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Tuesday  
January 26, 1999

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**Part II**

**Department of Labor**

Employment and Training Administration

Welfare-to-Work Competitive Grants;  
Notice

**DEPARTMENT OF LABOR****Employment and Training  
Administration****Welfare-to-Work Competitive Grants**

**AGENCY:** Employment and Training Administration (ETA), DOL.

**ACTION:** Notice of availability of funds; solicitation for grant applications.

**SUMMARY:** The U.S. Department of Labor (DOL), Employment and Training Administration (ETA) announces the third round of competitive grants under the Welfare-to-Work (WtW) grant program. The WtW program assists States and local communities to provide the transitional employment assistance needed to move hard-to-employ recipients of Temporary Assistance for Needy Families (TANF), and certain noncustodial parents, who have experienced or have characteristics associated with long-term welfare dependence, into lasting unsubsidized jobs. This announcement describes the conditions under which applications will be received under the (WtW) Competitive Grants program and how DOL/ETA will determine which applications it will fund. Please note that substantive changes have been made to this solicitation from previous WtW competitive grant solicitations. Read this Announcement carefully. In this round, the Department of Labor is placing a high priority on funding applications targeted to specific populations who face particular challenges in moving from welfare to work: noncustodial parents, individuals with disabilities, individuals who require substance abuse treatment, victims of domestic violence and individuals with limited English proficiency. Applications targeting these high priority populations may be eligible for bonus points. Applications for other WtW projects will also be considered, but will not be eligible for the bonus points associated with serving a high priority population. This announcement includes all of the information and forms needed to apply for WtW competitive grants.

**DATES:** The closing date for receipt of applications under this announcement is April 30, 1999. For the funding cycle covered by this announcement, complete applications must be received at the address below no later than 2 p.m. EST (Eastern Standard Time). Except as provided below, grant applications received after this date and time will not be considered. Applications which are not accepted for this announcement

must be resubmitted to be considered for future announcements.

**ADDRESSES:** U.S. Department of Labor, Employment and Training Administration, Division of Federal Assistance, Attention: Ms. Mamie D. Williams, SGA/DFA 99-003, 200 Constitution Avenue, NW, Room S4203, Washington, D.C. 20210.

**FOR FURTHER INFORMATION CONTACT:** Questions should be faxed to Ms. Mamie D. Williams, Grant Management Specialist, Division of Federal Assistance, Fax: (202) 219-8739. This is not a toll-free number. Questions may also be sent via electronic mail to "disgu-sga@doleta.gov." All inquiries sent via fax or e-mail should include the SGA number (DFA 99-003) and a contact name and phone number. This announcement is also being published on the Internet on the Employment and Training Administration's Welfare-to-Work Home Page at <http://wtw.doleta.gov>. Commonly asked questions and answers with regard to the WtW competitive grants and the WtW program in general, and copies of the Interim Final Rule governing the Welfare-to-Work program, including activities conducted under the competitive grants, are also available on the WtW Home Page. Award notifications will be also published on the WtW Home Page.

**SUPPLEMENTARY INFORMATION:****I. Authority**

Section 403(a)(5)(B) of Title IV of the Social Security Act. Regulations governing the WtW program are at 20 CFR Part 645, published at 62 FR 61588 (November 18, 1997).

**II. Submission of Applications**

Four copies of the application must be submitted, one of which must contain an original signature. Proposals must be submitted by the applicant only. All applications must be single-spaced, and on single-sided, numbered pages. A font size of at least 12 point is required.

Section I of the application must include the following required elements: (1) Application Cover Sheet; (2) Project Financial Plan, including the SF-424, (3) ETA Form 9070, Project Synopsis Form, and (4) Evidence of State and local consultation. Section I will not count against the application page limits. Failure to include all elements required in this section will result in disqualification of the application. Applications will not be reviewed if appropriate State and PIC/political subdivision certifications (or evidence of efforts to consult, as described in Section IV below) are not

included. No additional information or materials will be accepted by the Department of Labor after the closing date, unless such additional material is specifically requested by the Grant Officer.

Section II of the application, the project narrative, shall not exceed twenty (20) pages for the Government Requirements/Statement of Work section, as described below in the "Required Content for WtW Competitive Grant Applications—Fiscal Year 1999," plus an additional ten (10) pages for Attachments, to include no information that is critical to the review of the proposal. Letters of support for a proposal should NOT be submitted and will count against the page limits.

