, the applicant must provide data and analysis of both current and projected employment opportunities for each targeted industry and occupation. The geographic scope of the labor market information must match the geographic scope of the proposed project (such as state, regional, or national). This should include data on current and expected job openings with at least one employer in each targeted industry, and may include commitments from employers who expect to hire program participants. Applicants should include, based on credible data, short-term employment projections through

approximately July 1, 2015, as well as longer-term projections for openings in the targeted industries and occupations in the next five to ten years.

- Factor 3 – Understanding of Skills Required in the Targeted Industries and Occupations: The applicant must fully demonstrate a strong understanding of the job knowledge, skills, abilities, and credentials required to work in the targeted industries and occupations, and provide a description of how the applicant proposes to engage employers in the community to obtain their feedback on any content developed and delivered during the life of the project.

iii. Gap Analyses (5 points)

Applicants must fully identify gaps in education and training for targeted industries and occupations, and demonstrate the need to develop or expand capacity of the institution(s) to offer training and educational opportunities. The data provided in this section will serve as evidence of the need for the education and career training programs proposed by the applicant. Scoring under this sub-criterion will be based on the extent to which the applicant fully addresses the following three factors:

- Factor 1 – Analysis of Gaps in Existing Educational and Career Training Programs and Systems Infrastructure: Applicants must demonstrate a clear and full understanding of the significant gaps in existing education and career training programs and infrastructure in each community for TAA-eligible workers and other adults, based on data collected through the community outreach process (described in Section I.B.5 and Appendix B), as well as relevant data from the applicant institution's own management information systems or other data sources. The geographic scope of the gap analysis must match the geographic scope of the proposed project (such as local, state, regional, or national). In addressing this factor, applicants must provide a brief summary of the community outreach process they used to identify the organizations engaged. Applicants may also plan to develop and offer creative and outcomes-based approaches to enhance the entrepreneurship skills of students in a wide variety of programs.
- Factor 2 – Analysis of Gaps in Institutional Ability to Implement the Core Elements: Applicants must fully describe their institutions' current technology and systems infrastructure and educational activities as they relate to each of the Core Elements described in Section I.B, and identify areas for development, improvement, or expansion of these activities in order to implement the Core Elements. Examples of such areas include:
 - Collaboration with industry and industry associations to develop stackable credentials;
 - Online learning programs to enable students to accelerate completion rates;
 - Articulation agreements between applicant institutions and other institutions;
 - The capture and use of data for continuous improvement of education and training programs;
 - Relationships and coordination with public workforce system organizations; and/or,
 - Other needs related to the implementation of the Core Elements.
- Factor 3 – Impact of Gap Analysis: Applicants must fully describe how the identified gaps impact the applicant's ability to effectively serve TAA-eligible and other adults seeking education or career training. Information provided in this section may include, but is not limited to, evidence of:
 - Limitations in the number of students successfully served or enrolled, as a result of the inability of the applicant to meet demonstrated demand for education and training in the community;

- Limitations in faculty expertise and facility infrastructure that serve as barriers to providing effective education and training programs in the community;
- Limitations in the content and quality of available courses that negatively impact the ability of the applicant to meet the needs of employers and program participants;
- Limitations in their ability to offer creative and outcomes-based approaches to enhancing the entrepreneurship skills of students in a wide variety of programs;
- Factors that contribute to program attrition, particularly among low-skilled students, and the need to address those factors to improve retention and completion rates; and
- If applicable, the need for specialized equipment, including a description of why the equipment is needed and why any currently available equipment is not sufficient to provide effective training in the targeted industries and occupations.

2. Description of the Project: Strategic Approach and Core Elements (40 points)

The applicant must provide a complete and clear explanation of the proposed education and training strategies, including the research and evidence on which those strategies are based, as well as a description of how the proposed strategies incorporate the Core Elements described in Section I.B. Points for this section will be based on the following sub-criteria:

i. Evidence-Based Design (8 points)

The applicant must conduct a research review to support the proposed program design, clearly describe the evidence on which the proposed education and training strategies are based, and describe how the evidence influenced the design of the program to improve education and employment outcomes. Scoring under this sub-criterion will be based on the extent to which the applicant addresses the following two factors:

- Factor 1 – Review of Evidence for Program Design: Applicants must provide a description of their research findings, present the strongest evidence available for their particular program design, and discuss any existing evidence that is mixed or negative. In addressing this factor, applicants must cite all sources appropriately and identify each piece of evidence as strong, moderate, or preliminary (see Appendix A for a detailed description of the levels of evidence).
- Factor 2 – Use of Evidence in Program Design: Applicants must provide a description of the proposed education and training strategies and fully explain how the evidence cited in Factor 1 influenced the design of the proposed program. In addressing this factor, applicants must also describe how the evidence will be incorporated into plans for program development and delivery. In addition, applicants must indicate if the project will replicate existing evidence-based design, development, and delivery strategies (citing strong or moderate evidence) or implement innovative or new strategies (supported by preliminary research findings, related research findings, or reasonable hypotheses).

ii. Stacked and Latticed Credentials (8 points)

Applicants must incorporate the development of certifications, certificates, and/or diplomas into the program design, all of which must be industry-recognized and considered stackable by the applicant's own institution, as well as other institutions. Stackable credentials allow TAA-eligible workers and other program participants to build a portfolio that can serve them well regardless of whether or not they ultimately complete a full degree program. Scoring under this sub-criterion will be based on the extent to which the applicant addresses the following three factors:

- Factor 1 – Industry Engagement to Identify Credentials: Applicants must fully describe their plans to work with industry and industry associations (including national industry associations) to identify clusters of courses and related credentials that can be recognized

as credentials valuable to employers, including employers across a state or region, or credentials that are nationally portable.

