

not limited to, provision of the actual supportive service (e.g., childcare); providing participants with a voucher for the service (e.g., public transportation cards or tokens); or providing a stipend directly to the apprentice. No more than 10 percent of the grant funds can be used for supportive services.

- **Equipment:** Equipment purchases and other capital expenditures (as defined in 2 CFR 200.439, 200.89 and 200.48) are not an allowable cost under this announcement. DOL will not approve any such expenses using funds from this grant.
- **Intellectual Property Rights:** Pursuant to 2 CFR 2900.13, to ensure that the federal investment of DOL funds has as broad an impact as possible and to encourage innovation in the development of new learning materials, the grantee will be required to license to the public all work created with the support of the grant under a Creative Commons Attribution 4.0 (CC BY) license. Work that must be licensed under the CC BY includes both new content created with the grant funds and modifications made to pre-existing, grantee-owned content using grant funds.

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

Instructions for marking your work with CC BY can be found at https://wiki.creativecommons.org/Marking_your_work_with_a_CC_license.

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

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

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

Separate from the CC BY license to the public, the federal government reserves a paid-up, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use for federal purposes: i) the copyright in all products developed under the grant, including a subaward or contract under the grant or subaward; and ii) any rights of copyright to which the recipient, subrecipient, or a contractor purchases

ownership under an award (including, but not limited to, curricula, training models, technical assistance products, and any related materials). Such uses include, but are not limited to, the right to modify and distribute such products worldwide by any means, electronically or otherwise. The grantee may not use federal funds to pay any royalty or license fee for use of a copyrighted work, or the cost of acquiring by purchase a copyright in a work, where the Department has a license or rights of free use in such work. If revenues are generated through selling products developed with grant funds, including intellectual property, DOL treats such revenues as program income. Such program income is added to the grant and must be expended for allowable grant activities.

If applicable, the following standard ETA disclaimer needs to be on all products developed in whole or in part with grant funds.

“This workforce product was funded by a grant awarded by the U.S. Department of Labor’s Employment and Training Administration. The product was created by the grantee and does not necessarily reflect the official position of the U.S. Department of Labor. The U.S. Department of Labor makes no guarantees, warranties, or assurances of any kind, express or implied, with respect to such information, including any information on linked sites and including, but not limited to, accuracy of the information or its completeness, timeliness, usefulness, adequacy, continued availability, or ownership. This product is copyrighted by the institution that created it.”

Appendix V Application Submission

Applications must be received by 11:59:59 PM EDT on Wednesday, May 20, 2020 to be considered for funding. ETA plans to award these grants by July 1, 2020 with a 36-month period of performance ending June 30, 2023.

a. Required Documents

In an effort to achieve greater efficiency and as part of ETA's on-going effort to streamline the grant award process, applicants are required to submit the following items through Grants.gov at <https://www.grants.gov/>. Submission via other electronic mediums will not be accepted, nor will hard copy submissions.

Applicants should submit one application in response to the TEGL, which must include a funding request for Tier I. If applying for Tier II, the application must include a funding request for Tier II that describes how the project will address all required activities of the grant.

Tier I Funding Request: *required for all applicants*

1) SF-424, "Application for Federal Assistance"

- The SF-424 (available at <https://www.grants.gov/web/grants/forms/sf-424-family.html>) must clearly identify the applicant entity and must be submitted by an individual with authority to enter into a grant agreement. Upon confirmation of an award, the individual 'signing' the SF-424 on behalf of the applicant is considered the Authorized Representative of the applicant. As stated in block 21 of the SF-424 form, the signature of the Authorized Representative on the SF-424 certifies that the organization is in compliance with the Assurances and Certifications form SF-424B (available at the above link). Applicants do not need to submit the SF-424B with the application.

2) Project Budget, to include:

- The SF-424A "Budget Information Form" (available at <https://www.grants.gov/web/grants/forms/sf-424-family.html>); and
- Budget Narrative: The Budget Narrative must provide a concise description of costs associated with each line item on the SF-424A (see Attachment I-4 for further guidance).

3) Project Narrative. Tier I Baseline Goals (see Attachment I-1 for details).

4) Work Plan (see Attachment I-2 for details). This must be submitted as an attachment and clearly labeled as "Tier I Work Plan."

5) Participants served goals, and Performance Outputs and Outcomes (see Attachment I-3 for details). This must be submitted as an attachment and clearly labeled as "Tier I Performance Outputs and Outcomes."