**Acceptable Methods of Submission**

Applications may be hand-delivered or mailed. Hand-delivered applications must be received at the address identified above by the date and time specified. Overnight mail deliveries will be treated as hand-deliveries. Mailed applications that arrive after the closing date will be accepted if they are post-marked at least five (5) days prior to the closing date. Applications submitted via overnight mail that arrive after the closing date will be accepted if they are post-marked at least two (2) days prior to the closing date. Otherwise, late applications will not be accepted. Telegraphed and/or faxed applications will not be accepted.

Applications may be withdrawn by written notice or telegram (including mailgram), or in person if the representative's identity is made known, and the representative signs a receipt for the application.

**OMB Approval of Paperwork Burden**

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. The valid OMB control number for this information collection is 1205-0399, expiration 7/99. The time required to complete this information collection is estimated to average twenty (20) hours per response, including the time to review the instructions, search existing data resources, gather data needed, and complete and review the information. Comments concerning this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Job Training Programs, Room N4459, Washington, DC 20210 (Paperwork Reduction Project 1205-0399).

Comments may be reflected in the development of future solicitations.

#### *Catalog of Federal Domestic Assistance Number*

The Welfare-to-Work program is listed in the Catalog of Federal Domestic Assistance at No. 17.253, "Employment and Training Assistance—Welfare-to-Work Grants to States & Local Entities for Hard-to-Employ Welfare Recipient Programs."

### **III. Program Scope and Funding**

Competitive grant projects will be expected to achieve the purpose of all WtW grants:

To provide transitional assistance which moves welfare recipients into unsubsidized employment providing good career potential for achieving economic self-sufficiency.

This transitional assistance is to be provided through a "work first" service strategy in which recipients are engaged in employment-based activities. Grant funds may be used to provide needed basic and/or vocational skills training as a post-employment service in conjunction with either subsidized or unsubsidized employment. This flexibility, established in the Regulations, reflects the basic "work first" philosophy of the WtW legislation, and recognizes the critical importance of continuous skills acquisition and lifelong learning to economic self-sufficiency.

All competitive grant projects are expected to be integral parts of a comprehensive strategy for moving eligible individuals into unsubsidized employment in a local, community-based context. Projects should develop and implement innovative approaches that enhance a community's ability to move eligible individuals into self-sustaining employment, create upward mobility paths and higher earnings potential for WtW participants, and achieve sustainable improvements in the community's service infrastructure for assisting welfare recipients.

All applications will be reviewed under the criteria set forth in Part VII of this announcement, including the effectiveness of the proposal in moving TANF recipients who are least job ready into unsubsidized employment, in moving such recipients into unsubsidized employment in labor markets that have a shortage of low-skill jobs, and in expanding the base of knowledge about programs aimed at moving TANF recipients into long-term unsubsidized employment.

#### *Targeted Populations*

Within the overall WtW competition, the Department seeks applications that target one of five high priority populations—(1) noncustodial parents; (2) individuals with disabilities; (3) individuals requiring substance abuse treatment; (4) victims of domestic violence or (5) individuals with limited English proficiency. Applications that identify one (and only one) of these target populations on the Project Synopsis Form (ETA Form 9070, Appendix B) will be reviewed separately by a panel of appropriate subject matter experts. Applications that target more than one of the high priority populations will be considered as general applications. It is important to note that the eligibility criteria and the proposed outcomes for projects for these targeted populations are the same as for the WtW program overall—to place hard-to-employ individuals in unsubsidized employment leading to economic self-sufficiency.

Projects serving high priority populations must respond to the same requirements as all other WtW competitive grant proposals, as described in "Required Content for WtW Competitive Grant Applications—Fiscal Year 1999" below. In addition, these applications will be required to describe: the specific services to be provided that address the unique characteristics of the targeted population; the specific partner organizations who have experience serving the targeted population or who will be key to the recruitment of the population into the project; and the prevalence of the targeted population within the eligible WtW population in the local area(s) to be served by the project.

#### *Other Areas of Interest*

In addition to proposing innovative strategies for moving welfare recipients into lasting unsubsidized employment and for providing services to the targeted populations described above, applicants are encouraged to consider the following in designing responsive service strategies for the eligible population in their local area.

- Strategies that focus on serving public and assisted housing residents;
- Development of responsive transportation and child care service systems;
- Integration of work and learning strategies to develop skills that promote employment, retention and career development;
- Creation of job opportunities (including self-employment) that allow

for flexibility to address work and family needs while providing income levels that are adequate for self-sufficiency;

- Proactive strategies to involve employers in design of service strategies and implementation of the project;
- Strategies that focus on family-based assistance and that are integrated with children systems (e.g., Child Care, Head Start) that can assist the full family unit;
- Activities to help women access nontraditional occupations; and
- Strategies that reflect effective integration with both the workforce development (e.g., One-Stop) and welfare systems.