- Factor 2 – Plans to Stack and Lattice Credentials: Applicants must fully describe their plans to develop a series of interconnected credentials. In addressing this factor, applicants must list specific credentials that will apply to this program (both existing and planned), how these credentials are compatible with or the same as those used more broadly within the region or industry, and their proposed process (who will be involved, who must approve, etc.) for connecting these credentials. Consortium applicants must also identify which institution(s) in the consortium will award each credential.
- Factor 3 – Prior Learning Assessment: Applicants must fully describe their plans to assess prior learning for adults entering the program. In addressing this factor, applicants must identify the types of assessments they will use (such as competency-based assessments, portfolio reviews, and “badges” earned for certain skills or competencies). Applicants must also fully explain how they will award credit for prior learning and determine the most effective and accelerated path toward credential attainment. This should include opportunity for military personnel to assess their current level of skills gained from education, training, and experiential learning, to determine gaps in their ability to achieve industry-recognized credentials.

iii. Online and Technology-Enabled Learning (8 points)

Applicants must present innovative and sophisticated applications of technology, including online, hybrid and/or technology-enabled strategies. Scoring under this sub-criterion will be based on the extent to which the applicant addresses the following two factors:

- Factor 1 – Incorporation of Technology into Program Design and Delivery: Applicants must fully describe how technology is incorporated into the design of the program and describe how technology will be used in the delivery of education and training. Online and technology-enabled strategies should effectively teach content to TAA-eligible workers and other program participants, enable them to teach themselves and each other, and/or allow them to engage in hands-on learning. Strategies related to the use of technology may include, but are not limited to:
 - Interactive simulations;
 - Personalized instruction;
 - Elements of game design;
 - Strategies for asynchronous and real-time collaboration among, as well as between TAA-eligible workers and other program participants, and instructors;
 - Providing continuous feedback to the TAA-eligible workers and other program participants and instructor in order to automatically identify and remediate individual student learning deficits;
 - Incorporating mechanisms to provide feedback to course designers and instructors so that courses may be improved as TAA-eligible workers and other program participants attend them;
 - Offering multiple delivery points to educational programs so TAA-eligible workers and other program participants are able to learn from a worksite, a Web site, or a classroom; and
 - Making improvements to the infrastructure necessary for hosting online programs.
- Factor 2 – Expected Impact of Technology on Program Outcomes: Applicants must fully explain how they anticipate that the use of technology will positively impact program outcomes, such as accelerated completion rates, improved learning and employment outcomes, expansion of institutional capacity, and increased scalability to reach broader audiences. Applicants that include technology-based infrastructure projects must describe how the infrastructure will support all proposed programs (if more than one program is

proposed). Technology strategies that could lead to strong positive impacts on program outcomes might include, but are not limited to:

- Delivering programs in a format that supports accelerated learning (for example, delivering and allowing students to master a semester of work in half the usual time);
- Developing courses or modules that will have national significance (such as developing best-in-class versions of one or more of the 25 courses that enroll approximately 50% of the student population at the community college level);
- Using cutting-edge scientific knowledge from fields such as cognitive science and educational psychology with the goal of showing substantial gains in mastery (such as cognitive task analysis or early results from the Defense Advanced Research Projects Agency's (DARPA) Digital Tutor project); and
- Taking advantage of the efficiencies of scale to be gained by producing and offering online materials, courses, and programs using open source technology, thereby decreasing development and implementation costs for future projects.

iv. Transferability and Articulation (8 points)

Applicants must incorporate credit transferability and articulation in the program design. Scoring under this sub-criterion will be based on the extent to which the applicant addresses the following two factors:

- Factor 1 – Transferability of Credits and Credentials: Applicants must fully describe their plans to work with other colleges and institutions to establish transferability options and strengthen programmatic transitions from non-credit to credit-bearing courses for TAACCCT-funded courses and credentials. Along with ensuring seamless transitions from programs such as career and technical education, adult education, pre-apprenticeship and Registered Apprenticeship to college coursework, this includes transferability between consortium members (as applicable), other TAACCCT-funded programs, and other institutions. Applicants must include the names of the institutions they plan to work with, explain efforts they will undertake with other institutions to standardize credentials, and describe the steps and approvals necessary for transferability to become effective, including the anticipated time these steps will take.
- Factor 2 – Articulation of Credits and Credentials: Applicants must fully describe their plans to develop articulation strategies that support career pathways to further education; applicants must include the development of at least one articulation agreement between 2-year and 4-year institutions. Articulation strategies may also include conversion from non-credit programs to academic credit, as appropriate. Applicants must include the names of the institutions they plan to work with, and describe the steps and approvals necessary for articulation to become effective, including the anticipated time these steps will take.

v. Strategic Alignment (8 points)

Applicants must provide a complete and clear description of their involvement with employers and industry, the public workforce system, and with other TAACCCT grantees as well as philanthropic and non-profit organizations. Scoring under this sub-criterion will be based on the extent to which the applicant addresses the following three factors:

- Factor 1 – Coordination with Employers and Industry: Applicants must demonstrate the substantial involvement of at least one employer or a group of employers for each targeted industry in the program. Applicants must provide a signed letter of commitment from employer partner(s) as described in Section IV.B.Part III.c. In addressing this factor, applicants must specify roles for employers and industry, which must include identifying necessary skills and competencies, and assisting with curriculum development and program design, and which may also include:

- Defining the program strategy and goals;
- Providing resources to support education/training (such as equipment, instructors, funding, internships, or other work-based learning activities);
- Developing pathways for individuals that involve both education or training curriculum and work-based experience; and
- Committing to hire qualified program participants.
- Factor 2 – Coordination with the Public Workforce System: Applicants must describe their plan to engage and collaborate with the public workforce system in the development and delivery of their programs. Applicants must provide evidence that workforce system partner(s) are committed to be involved in the project. The public workforce system includes local workforce investment boards, one-stop career centers and workforce system partners as defined under section 121(b)(1) of the Workforce Investment Act. Examples of partners include adult education, career technical education, and State agencies that administer the TAA for Workers program. Note that the required partnership with a State agency that administers the TAA for Workers program (as described in Section V.A.1.i.) can also meet the requirement for engagement with a public workforce system partner. In addressing this factor, applicants must identify specific roles of the workforce system partner(s), which could include, but are not limited to the following:
 - Identifying and referring TAA-eligible workers and other program participant candidates based on skills and other assessments to the most appropriate education and training that can lead to employment;
 - Developing programmatic connections that bridge an individual's transition into an institution's credit-bearing coursework;
 - Connecting TAA-eligible workers and other program participants with employers;
 - Providing support services where appropriate; and
 - Tracking TAA-eligible workers and other program participants as they re-enter the workforce.
- Factor 3 – Outreach and Coordination with Educational Institutions and Other Organizations: Applicants must describe how they plan to reach out to first round TAACCCT grantees to better coordinate efforts, help decrease duplication, share information, and expand the geographical reach of their program. Applicants may engage with grantees that are geographically nearby, and or with grantees across the country. In addition, applicants must describe their plans to identify and incorporate projects and tools developed by philanthropic and non-profit organizations that can have a positive impact on their proposed programs. In addressing this factor, applicants must identify planned activities for coordination with other institutions and consortia, such as:
 - Sharing information, such as lessons learned and promising practices;
 - Sharing course and program content;
 - Developing transferability and articulation agreements;
 - Working together to develop best practices in a particular area of training or education (such as a coalition effort to foster more entrepreneurs): and
 - Leveraging the work of philanthropic or non-profit organizations that support community colleges.