6) Organizational Chart (see Attachment I-1 for details). The chart must be included as an attachment to the project narrative and does not count towards the 10-page limit for Tier I.

7) A letter from the Governor or chief elected official (see Attachment I-5 for details). This must be submitted as an attachment and clearly labeled as “Governor’s Letter.”

8) Abstract (see Attachment I-6). An abstract adhering to guidelines in Attachment I-6 must be submitted as an attachment and clearly labeled “Abstract.” The abstract must identify the funding requested for Tier I and provide a high-level project summary. Applicants applying for Tier II must also include total Tier II funding requested, Tier II goals selected, and a high-level project summary. The abstract can be up to two pages summarizing the proposed project, including, but not limited to, the scope of the project and proposed outcomes. Omission of the abstract will not result in your application being disqualified.

Tier II Funding Requests:

All documents for Tier II funding should be uploaded in www.grants.gov as Other Attachments.

- 1) SF-424, “Application for Federal Assistance” - *must be labeled as “Tier II SF424”*
 - The SF-424 (available at <https://www.grants.gov/web/grants/forms/sf-424-family.html>) must clearly identify the applicant entity and must be submitted by an individual with authority to enter into a grant agreement. Upon confirmation of an award, the individual ‘signing’ the SF-424 on behalf of the applicant is considered the Authorized Representative of the applicant. As stated in block 21 of the SF-424 form, the signature of the Authorized Representative on the SF-424 certifies that the organization is in compliance with the Assurances and Certifications form SF-424B (available at the above link). Applicants do not need to submit the SF-424B with the application.
- 2) Project Budget, to include:
 - The SF-424A “Budget Information Form” (available at <https://www.grants.gov/web/grants/forms/sf-424-family.html>) must be labeled as “Tier II SF-424A”; and
 - Budget Narrative: The Budget Narrative must provide a concise description of costs associated with each line item on the SF-424A (see Attachment II-4 for further guidance) and must be labeled as “Tier II Budget Narrative.”
- 3) Project Narrative – Tier II (see Attachment II-1 for details) must be labeled as “Tier II Project Narrative.” Where this TEGL states in Appendix III that applicants must “credibly demonstrate” an activity or goal, this evidence must be included in the narrative response. This can also include—by attachment, reference, or hyperlink—materials or documentation supporting your proposal. The Project Narrative must address the required criteria identified in Attachment II-1 – Tier II required goals and activities, evidence of past performance, and state apprenticeship 5-year plan.
- 4) Work Plan (see Attachment II-2) must be labeled as “Tier II Work Plan.” This plan must credibly demonstrate that the applicants’ chosen goals and projects are realistic (based on past performance or other evidence) and can be accomplished within the life of the grant. This can be

accomplished through, for example, plans for realistic or organized outreach or descriptions of partner organizations and their role in operationalizing your proposal.

5) Participants served goals, and Performance Outputs and Outcomes (see Attachment II-3 for details) must be labeled as “Tier II Performance Outcomes and Outputs.”

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

b. Grants.gov Submission Process

Applicants must submit the application package through Grants.gov. Submission via other electronic mediums will not be accepted, nor will hard copy submissions. This submission process may at times be complicated and time-consuming. As such, DOL strongly encourages applicants to initiate the process as soon as possible in order to allow time to resolve unanticipated technical problems. Applicants needing to register with Grants.gov may do so at <https://www.grants.gov/web/grants/register.html>. Registration is a one-time process, and applicants that already have a Grants.gov account do not need to register again. Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different web forms within an application. For complete workspace overview, refer to <https://www.grants.gov/web/grants/applicants/workspace-overview.html>.

Requirement for DUNS Number

Submission requirements stipulate that all applicants for federal grant and funding opportunities must have a DUNS Number, and must supply their DUNS Number on the SF-424. The DUNS Number is a nine-digit identification number that uniquely identifies business entities. If applicant does not have a DUNS Number, the applicant can get one for free through the D&B website <https://fedgov.dnb.com/webform/index.jsp>. Grant recipients authorized to make sub-awards must meet these requirements related to DUNS Numbers:

- Grant recipients must notify potential sub-awardees that no entity may receive a sub-award from applicant unless the entity has provided its DUNS Number to applicant; and
- Grant recipients may not make a sub-award to an entity unless the entity has provided its DUNS Number to applicant. (See, Appendix A to 2 CFR section 25.)