In identifying those Other Areas of Interest addressed by the proposal on the Project Synopsis form (Required format can be found in Appendix B), please indicate the page number on which relevant text relating to this interest area can be found in the proposal narrative.

The Department is also interested in receiving applications to implement projects that are coordinated with community saturation strategies (in which comprehensive services are available to assist all of the eligible residents in a defined community). The Department expects that these applications would be submitted from communities in which there are concentrations of eligible hard-to-employ individuals, there is a reasonable opportunity to provide employment for all such individuals, and there are established partnerships which can contribute a significant level of resources to implement the strategy. A definition of "community saturation strategy" is provided in Appendix A.

#### *Funding Availability*

Approximately \$240 million is available for Federal grant assistance through this announcement. Of the funds available in this round of competitive grants, the Department aims to distribute approximately 70 percent for projects to serve cities with large concentrations of poverty and 30 percent for projects to serve rural areas. Definitions for "cities with large concentrations of poverty" and "rural area" can be found in Appendix A of this announcement. Applications to serve rural areas should be targeted to serve eligible residents from subareas that represent concentrations of poverty. Further, as indicated under the Criteria section of this solicitation, applicants are strongly encouraged to present innovative strategies to address the needs of areas with concentrations of poverty. Each application must indicate

on the required Project Synopsis Form either a rural or an urban focus for its project services.

It is expected that most grant awards will be between \$1 million and \$5 million. Furthermore, it is expected that most grants will serve a minimum of 100 eligible participants. Applications that are outside of this range must provide a brief explanation of how the project will have substantial community impact (especially for those below \$1 million and/or fewer than 100 participants), or how project services will be provided on a local level and targeted to the specific needs of the defined target group (especially for those applications over \$5 million).

#### *Award Period*

It is expected that the planned performance period for most projects will be between 18 and 30 months. Grant funds are not available for expenditure for longer than three years. No obligation or commitment of funds will be allowed beyond the grant period of performance. Any unspent grant funds must be returned to the Federal government.

#### **IV. Eligible Grant Applicants**

Private Industry Councils (PICs), political subdivisions of the State, and private entities (as defined in Appendix A) are eligible to receive grant funds under this announcement. Eligible private entities include community development corporations, community action agencies, community-based and faith-based organizations, disability community organizations, public and private colleges and universities, and other qualified organizations. Private entities include both non-profit and for-profit organizations but do not include individuals.

Entities other than a PIC or a political subdivision of the State must submit an application for competitive grant funds in conjunction with the PIC(s) or political subdivision(s) for the area in which the project is to operate. The term "in conjunction with" shall mean that the application must include a signed certification by both the applicant and either the appropriate PIC(s) or political subdivision(s) indicating that:

1. The applicant has consulted with the appropriate PIC(s)/political subdivision(s) during the development of the application; and

2. The activities proposed in the application are consistent with, and will be coordinated with, the WtW efforts of the PIC(s)/political subdivision(s).

If the applicant is unable to obtain the certification, it will be required to include information describing the

efforts which were undertaken to consult with the PIC(s)/political subdivision(s) and indicating that the PIC(s)/political subdivision(s) were provided a sufficient opportunity to cooperate in the development of the project plan and to review and comment on the application prior to its submission to the Department of Labor. "Sufficient opportunity for PIC/political subdivision review and comment" shall mean at least 30 calendar days.

The certification, or evidence of efforts to consult, must be with either each PIC or each political subdivision in the service area in which the proposed project is to operate. These certifications must be included in Section I of the grant application, and will not count against the established page limitations. For the purposes of this portion of the application, applicants must demonstrate, through written documentation such as registered mail receipt, that project applications were shared with the PIC/political subdivision in a timely manner. Certifications or evidence of efforts to consult must be included with the application. The Department of Labor will not accept additional information after the closing date.

#### *State-level Consultation*

All applicants for competitive grants, including PICs and political subdivisions, must submit their applications to the Governor or, at the discretion of the Governor, to the designated State administrative entity for the WtW program, for review and comment prior to submission of the application to the Department. For private entities, State review must be subsequent to review by the PIC or political subdivision.

When submitted to the Department, the application must include any comments from the Governor or his/her designee or must include information indicating that the Governor was provided a sufficient opportunity for review and comment prior to submission to the Department. "Sufficient opportunity for State review and comment" shall mean at least 15 calendar days. For the purposes of this portion of the application, information indicating that the Governor was provided opportunity for review must be demonstrated by written documentation, such as registered mail receipt, that project applications were submitted to the Governor or his/her designee in a timely manner. Certifications or evidence of efforts to consult must be included with the application. The Department of Labor

will not accept additional information after the closing date.