3. Work Plan and Project Management (20 points)

The applicant must provide a comprehensive project work plan that follows the format described in this section and demonstrates a cohesive, well-designed approach to implement the project. The applicant must also demonstrate the capacity of its institution (and if applicable, its consortium members) to manage the project. Points for this section will be based on the following sub-criteria:

i. Project Work Plan (10 points)

The applicant must present a comprehensive project work plan that follows the format described in Appendix F. Scoring under this sub-criterion will be based on the extent to which the applicant fully addresses the following three factors:

- Factor 1 – Feasible and Realistic Activities and Timeframes: The applicant must present coherent and realistic activities, timeframes, and deliverables that demonstrate a complete understanding of all responsibilities and costs required to implement the strategies described in Section V.A.2 within the grant period of performance. In addressing this factor, the applicant must include feasible and reasonable timeframes for accomplishing all procurement and other necessary grant start-up activities immediately following the grant start date.
- Factor 2 – Understanding of Costs Associated with Project Activities: The applicant must identify and describe adequate and reasonable costs associated with each major project activity in the proposed work plan, including staff costs, which must align with the proposed budget.
- Factor 3 – Identification of Project Deliverables: The applicant must identify and describe the new intellectual property (such as books, courses, modules, seminars, tutoring systems, simulations, etc.) they will develop with grant funds and/or describe which existing Open Educational Resources (OER) or other licensed intellectual property they will use grants funds to improve, and must specify the expected date to be delivered to the Department.

ii. Project Management (10 points)

The applicant must fully describe its capacity (and if applicable, the capacity of its consortium members) to effectively manage the programmatic, fiscal, and administrative aspects, as well as its plan for sustaining the proposed program(s). Scoring under this criterion will be based on the extent to which the applicant fully addresses the following five factors:

- Factor 1 – Effective Project Management and Staff: The applicant must demonstrate that the proposed project will be led by a competent full-time project manager who is on staff or hired in the early stages of the project, and will involve well-qualified fiscal and administrative management staff, as well as staff with marketing expertise who will develop a marketing plan for the program(s). In addressing this factor, the applicant must describe the professional qualifications that it will require of the full-time project manager, explain why these qualifications are sufficient to ensure that performance reporting, fiscal reporting, and procurement are conducted in accordance with grant requirements, provide a reasonable timeframe for hiring the project manager if one is not already identified, and describe plans to assign an interim project manager if required. The applicant must also explain the professional qualifications that the applicant will require of the fiscal, administrative management, and marketing staff; explain why these qualifications are sufficient to ensure proper performance reporting, fiscal reporting, procurement, and marketing; and provide a reasonable timeframe for hiring these individuals if they are not already on staff.
- Factor 2 – Effective Management Structures: The applicant must propose a management structure that enables efficient and effective communication between project staff and organizations at all levels of the project. In addressing this factor, the applicant must provide an organizational chart that identifies all relevant leadership, program, administrative, and advisory positions (including positions, if applicable, within consortium member organizations). The organizational chart must be included as an attachment as described in Section IV.B Part III.d, and does not count against the page limit for the Technical Proposal.
- Factor 3 – Effective Systems and Processes: The applicant must clearly and fully explain how the proposed project will use systems and processes that enable timely and accurate financial and performance reporting and allow for expedient procurement procedures that

comply with Federal, State (if applicable), and other relevant laws and requirements. In addressing this factor, the applicant must (1) demonstrate (if applicable) that it submitted reports (program and financial) on time for its most recent grant(s) from ETA or other sources, and (2) describe the grant management practices used to complete grant activities within the period of performance. The applicant must also clearly describe its procurement processes, systems, and procedures (and, if applicable, those of its consortium members).

- Factor 4 – Well-Defined Roles and Responsibilities for Consortium Members (if applicable): Consortium applicants must include, as an attachment to the Technical Proposal, a Consortium Agreement (as described in Section IV. Part III.c). In addition, in the body of the Technical Proposal, consortium applicants must list the consortium member's roles and responsibilities in the design, development, delivery, and eventual implementation.
- Factor 5 – Sustainability Plan: The applicant must describe how it will use data to determine which strategies and activities were effective, and explain how it would integrate these strategies and activities into program(s) for continued success. In addition, applicants must describe how the institution(s) will sustain its relationships with employer partners throughout the duration of the program and beyond.

4. Outcomes (20 points)

Applicants must provide outcome projections and fully demonstrate that the expected outcomes are appropriate for the strategic approach proposed. Applicants must also demonstrate their commitment to collect, report, and effectively use outcome data to continually improve and inform program design. This should include an effective plan to track and report all outcome measures for all program participants, and an effective plan for the use of reported data to continuously assess the effectiveness of and to improve programming. The grantee's performance in meeting outcome projections may impact the decision by the Department to award any future grants to the grantee. Scoring under this section will be based on the following sub-criteria:

i. Analysis of Outcome Projections (5 points)

Grantees will be required to report data on a number of outcome measures on an annual basis, as specified in Section VI.C.2. Applicants must provide projections in their applications for the following nine outcome measures:

1. Total unique participants served;
2. Total number of participants who have completed a TAACCCT-funded program;
3. Total number of participants still retained in their program of study or another TAACCCT-funded program;
4. Total number of participants completing credit hours;
5. Total number of participants earning credentials;
6. Total number of participants enrolled in further education after grant-funded program of study completion;
7. Total number of participants employed after grant-funded program of study completion;
8. Total number of participants retained in employment after program of study completion; and
9. Total number of those participants employed at enrollment (for purposes of this reporting, "incumbent workers") who receive a wage increase post-enrollment.

Scoring under this criterion will be based on the extent to which the applicant fully addresses the following three factors:

- Factor 1 – Complete and Accurate Projections Provided: Applicants must provide numerical outcome projections for each of the nine outcome measures that reflect the program's expected impact on participants (refer to Appendix G for the definitions of each of the outcomes and a sample of the format for providing these projections). Applicants must provide targets in raw numbers for each of the outcome measures; percentages,

percent increases, or other types of data projections are not acceptable. The targets should be provided for each year of the grant as well as for the total grant period, and be provided in aggregate for all program participants even if different educational disciplines or programs have distinct outcome projections. The outcomes must be included as a table in the Technical Proposal.