Requirement for Registration with SAM

Applicants must register with the System for Award Management (SAM) before submitting an application. Find instructions for registering with SAM at <https://www.sam.gov>.

A recipient must maintain an active SAM registration with current information at all times during which it has an active federal award or an application under consideration. To remain registered in the SAM database after the initial registration, the applicant is required to review and update the registration at least every 12 months from the date of initial registration or subsequently update its information in the SAM database to ensure it is current, accurate, and

complete. For purposes of this paragraph, the applicant is the entity that meets the eligibility criteria and has the legal authority to apply and to receive the award. If an applicant has not fully complied with these requirements by the time the Grant Officer is ready to make a federal award, the Grant Officer may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

For technical issues encountered during application submission, applicants may call 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, but closes on federal holidays.

Appendix VI Application Review and Award

Proposals will first be screened to determine if the applicant meets the eligibility requirements enumerated in Appendix II, Award Information. All required elements outlined in Appendix III, Application Submission, of this announcement must be submitted. Applications that do not include an SF-424, SF-424A, Budget Narrative, and Project Narrative for Tier I Baseline Goals will be considered non-responsive and will not be reviewed. Submissions will only be accepted via www.grants.gov. Submissions via other electronic mediums will not be accepted, nor will hard copy submissions.

ETA officials will form a Technical Evaluation Committee to assess the response of an accepted application's associated documents as indicated below (see Attachment I and Attachment II). ETA intends to fund awards for any applicant (i) who adequately demonstrates their ability to achieve grant goals through a clear, detailed, and reasonable program narrative, (ii) whose budget and budget narrative are sufficient to support the activities in the program narrative, and (iii) who properly follows guidelines in applying for funding is available. This includes adequate staffing levels to support grant goals and grant management.

The review and selection process will proceed as follows:

- 1) An initial review of proposals for eligibility, required document components will be conducted by the Office of Grants Management (OGM) staff;
- 2) Evaluations of the technical merits of each accepted proposal addressing the items indicated in Attachments I-1 through I-6 and II-1 through II-4 (the Technical Review) will be conducted by the Technical Evaluation Committee;
 - a. For Applicants that apply for Tier II funding, funds will be awarded based on the number and quality of Tier II applications received and the funding available, as well as geographic, industry, and Tier II goal distribution.
- 3) Evaluations of the cost components of each accepted proposal (the Budget Review) will be conducted by the Technical Evaluation Committee; and
- 4) Proposals recommended for award will be funded via Notices of Award attached to a Grant Agreement issued by the Grant Officer of Record and may or may not have "Special Conditions" requiring additional response, based on the outcome of the Technical Evaluation Committee review.

ETA may elect to award a grant 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, which constitutes a binding offer by the applicant.

NOTE: The Department will determine if the applicant had any restriction on spending for any ETA grant due to adverse monitoring findings within the past three years. Depending on the severity of the findings, the Grant Officer may elect to not provide the applicant a grant award or to impose conditions on the award.

All applications deemed to be complete and responsive by the Grant Officer will go through a risk review process. Before making an award, ETA will review information available through

any OMB-designated repository of government-wide eligibility qualification or federal integrity information, such as the Federal Awardee Performance and Integrity System (FAPIIS), Dun and Bradstreet, and “Do Not Pay.” Additionally, ETA will comply with the requirements of 2 CFR Part 180 (Government-wide Debarment and Suspension (Non-Procurement)). This risk evaluation may incorporate results of the evaluation of the applicant’s eligibility (application screening), or the quality of its application (technical review). If ETA determines that an entity is responsible and an award will be made, special conditions that correspond to the degree of risk assessed may be applied to the award. Risk-related criteria evaluated include:

- (1) Financial stability;
- (2) Quality of management systems and ability to meet the management standards prescribed in the Uniform Grant Guidance;
- (3) History of performance. The Applicant’s record in managing awards, cooperative agreements, or procurement awards, if it is a prior recipient of such federal awards, including timeliness of compliance with applicable reporting requirements, and if available, the extent to which any previously awarded amounts will be expended prior to future awards;
- (4) Reports and findings from audits performed under Sub-part F – Audit Requirements of the Uniform Grant Guidance (2 CFR Sections 200.500 – 200.520) or the reports and findings of any other available audits and monitoring reports containing findings, issues of non-compliance, or questioned costs; and
- (5) The applicant’s ability to effectively implement statutory, regulatory, or other requirements imposed on recipients.