#### *Applicants for Multiple Community or National Projects*

Consideration will be given to applications which propose multi-community or national strategies to move welfare recipients into long-term unsubsidized employment leading to economic self-sufficiency. For example, an applicant may design a nationwide project to create jobs for welfare recipients in a particular industry. Applications which propose multi-community or national strategies must meet all of the application requirements contained in this Announcement. Specifically, private entities proposing such projects must include the signed certification from the applicable PIC or political subdivision of each local area in which the project will operate or other evidence indicating the efforts undertaken to obtain the required consultation as described above. Such applications must also demonstrate the required consultation with the Governors of the States in which the project will operate. Applications proposing national projects must comply with all statutory and regulatory requirements and will be rated under the same evaluation criteria as other applications. Applicants should be aware that the extent of local collaboration demonstrated in a national project will be considered as an important factor in the overall strength of the proposal. Applications targeting one of the high priority populations may also propose a multi-site project.

#### *Lobbying Disclosure Act of 1995*

Entities described in section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities are not eligible to receive funds under this announcement. The Lobbying Disclosure Act of 1995, 2 U.S.C. 1601 *et seq.*, prohibits the award of Federal funds to these entities if they engage in lobbying activities.

#### **V. Program and Administrative Requirements**

##### *Participant Eligibility and Funding Expenditures*

Each project will be required to meet the targeting provisions described at 20 CFR 645.211-645.213. [Note: The WtW Regulations are available at the WtW Internet web site at <http://wtw.doleta.gov>.] These provisions dictate that a minimum of 70 percent of the funds in each WtW competitive grant must be used to serve hard-to-employ individuals as described in Sec.

645.212. Furthermore, no more than 30 percent of the funds in each grant may be used to serve individuals with characteristics predictive of long-term welfare dependence, as described in Sec. 645.213.

#### *Allowable Uses of Funds*

Competitive grant funds shall be spent only for those activities identified in the WtW Regulations, at 20 CFR Part 645.220 and set forth below; for appropriate administrative costs; and for information technology costs in accordance with 20 CFR 645.235(c)(3).

#### *WtW Allowable Activities Are:*

(a) Job readiness activities financed through job vouchers or through contracts with public or private providers.

(b) Employment activities which consist of any of the following: (1) Community service programs; (2) Work experience programs; (3) Job creation through public or private sector employment wage subsidies; and (4) On-the-job training.

(c) Job placement services financed through job vouchers or through contracts with public or private providers subject to the payment requirements at Sec. 645.230(a)(3).

(d) Post-employment services financed through job vouchers or through contracts with public or private providers, which are provided after an individual is placed in one of the employment activities listed in paragraph (b) above, or in any other subsidized or unsubsidized job. Post-employment services include, but are not limited to, such services as: (1) Basic educational skills training; (2) Occupational skills training; (3) English as a second language training; and (4) Mentoring.

(e) Job retention services and support services which are provided after an individual is placed in a job readiness activity, as specified in paragraph (a) above, in one of the employment activities, as specified in paragraph (b) above, or in any other subsidized or unsubsidized job. These services can be provided with WtW funds only if they are not otherwise available to the participant. Job retention and support services include, but are not limited to, such services as: (1) Transportation assistance; (2) Substance abuse treatment (except that WtW funds may not be used to provide medical treatment); (3) Child care assistance; (4) Emergency or short-term housing assistance; and (5) Other supportive services.

(f) Individual development accounts which are established in accordance with section 404(h) of the Act.

(g) Intake, assessment, eligibility determination, development of an individualized service strategy, and case management may be incorporated in the design of any of the allowable activities listed in paragraphs (a) through (f) above.

#### *Administrative Costs*

Allowable costs and the 15 percent limitation on administrative costs for WtW competitive grants are defined in the WtW Regulations at 20 CFR 645.235. All proposed costs must be reflected as either a direct charge to specific budget line items, or as an indirect cost. Direct and indirect administrative costs are allowable, but combined, these costs cannot exceed 15 percent of the total grant. The administrative costs negotiated in the final grant document may be below fifteen percent.

Only costs which result from applying a federally-approved indirect cost rate may be entered on the "indirect cost" line item of the budget. If an indirect cost rate is used, the applicant must include documentation from the cognizant Federal agency which includes the approved rate, the cost base against which it is applied, and the approval date.