- Factor 2 – Appropriate Targets Projected: The applicant should explain how the outcome projections are appropriate numerical targets to the program design by providing an explanation of how the targets were derived and how the targets fit into the overall timeline of grant implementation.
- Factor 3 – Appropriate Balance of Deliverables and Outcomes: Applicants must provide an explanation for the mix of proposed outcomes (e.g. participants served) versus other deliverables (e.g. courses developed and technology infrastructure enhancements), including a justification of unusually high or low outcome projections for participants in the context of the entire program. The projected outcomes and deliverables should be well-balanced, in that a low number of students projected to complete programs may be offset by a large number of complex, original, and innovative planned deliverables.

ii. Process or System for Tracking and Reporting Outcome Measures (10 points)

Successful grantees will be required to report outcome measures for program participants. Applicants should refer to Section VI.C.2 for a description of the quarterly and annual reporting requirements for the grants. The specific outcomes and outcome definitions for all participants that will be reported are found in Appendix G. Scoring under this criterion will be based on the extent to which the applicant fully addresses the following two factors:

- Factor 1 – Existing Tracking Procedures: The applicant must provide specific details about the procedures it already has in place for tracking students, including which outcomes are already captured through the process it uses. In addressing this factor, the applicant should describe the staffing, technology, computer applications and other resources already available to accomplish this task.
- Factor 2 – Well-Defined Plan to Address Gaps in Tracking: The applicant must describe and explain any gaps between the information that is already collected and the specific outcomes on which reporting is required, and how it will bridge these gaps. In addressing this factor, the applicant must provide a specific plan for staffing, technology, partnerships, computer application purchases or other resources it plans to procure in order to meet this requirement. If available, the applicant should explain how it will strengthen its access to state longitudinal data systems to track students' employment outcomes after exit or completion. This may include working with the State Directory of New Hires, the State Labor Market Information units (that house the Local Employment Dynamic survey data), the State Workforce Agency that is responsible for tracking and reporting outcomes on TAA for Workers program participants using the Trade Act Participant Record (http://www.doleta.gov/Performance/pfdocs/12050392_TAPR_Revision_Track_Changes_Draft_TEG_L_Change_112909.pdf), or other Federally-supported administrative record data collection efforts. This may also include working with the State Workforce Agency to access employment data available in unemployment wage records. For example, if the applicant does not have an existing relationship with its State's agency responsible for collecting wage record information to verify employment, it should describe the process that it will use to obtain employment outcome information, which may include establishing data sharing agreement(s) to access administrative records containing this information.

iii. Using Data for Continuous Improvement (5 points)

The applicant must describe its approach for using the data it collects and reports on all program participants to continuously assess the effectiveness of and improve programming. Scoring under this criterion will be based on the extent to which the applicant fully addresses the following factor:

Factor 1 – Well-Defined Plan for Formal Data Reviews: The applicant must describe the process or procedure that will be used to formally review the data within the structure of the educational institution, working with their partners as applicable. In addressing this factor, the applicant must include information on the frequency with which data reviews will occur, the staff members, including partners, who will take part in the reviews and what each adds to the review process, how decisions will be made about adjustments or improvements, and how progress or improvement in programming will be assessed.

5. Bonus Point for Commitment to Submit Non-Program Participant Data (1 point)

There are a number of factors that lead students to select a program of study at an institution, one of which is the potential to find a job once they graduate. The Department is interested in assisting TAACCCT grantees to improve the quality of their institutions' post-graduation employment outcome information, which can be useful in effective program resource allocation decisions and data-driven continuous improvement efforts for the institutions and helpful to prospective students in choosing their programs of study. The Department recognizes that institutions have varying levels of resources to track employment outcomes of their graduates and that many post-secondary institutions would like to track employment and earnings of their former students. Therefore, the Department will facilitate the tracking of employment outcomes for a broader population of students by arranging for grantees to transmit basic individual-level information (name, Social Security Number, and date of birth) annually on students enrolled in selected non-TAACCCT-funded credit and/or non-credit programs. The Department will arrange for matching the data with employment records using highly secure IT procedures, and provide grantees with a report on employment and earnings outcomes aggregated by program. Guidelines on data transmission will be provided to grantees after award. This data transmission is in addition to the individual-level data reports that all grantees are required to submit annually as described in Section V.B.1.

To encourage institutions to take advantage of this opportunity, the Department will award one bonus point to applicants that provide an affirmative statement in response to this criterion committing to provide these data on an annual basis during the grant period of performance. For consortium applicants, the Grantee Institution or one consortium member must make this commitment to be eligible for the bonus point.

B. Review Criteria for Program Evaluation Component

The applicant must submit an evaluation budget narrative and program evaluation plan for an independent third-party evaluation of the proposed project. The costs of the evaluation can be paid for with grant funds. Successful applicants must plan to submit a final report, due to the Department at the end of the grant period of performance, and at least one interim report on findings-to-date at a time determined by the applicant. Applicants must include their proposed timeline for transmitting these reports on the first page of the program evaluation plan. The materials described in this section will be evaluated by ETA separately from the main Technical Proposal, as described below in Section V.C. The evaluation proposals will be assigned a category of A, B, or C. Evaluation proposals that are of the highest quality and include appropriate rigor and design based on the proposed project will be categorized in group A. Evaluation proposals categorized in group B contain elements of an appropriate and high-quality evaluation design, but some aspects of the design are identified that will need to be addressed before evaluation implementation. Evaluation proposals categorized in group C contain evaluation designs that are insufficient and/or inappropriate, and would need significant alteration if the Grant

Officer chooses to fund the application.

The applicant must submit: (1) a Program Evaluation Plan, and (2) an Evaluation Budget Narrative. Applicants must include these materials as a separate attachment to the application.

1. Program Evaluation Plan

Program evaluations must address: 1) participant outcomes or impacts; and 2) program implementation. Applicants must transmit data from their third-party evaluators, including name, Social Security number, and date of birth of program participants and individuals in the control or comparison groups, using a secure data system specified by the Department. The program evaluation plan does not count against the page limits for the Technical Proposal, but must not exceed 10 pages. In evaluating the plan, reviewers will consider the following factors:

i. Participant Outcomes or Impacts

The applicant must provide a detailed plan for rigorously evaluating the participant outcomes or impacts, including a complete description of the study methodology and the data collection methods. The applicant must explain how the methodology proposed is the most rigorous for the participant outcomes or impacts, given the number of participants (including TAA-eligible workers) the project intends to serve. See Appendix H for a description of the appropriate methodological approaches for either a random-assignment evaluation or a comparison cohort evaluation based on various project types and characteristics. The applicant must also explain how the anticipated follow-up data will be successfully collected from participants and the control/comparison group. Applicants must identify the chosen methodology on the first page of the program evaluation plan. Depending on which methodology is chosen, the applicant must provide the following explanations in the program evaluation plan:

- For random assignment methodology, the applicant must fully explain how the recruitment plan will yield a sufficient number of qualified applicants (both program and controls) to produce valid estimates of these key outcomes: program completion, credential attainment, placement into employment, and employment retention (Outcomes # 2, 5, 7, and 8 in Appendix G), as well as average earnings for those who retain employment. , how random assignment will be performed, and what procedures will be in place to ensure the fidelity of random assignment (i.e., that all eligible individuals that apply are randomly assigned and that no one who is randomly assigned to the control group receives the services being studied). Please note that TAA-eligible individuals may not be randomly assigned.
- Applicants proposing a comparison group (non-experimental) methodology must fully explain the source of the comparison group and how individuals will be selected to become part of the comparison group, including showing that data on both the comparison group and the program participant group will be from comparable sources (e.g., based on the same questionnaire).

ii. Program Implementation

The applicant must provide a detailed plan for the program implementation analysis component of the evaluation, which includes how all of the questions listed below will be addressed. The program evaluation plan must explain how the applicant will: 1) analyze the steps taken by the institution to create and run the training program; 2) assess the operational strengths and weaknesses of the project after the implementation; and 3) suggest how it might be strengthened. Specifically, the program evaluation plan should include strategies or approaches for addressing the following questions:

1. How was the particular curriculum selected, used, or created?
2. How were programs and program design improved or expanded using grant funds? What delivery methods were offered? What was the program administrative structure? What support services and other services were offered?

3. Did the grantees conduct an in-depth assessment of participant's abilities, skills and interests to select participants into the grant program? What assessment tools and process were used? Who conducted the assessment? How were the assessment results used? Were the assessment results useful in determining the appropriate program and course sequence for participants? Was career guidance provided and if so, through what methods?
4. What contributions did each of the partners (employers, workforce system, other training providers and educators, philanthropic organizations, and others as applicable) make in terms of: 1) program design, 2) curriculum development, 3) recruitment, 4) training, 5) placement, 6) program management, 7) leveraging of resources, and 8) commitment to program sustainability? What factors contributed to partners' involvement or lack of involvement in the program? Which contributions from partners were most critical to the success of the grant program? Which contributions from partners had less of an impact?

iii. Selection of Third-Party Evaluator

The applicant must clearly describe the process for selecting and procuring the services of a third-party evaluator prior to enrolling participants in TAACCCT-funded programs, including the levels of capacity and expertise required of the selected organization(s) to conduct rigorous evaluations of the proposed strategy.

2. Program Evaluation Budget Narrative

The Evaluation Budget Narrative is a supplementary budget narrative, which is separate and apart from the budget narrative submitted in the main application. The supplementary budget narrative should provide a description of the costs associated with funding the proposed program evaluation component. All costs included in the supplementary budget narrative should be reasonable and appropriate to the project timeline and deliverables. Please note that that costs for this evaluation must be included together with the other grant activities on the main SF-424 and SF-424A forms. The cost for the program evaluation must not exceed ten percent of the total proposed budget for the grant.

C. Review and Selection Process

A technical review panel will carefully evaluate applications against the selection criteria. These criteria are based on the policy goals, core elements, and emphases set forth in this SGA. Applications for grants under this Solicitation will be accepted after the publication of this announcement and until the closing date. Up to 100 points may be awarded to an application, depending on the quality of the responses to the required information described in Section V.A. There will be a separate review of evaluation proposals conducted by individuals with expertise in evaluation.

The ranked scores on the technical proposal for each application will serve as a primary basis for selection of applications for funding, in conjunction with other factors such as evaluation proposal reviews, the estimated number of TAA-certified workers in the targeted geographic areas, the requirement that not less than 0.5 percent of funds available under this SGA will support eligible institutions in each State, 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, evaluation plans, 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:

- i. Non-Profit Organizations – OMB Circular A–122 (Cost Principles), relocated to 2 CFR Part 230, and 29 CFR Part 95 (Administrative Requirements)
 - ii. Educational Institutions – OMB Circular A–21 (Cost Principles), relocated to 2 CFR Part 220, and 29 CFR Part 95 (Administrative Requirements).
 - iii. 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).
 - iv. Profit Making Commercial Firms – Federal Acquisition Regulation (FAR) – 48 CFR part 31 (Cost Principles), and 29 CFR Part 95 (Administrative Requirements).
 - v. 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).
 - vi. 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.
 - vii. 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.
 - viii. 29 CFR Part 32—Nondiscrimination on the Basis of Handicap in Programs or Activities Receiving Federal Financial Assistance.
 - ix. 29 CFR Part 35— Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance from the Department of Labor.
 - x. 29 CFR Part 36—Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance.
 - xi. 29 CFR Part 37 – Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Investment Act of 1998.
 - xii. 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:**

i. 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.

ii. 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).

iii. 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 Web site: <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.

iv. Safeguarding Data Including Personally Identifiable Information

Applicants submitting proposals in response to this SGA must recognize that confidentiality of Personally Identifiable Information (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. All such activity conducted by ETA and/or Grantees 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 shall not extract information from data supplied by DOL/ETA for any purpose not stated in the SGA.
2. Grantees shall retain data received from DOL/ETA only for the period of time required to utilize it for assessment and other purposes, or to satisfy applicable Federal records retention requirements, if any. Thereafter, the Grantee agrees that all data will be destroyed, including the degaussing of magnetic tape files and permanent deletion of electronic data.

3. Grantees shall ensure that any information used during the performance of this Grant has been obtained and is being transmitted in conformity with applicable Federal and state laws governing the protection of PII and the confidentiality of information. Information transmitted to DOL/ETA containing sensitive information including personally identifiable information (PII) must be encrypted using National Institute of Standards and Technology (NIST) Federal Information Processing Standards (FIPS) 140-2 validated products. The encrypted information must be encrypted in a form that would allow the receiver of the information to decrypt the information without installing additional software or tools.
4. Access to any information created by DOL/ETA shall 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 outlined in this SGA.
5. Grantee employees and other personnel who will have access to sensitive/confidential/proprietary/private data and PII shall be advised of the confidential nature of the information, the safeguards required to protect the information, and the civil and criminal sanctions for noncompliance with such safeguards that are contained in Federal and state laws.
6. Prior to being able to have access to PII and other confidential data, Grantee employees and other personnel shall execute a standard document acknowledging 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.
7. Grantees further acknowledge that all data obtained through DOL/ETA 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 DOL/ETA. Accessing, processing, and storing of DOL/ETA 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 DOL/ETA.
8. All PII and other data shall 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 FIPS 140-2 validated products. In addition, wage data may only be accessed from secure locations.
9. Data obtained by the Grantee through a request shall not be disclosed to third parties except as permitted by the Grant Officer.
10. Grantees shall permit ETA to make onsite inspections during regular business hours for the purpose of conducting audits and/or to conduct other investigations to assure that the Grantee is complying with the confidentiality requirements described above. In accordance with this responsibility, Grantees shall make records applicable to this Agreement available to authorized persons for the purpose of inspection, review, and/or audit.
11. Grantees shall take the steps necessary to ensure the privacy of all PII obtained from participants and/or other individuals and to protect such information from disclosure to unauthorized individuals. Grantees shall maintain such PII in accordance with the DOL/ETA standards for information security provided herein, including any updates to such standards provided to the Grantee by DOL/ETA. Grantees shall report immediately to the DOL ETA Information Security Officer (ISO) any suspected or confirmed breaches or compromise of PII obtained from participants and/or other individuals.