Selection of an organization as a recipient does not constitute approval of the grant application as submitted. Before the actual grant is awarded, DOL may enter into negotiations about such items as program components, staffing and funding levels, and administrative systems in place to support grant implementation. If the negotiations do not result in a mutually acceptable submission, the Grant Officer reserves the right to terminate the negotiations and decline to fund the application. The Department reserves the right to not fund any application related to this TEGL.

Except as specifically provided in this TEGL, acceptance of an application and an award of federal funds to sponsor any programs(s) does not provide a waiver of any grant requirements and/or procedures. For example, the OMB Uniform Guidance requires that an entity’s procurement procedures ensure that all procurement transactions are conducted, as much as practical, to provide full and open competition. If an application identifies a specific entity to provide goods or services, the award does not provide the justification or basis to solely source the procurement, (i.e., avoid competition).

Appendix VII

Administrative Program Requirements

All grantees will be subject to all applicable federal laws, regulations (including the OMB Uniform Guidance), and the terms and conditions of the award. The grant(s) awarded under this TEGL will be subject to the following administrative standards and provisions:

- i. Non-Profit Organizations, Educational Institutions, For-profit entities and State, Local and Indian Tribal Governments - 2 CFR Part 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards) and 2 CFR 2900 (DOL's Supplement to 2 CFR Part 200).
- ii. All entities must comply with 29 CFR Part 93 (New Restrictions on Lobbying), 29 CFR Part 94 (Government-wide Requirements for Drug-Free Workplace (Financial Assistance)), 2 CFR Part 180 (OMB Guidance to Agencies on Government-wide Debarment and Suspension (Non-procurement), and, where applicable, 2 CFR Part 200 (Audit Requirements).
- iii. 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.
- iv. 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.
- v. 29 CFR Part 32-Nondiscrimination on the Basis of Handicap in Programs or Activities Receiving Federal Financial Assistance.
- vi. 29 CFR Part 35- Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance from the Department of Labor.
- vii. 29 CFR Part 36-Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance.
- viii. 29 CFR Parts 29 and 30-Labor Standards for the Registration of Apprenticeship Programs, and Equal Employment Opportunity in Apprenticeship and Training, as applicable.
- ix. General Terms and Conditions of Award - <https://www.doleta.gov/grants/resources.cfm>

Appendix VIII ETA Evaluation

As a condition of grant award, grantees are required to participate in an evaluation, if undertaken by DOL. The evaluation may include an implementation assessment across grantees, an impact and/or outcomes analysis of all or selected sites within or across grantees, and a benefit/cost analysis or assessment of return on investment. Conducting an impact analysis could involve random assignment (which involves random assignment of eligible participants into a treatment group that would receive program services or enhanced program services, or into control group(s) that would receive no program services or program services that are not enhanced). We may require applicants to collect data elements to aid the evaluation. As a part of the evaluation, as a condition of award, grantees must agree to (1) make records available to the evaluation contractor on participants, employers, and funding; (2) provide access to program operating personnel, participants, and operational and financial records, and any other pertaining documents to calculate program costs and benefits; (3) in the case of an impact analysis, facilitate the assignment by lottery of participants to program services (including the possible increased recruitment of potential participants); and (4) follow evaluation procedures as specified by the evaluation contractor under the direction of DOL.

Appendix IX Reporting Requirements

You must meet DOL reporting requirements. Specifically, you must submit the reports and documents listed below to DOL electronically:

1) Quarterly Financial Reports

A Quarterly Financial Status Report (ETA 9130) is required until such time as all funds have been expended or the grant period has expired. Quarterly reports are due 45 days after the end of each calendar year quarter. On the final Financial Status Report, you must include any subaward amount so we can calculate final indirect costs, if applicable. You must use DOL's Online Electronic Reporting System, and information and instructions will be provided to grantees. For other guidance on ETA's financial reporting, reference Training and Employment Guidance Letter (TEGL) 02-16 and our webpage at https://www.doleta.gov/grants/financial_reporting.cfm.