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, unless the activity is regarded as the primary work of an official partner to the application.

4. Special Program Requirements

i. Required Participation in a National Evaluation by DOL

Pending the availability of funds, the Department is interested in evaluating program results across all projects funded with this grant to assess which models are most effective at impacting workers' future labor force outcomes and may require the cooperation of the grantee in a national evaluation. By accepting grant funds, grantees must agree to participate in such a national evaluation should they be selected to participate. In anticipation of the national evaluation, grantees should maintain individual level participant data and any data collected on control or comparison group individuals included in their third party evaluation of impacts and/or outcomes (as specified in Section V.B.1.).

This requirement is separate from the third-party evaluation described in Section I.C and the third-party review of deliverables described in Section I.D.2.

C. Reporting

Grantees must agree to meet DOL reporting requirements. Quarterly financial reports, quarterly progress reports, and annual performance report 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 about which information and instructions will be provided to grantees.

2. Quarterly Progress and Annual Performance Reports

i. Quarterly Progress Report

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 such as capacity building, best practices, and key challenges and issues. Every fourth quarterly progress report will also serve as an annual narrative summary.

The last quarterly progress report that grantees submit will serve as the grant's Final Progress Report. This report should provide both quarterly and cumulative information on the grant's activities. It must summarize project activities, employment outcomes and other deliverables, and related results of the project, and must thoroughly document the training or labor market information approaches used by the grantee.

ii. Annual Performance Report

Every fourth quarter, grantees must submit an annual performance report that will include data for all program participants in aggregate for the following fourteen outcome measures, several of which will be compared against the targets specified in the proposal as shown in Appendix G: unique participants served, total number who have completed a grant-funded program of study, total number still retained in their program of study or another grant-funded program, total number retained in other education programs (not grant-funded), total number of credit hours completed, total number of students completing credit hours, total number of earned degrees/certificates, total

number of students earning certificates (less than one year), total number of students earning certificates (more than one year), total number of students earning degrees, total number enrolled in further education after grant-funded program of study completion, total number employed after grant-funded program of study completion, total number retained in employment after program of study completion, and total number of those employed at enrollment (incumbent workers) who receive a wage increase post-enrollment. In addition, grantees must provide narrative information about the innovative achievements of their grant to date and services provided to TAA-eligible individuals.

The last Annual Performance 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's activities.

Failure to timely and accurately report during the implementation of any grant awarded may impact the decision by DOL/ETA to award any future grants to the grantee.

3. 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 Melissa Abdullah, Grants Management Specialist, Division of Federal Assistance, at (202) 693-3346. Applicants should e-mail all technical questions to abdullah.melissa@dol.gov and must specifically reference SGA/DFA PY 11-08, 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. Federally-Funded and Other 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.

Applicants who are considering a focus in Health Information Technology should review the following web sites, which describe curriculum that is publicly available and was funded under the American Recovery and Reinvestment Act (ARRA):

<http://www.healthit.hhs.gov/portal/server.pt?open=512&objID=1807&mode=2> (description of program) and <http://www.onc-ntdc.org/> (curriculum materials and components)."

There are many Open Educational Resources (OER) repositories and repository initiatives that may be of assistance to applicants. A recent listing of these repositories and initiatives can be found at http://oerwiki.iiep.unesco.org/index.php/OER_useful_resources/Repositories.

B. Industry Competency Models

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.

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.

D. Evaluation Resources

ETA encourages applicants and their selected evaluators to review the following documents for guidance on planning evaluations of grant-funded programs:

- Improving the Evaluation of DOLETA Pilot and Demonstration Projects - A Guide for Practitioners (located at http://wdr.doleta.gov/research/eta_default.cfm?fuseaction=dsp_resultDetails&pub_id=2445&bas_option=Author&start=1&usrt=4&stype=basic&sv=1&criteria=bell);
- Review of Alternative Methodologies for Employment and Training Research (located at http://wdr.doleta.gov/research/eta_default.cfm?fuseaction=dsp_resultDetails&pub_id=2369&bas_option=Author&start=1&usrt=4&stype=basic&sv=1&criteria=bell).

IX. Other Information

OMB Information Collection No. 1225-0086

OMB Information Collection No 1225-0086, Expires November 30, 2012.

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. 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 24, 2012, in Washington, D.C. by:

Donna Kelly

Grant Officer, Employment and Training Administration

Appendix A: Strength of Evidence Definitions

Strength of Evidence	Strong	Moderate	Preliminary
<p>Prior Research Studies Supporting Effectiveness or Efficacy of the Proposed Practice, Strategy, or Program</p>	<p>(1) More than one well-designed and well-implemented experimental study or well-designed and well-implemented quasi-experimental study; or (2) one large, well-designed and well-implemented randomized controlled, multisite trial</p>	<p>(1) At least one well-designed and well-implemented experimental or quasi-experimental study, with small sample sizes or other conditions of implementation or analysis that limit generalizability; (2) at least one well-designed and well-implemented experimental or quasi-experimental study that does not demonstrate equivalence between the intervention and comparison groups at</p>	<p>(1) Evidence that the proposed practice, strategy, or program, or one similar to it, has been attempted previously, albeit on a limited scale or in a limited setting, and yielded promising results that suggest that more formal and systematic study is warranted; and (2) a rationale for the proposed practice, strategy, or program that is based on research findings or reasonable hypotheses, including related research or theories in education</p>

<p>Internal Validity (i.e Strength of Causal Conclusions) and External Validity (Generalizability)</p>	<p>High internal validity and high external validity</p>	<p>program entry but that has no other major flaws related to internal validity; or (3) correlational research with strong statistical controls for selection bias and for discerning the influence of internal factors</p> <p>High internal validity and moderate external validity; or, Moderate internal validity and high external validity</p>	<p>and other sectors</p> <p>Theory and reported practice suggest the potential for efficacy for at least some participants and settings</p>
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Appendix B: Outreach Organizations

In collecting the information described above in Sections I.B.5 and V.A.1.iii, applicants must reach out to and use data from the following organizations, to the extent appropriate to the program being proposed:

- Employers and industry associations, including small- and medium-sized firms, and if applicable, representing emerging industries;
- Local, county, and/or State government agencies, including the State workforce agency that administers the TAA for Workers program;
- Local Workforce Investment Boards (WIBs) established under Section 117 of the Workforce Investment Act of 1998 (29 U.S.C. 2832);
- Labor organizations, including State and local labor federations and labor-management initiatives, representing workers in the community;
- Local educational agencies, and other relevant educational entities, such as career and technical education and adult education programs serving the community;

In addition to the organizations listed above, applicants are strongly encouraged to reach out to and use data from the following organizations:

- Community-based organizations that may provide supportive services and play a role in outreach to ensure the diversity of the targeted population;
- Sponsors of Registered Apprenticeship programs;
- State workforce agency labor market information and/or economic research entities;
- Economic development agencies;
- Small business development organizations;

- Philanthropic and non-profit organizations; and
- Existing Federally- or state-funded consortia, such as regional cluster consortia, that are organized by related sector or regional focus and that may inform the applicant's activities.

In addition, applicants should consider aligning or building upon other Federal investments such as 1) the Department of Health and Human Services Health Professions Opportunity Grants (http://www.hhs.gov/news/press/2010pres/09d/state_charts.html) and Innovative Strategies to Increasing Self Sufficiency, and 2) National Science Foundation's Advanced Technological Education grants (http://www.nsf.gov/awards/award_visualization.jsp:org=NSF&pims_id=5464&ProgEleCode=7412&RestrictActive=on&BooleanElement=true&BooleanRef=true&from=fund#showAwardDollars=true).

Finally, applicants should consider alignment with systems of higher education, workforce development, career technical education, adult education, and Registered Apprenticeship in an effort to support the development of sustainable career pathways.

Appendix C: Abstract Format

Project Abstract

1. **Applicant Name:** Anytown USA Community College (consortium applicant)
2. **Applicant City/State:** Anytown, Any State
3. **Consortium Member(s) and Consortium Member State(s):**
 - Jane Doe Community College; Differenttown, Different State
 - John Doe University; Anothertown, Another State
4. **Areas Served by Grant (by city, county, and state):**
 - **State:** Any State. **Counties:** Any County, Any Other County, and Yet Another County. **Cities:** Anytown, The Town Next Door, The Town Up the Road.
 - **State:** Different Sate. **Counties:** Different County, Same County. **Cities:** Differenttown, Othertown.
 - **State:** Another State. **Counties:** Another County. **Cities:** Anothertown.
5. **Total Funding Level Requested:** \$8,999,999
6. **Sub-Total Requested Funding Amount by Consortium Member (as applicable):**
 - Anytown USA Community College: \$4,000,000
 - Jane Doe Community College: \$2,999,999
 - John Doe University: \$2,000,000
7. **Project Name:** Partnership for TACTical Engagement (PTE)
8. **Project Description and List of Credentials to be Developed and Awarded:**
9. **Populations to be Served:** TAA-eligible workers and long-term unemployed
10. **Targeted Industry(s):** Information Technology
11. **Employer Partner(s):** Anytown IT Solutions, Inc.; YourSpace Online; Joe’s IT Shop; and National Health Centers.

12. Public Workforce System Partner(s): Anytown Workforce Investment Board, Anothertown One-Stop Career Center, and Differenttown Adult Education Center.

13. Other Key Partner(s): Round 1 TAACCCT Grantee

14. Public Contact Information: Steven Baird, Director of Grant Programs, Anytown USA Community College, (800)555-1234, baird.steven@anytownCC.edu.

15. Percentage of OER Program Materials Developed vs. Percentage of Licensed or Purchased Program Materials: Approximately 90% of program materials will be developed as open educational resources, and the remaining 10% will be licensed or purchased.

16. Data Tags (up to 25): accelerated learning, certificate attainment, game design, job placement, on-the-job training, open educational resources, stackable credentials, and web-based training.

Appendix D: Standard Keywords/Data Tags

- Accelerate Progress
- Accelerated Learning
- Achievement Rates
- Assessment Technology
- Basic Skills
- Blended Learning
- Block scheduling
- Career Pathways
- Certificate Attainment
- Civic and Community Engagement
- Cognitive Tutors
- Competency-based Training
- Contextualized Learning
- Degree Attainment
- Developmental Education
- Digital Materials
- Dual Degrees
- Earn and Learn
- Employer Partnership
- Enhanced Course Articulation
- Enhanced Student Services
- Game Design
- Industry-Driven Competencies
- Industry-Recognized Credentials
- Job Placement
- Learning Communities
- Mentoring
- Mobile Devices
- Modular Curriculum
- On-the-Job training
- Online Community of Practice
- Online Teaching/Learning
- Open Educational Resources
- Paid Internships
- Retention
- Personalized Instruction
- Real-time Online Interactions
- Registered Apprenticeships
- Retention Strategies
- SCORM
- Self-paced Learning
- Simulations
- Skill Assessments
- Stackable Credentials
- Technology Enabled Learning
- Virtual Environments
- Web-based Training

Note: In the event none of the above are a sufficiently precise descriptor applicants should include alternate keyword/tags of their own choosing, not to exceed three words per tag and 28 characters for each keyword/tag.

Appendix E: Definitions and Usual Characteristics of Sub-grants vs. Subcontracts

DEFINITIONS	Sub-grants	Subcontracts
*General Purpose	An agreement that provides for the transfer of money or property to accomplish a public purpose of support or stimulation through the grant, as authorized under statute.	Legal contract in which the purpose is to provide supplies and/or services.
* Focus	Carries out one or more major programmatic functions in support of the goals of the grant.	Does not support the goals of the grant directly; instead the subcontractor provides supplies and/or services that are ancillary or supportive to the operation of the grant.
* Recipient Responsibility	Has responsibility for programmatic decision making, adherence to applicable Federal program compliance requirements, and is able to determine which participants are eligible to receive Federal financial assistance.	Provides supplies and/or services for use by the prime grantee that are supportive to the operation of the grant. Subcontractor is subject to procurement regulations, but not programmatic compliance requirements and does not have decision-making authority pertaining to the grant.
USUAL CHARACTERISTICS	Sub-grants	Subcontracts
Terms and Performance Standards	Less rigorous to their terms and conditions than contracts. Performance is measured against whether the objectives of the Federal grant are met.	More rigorous to their terms and conditions. Performance is measured against the delivery of goods and services. The terms will define the deliverables and indicate when they are due.
Monitoring	Less regulated. If the task is not accomplished, there may be fewer legal and financial ramifications.	More heavily regulated and more likely to carry substantial legal or financial risk.
Scope of work	Scope of work, deliverables, and delivery schedule are more flexible and easier to amend when changes are necessary.	Scope of work may be less flexible and more difficult to amend. Firm delivery schedule with deliverables subject to rigorous inspection.
Payment Schedule	Fund usually drawn down by recipient or paid in lump sum. Payments are based on budgeted amounts rather than the unit cost of services.	Payment is usually made by invoice only after goods are delivered and services rendered. Advances are made under specific, limited circumstances. Payment is related to goods delivered or services rendered.