2) Quarterly Performance Reports

Grant recipients must submit a quarterly progress report within 45 days after the end of each calendar year quarter. This report includes a quarterly narrative report that details all grant activities that occurred during the quarter (provides an analysis of the industry sectors and occupations participating in Registered Apprenticeship; summarizes progress against grant goals; and updates the work plan to include key goals and milestones for the coming year), as well as a quarterly performance report. In order to submit these quarterly reports, the grant recipient will be required to track and report participant-level data to ETA, including Social Security Numbers (SSNs), on all individuals who are provided grant-funded services. The SSN information allows ETA to efficiently match employment data from State unemployment insurance and other wage records. Thus, the collection of participant SSNs lessens the burden on grant recipients when tracking exit-based employment measures, while reporting consistent and reliable outcome information. Performance reporting for these grants will align with the DOL-Only Performance Accountability Information and Reporting System (OMB Control No. 1205-0521) information collection request (ICR). As part of quarterly performance reporting, DOL requires grant recipients to conduct data validation to ensure the validity of data submitted to DOL. Grant recipients are encouraged to fully implement the data validation framework published in forthcoming DOL data validation guidance.

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

DOL will provide the grant recipient with an online reporting system along with detailed formal guidance about the data and other information required to be collected and reported on, either on a regular basis or special request basis. As noted above, these

grants will align with WIOA performance reporting requirements, including the online reporting system. Grantees must agree to meet DOL reporting requirements.

Appendix X Grant Recipient Training

Grantees 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 grant period. These sessions may occur via conference calls, virtual events such as webinars, and in-person meetings. Applicants should budget for two staff members to attend one in-person event in Washington, D.C. of two-night duration, and one in-person event within their DOL Region of two-night duration, during the life of the award. For grantees whose apprenticeship programs are federally administered, this will include a meeting between the State, the ETA Office of Apprenticeship, and the OA State director to discuss the State's grant goals and the role OA can play in supporting those goals. This meeting will take place within the first quarter of grant award.

Appendix XI Agency Contacts

Please direct questions regarding this funding opportunity to Anu Mathew, Grants Management Specialist, Office of Grants Management, at Mathew.Anu@dol.gov, specifically referencing “ETA-TEGL-15-19”. Applicants should include a contact name, phone number and email with all questions to provide a means of response. This announcement is available on the ETA website at <http://www.doleta.gov> and at <https://www.grants.gov>.

Appendix XII
OMB Information Collection

OMB Information Collection No 1225-0086, Expires July 31, 2022.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 20 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

Send comments about the burden estimated or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, to the attention of the Departmental Clearance Officer, 200 Constitution Avenue NW, Room N1301, Washington, D.C. 20210. Comments may also be emailed to: DOL_PRA_PUBLIC@dol.gov.

Appendix XIII

Resources

- **Grants Application and Management:**
 - Applying for ETA Competitive Grants: A Web-Based Toolkit for Prospective Applicants
(https://grantsapplicationandmanagement.workforcegps.org/resources/2017/Applying_for_ETA_Competitive_Grants-_A_Web-Based_Toolkit-for_Prospective_Applicants)
 - SMART 3.0 Webinar Training Series
(https://grantsapplicationandmanagement.workforcegps.org/resources/2019/12/15/21/50/SMART_3-0_Webinar_Training_Series)
 - Effectively Managing ETA Competitive Grants (Grantee Handbook)
(https://www.doleta.gov/grants/docs/ETA_Grantee_Handbook.pdf)
 - Standard Grant Agreement Template
(https://www.doleta.gov/grants/pdf/2019_Terms_Template.pdf) (Note: Updated every year; link provided is the most current as of the publication of the TEGL)

- **Apprenticeship Resources**
 - Registered Apprenticeship 101 Boot Camp
(<https://ase.workforcegps.org/resources/2019/11/05/17/14/Registered-Apprenticeship-101-Bootcamp>)
 - Defining a Quality Pre-Apprenticeship Program and Related Tools and Resources
(https://wdr.doleta.gov/directives/corr_doc.cfm?docn=5842)
 - Industry and Equity Contracts
 - AACC Expanding Community College Apprenticeships (ECCA)

- **Other Resources:**
 - Skills Commons
(<https://h1bap.workforcegps.org/resources/2018/06/07/18/53/Skills-Commons>)
 - Competency Model Clearinghouse
(<https://ase.workforcegps.org/sitecore/content/global/resources/2014/06/10/06/59/competency-model-clearinghouse>)