*The distinction between sub-grants vs. subcontracts should be made primarily based on these three definitions. Even if an agreement has some or many of the “usual characteristics” of a sub-grant, project managers and auditors should closely examine its purpose, focus, and recipient responsibilities (using the definitions provided above) before determining whether it meets the definition of a sub-grant or subcontract.

Appendix F: Project Work Plan Format

Priority 1:							
Activities		Implementer(s)	Costs		Time		Deliverables
Strategy 1.1:			Strategy Total:	\$	Start Date:		
			Equipment:	\$	End Date:		
			Year 1:	\$	Milestones:		
			Year 2:	\$			
			Year 3:	\$			
Strategy 1.2:			Strategy Total:	\$	Start Date:		
			Equipment:	\$	End Date:		
			Year 1:	\$	Milestones:		
			Year 2:	\$			
			Year 3:	\$			

Appendix G: Sample Outcome Measures Table

Outcome Measure		Targets for TAACCCT Program (All Participants)	
		<p>PROVIDE TARGETS IN RAW NUMBERS; PERCENTAGES OR OTHER TYPES OF DATA PROJECTIONS ARE NOT ACCEPTABLE.</p> <p>PROVIDE TARGETS FOR EACH YEAR OF THE GRANT (AS SHOWN BELOW) AND FOR THE TOTAL GRANT PERIOD.</p> <p>PROVIDE TARGETS IN AGGREGATE FOR ALL PROGRAM PARTICIPANTS, EVEN IF YOU PLAN TO HAVE MULTIPLE EDUCATIONAL PROGRAMS OF STUDY.</p>	
1	<p>Total Unique Participants Served Cumulative total number of individuals entering any of the grant-funded programs offered</p>	<p>Year 1:</p> <p>Year 2:</p> <p>Year 3:</p>	Total:
2	<p>Total Number of Participants Completing a TAACCCT-Funded Program of Study Number of unique participants having earned all of the credit hours (formal award units) needed for the award of a degree or certificate in any grant-funded program</p>	<p>Year 1:</p> <p>Year 2:</p> <p>Year 3:</p>	Total:
3	<p>Total Number of Participants Still Retained in Their Program of Study or Other TAACCCT-Funded Program Number of unique participants enrolled who did not complete and are still enrolled in a grant-funded program of study</p>	<p>Year 1:</p> <p>Year 2:</p> <p>Year 3:</p>	Total:
4	<p>Total Number of Participants Completing Credit Hours Total number of students enrolled that have completed any number of credit hours to date.</p>	<p>Year 1:</p> <p>Year 2:</p> <p>Year 3:</p>	Total:

5	<p>Total Number of Participants Earning Credentials</p> <p>Aggregate number of degrees and certificates completed by participants in grant-funded programs of study</p>	<p>Year 1:</p> <p>Year 2:</p> <p>Year 3:</p>	<p>Total:</p>
6	<p>Total Number of Participants Enrolled in Further Education After TAACCCT-funded Program of Study Completion</p> <p>Total number of students who complete a grant-funded program of study and enter another program of study</p>	<p>Year 1:</p> <p>Year 2:</p> <p>Year 3:</p> <p>Year 4 (follow-up only):</p>	<p>Total:</p>
7	<p>Total Number of Participants Employed After TAACCCT-funded Program of Study Completion</p> <p>Total number of students (non-incumbent workers only) who completed a grant-funded program of study entering employment in the quarter after the quarter of program exit</p>	<p>Year 1:</p> <p>Year 2:</p> <p>Year 3:</p> <p>Year 4 (follow-up only):</p>	<p>Total:</p>
8	<p>Total Number of Participants Retained in Employment After Program of Study Completion</p> <p>Total number of students (non-incumbent workers only) who completed a grant-funded program of study and who entered employment in the quarter after the quarter of program exit who retain employment in the second and third quarters after program exit</p>	<p>Year 1:</p> <p>Year 2:</p> <p>Year 3:</p> <p>Year 4 (follow-up only):</p>	<p>Total:</p>
9	<p>Total Number of Those Participants Employed at Enrollment Who Received a Wage Increase Post-Enrollment</p> <p>Total number of students who are incumbent workers and who enrolled in a grant-funded program of study who received an increase in wages after enrollment</p>	<p>Year 1:</p> <p>Year 2:</p> <p>Year 3:</p> <p>Year 4 (follow-up only):</p>	<p>Total:</p>

Appendix H: Framework of Evaluation Methodologies

Please use the chart below to help determine the type of evaluation you should plan and for which you should submit a proposal and justify your selection on the basis of the characteristics below. It is not possible to compile a complete table of evaluation options and recommendations for each possible combination of circumstances that can arise, however, the chart below should be used as an outline of what DOL considers an appropriate level of evaluation given various proposed project characteristics.

<u>Evaluation Type/Method</u>	<u>Recommended or Ideal TAACCT Project Characteristics for Method Use</u>
<p>Outcome/Impact evaluation: Random-assignment</p> <p>An analysis of the labor market outcomes (levels and changes) of participants that assesses the impacts of the training once participants complete it. In random-assignment, participants are assigned randomly either to receive the grant-funded training or to receive different training or no training.</p>	<ul style="list-style-type: none"> -Plans to enroll a large number of participants during the period of performance. -Low number of TAA eligible participants (who cannot be randomly assigned). -Plans to start training participants early in the grant period of performance. -Offers or is partnered with other institutions that offer the programs of study under both grant-funded and non-grant-funded options.
<p>Outcome/impact evaluation: Comparison Cohort</p> <p>A quasi-experimental analysis of the labor market outcomes (levels and changes) of participants that assesses the impacts of the training once participants complete it. Participants in grant-funded training are compared to participants receiving different training on the basis of one or more characteristics, but participants are not randomly-assigned.</p>	<ul style="list-style-type: none"> -Plans to enroll a moderate to high number of participants -Moderate to high number of TAA eligible participants (making random-assignment not a viable method for selection). -Plans to start training participants after the first eighteen months of the grant. -Offers or is partnered with other institutions that offer the programs of study under both grant-funded and non-grant-funded options <i>or</i> has a recent valid cohort of students for the same programs of study who were not grant funded that can be compared with students who will be enrolled in grant-funded programs.

Information for this chart is derived in part from the publication *Improving the Evaluation of DOLETA Pilot and Demonstration Projects - A Guide for Practitioners* by Stephen Bell (2001, The Urban Institute).