All applicants will be expected to justify proposed costs (see Item 1B, Project Financial Plan, in the "Required Content for WtW Competitive Grants Applications—Fiscal Year 1999"). Profits are not an allowable use of grant funds.

#### *Use of Federal Funds*

Federal funds cannot be used to support activities which would be provided in the absence of those funds. Grant funds may cover only those costs which are appropriate and reasonable. Federal grant funds may only be used to acquire equipment which is necessary for the operation of the grant. The grantee must receive prior approval from the DOL/ETA Grant Officer for the purchase and/or lease of any property and/or equipment with a per unit acquisition cost of \$5,000 or more, and a useful life of more than one year as defined in the "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments", codified at 29 CFR Part 97 (also known as the "Common Rule"), and "Grants and Agreements with Institutes of Higher Education, Hospitals and Other Non-Profit Organizations," codified at 29 CFR Part 95 (also known as OMB Circular A-110). This restriction includes the

purchase of Automated Data Processing (ADP) equipment. A request for such prior approval may be included in the grant application or submitted after the grant award. Requests submitted after the grant award must be directed through the Grant Officer Technical Representative (GOTR) and must include a detailed description and cost of the items to be acquired.

Grant funds also may not be used to cover any project-related costs incurred prior to the effective date of the grant award. In making a grant award, DOL/ETA has no obligation to provide any future additional funding in connection with the grant award.

Pursuant to 20 CFR Part 645.235(c)(3), the costs of information technology—computer hardware and software—needed for tracking or monitoring under a WtW grant are not subject to the fifteen percent limitation on administrative costs.

#### *Year 2000 Compliance*

Any information technology purchased in whole or in part with WtW funds, which is used for a period of time that goes beyond December 31, 1999, must be "year 2000 compliant." This means that such information technology shall accurately process date/time data (including, but not limited to, calculating, comparing and sequencing) from, into and between the twentieth and twenty-first centuries, the years 1999 and 2000, and leap year calculations. Furthermore, "year 2000 compliant" information technology, when used in combination with other information technology, shall accurately process date/time data if the other information technology properly exchanges date/time with it.

#### *Assurances and Certifications*

The following assurances and certifications must be included as part of each grant application: Debarment & Suspension Certification.

Other assurances and certifications will be required as part of each executed grant agreement, but do not need to be submitted as part of a WtW Competitive grant application: Assurances/Non-Construction Programs; Certification Regarding Lobbying; Drug Free Workplace Certification; Certification of Non-delinquency; and Non-discrimination and Equal Opportunity Requirements.

#### *Departmental Oversight*

The Department reserves the right to conduct oversight and both programmatic and financial monitoring activities for all competitive grants

awarded under the WtW grants program.

*Department of Health and Human Services Evaluation of the Welfare-to-Work Program*

Competitive grant projects will participate in the evaluation of the WtW grant program by the U.S. Department of Health and Human Services (DHHS), as described in Title IV, section 413(j)(1) of the Social Security Act. The goal of the DHHS evaluation is to expand the base of knowledge about programs aimed at moving the least job-ready welfare recipients into unsubsidized employment. The Department of Health and Human Services has selected Mathematica Policy Research as the evaluation contractor for this project. The evaluator will collect program and administrative data to determine the range of WtW project designs and the employment outcomes for all WtW grantees, consistent with section 413(j)(1)(C) of the Social Security Act. In addition, the evaluator, in cooperation with DHHS, will select certain sites at which to qualitatively study the implementation of the WtW program and other sites where net impact and cost effectiveness of the program will be examined quantitatively. For more information concerning Mathematica's evaluation of the WtW grants program, visit their website at <http://www.mathematica-mpr.com>.

## VI. Monitoring and Reporting

### *Monitoring*

The Department shall be responsible for ensuring effective implementation of each competitive grant project in accordance with the Act, the Regulations, the provisions of this announcement and the negotiated grant agreement. Applicants should assume that at least one on-site project review will be conducted by Department staff, or their designees, at approximately the midpoint of the project performance period. This review will focus on the project's performance in meeting the grant's programmatic goals and participant outcomes, complying with the targeting requirements regarding recipients who are served, expenditure of grant funds on allowable activities, integration with other resources and service providers in the local area, and methods for assessment of the responsiveness and effectiveness of the services being provided. Grants may be subject to other additional reviews at the discretion of the Department.

### *Reporting*

Applicants selected as grantees will be required to provide the following reports:

1. **Financial Reporting:** The Department of Labor (DOL) issued financial reporting instructions for competitive grantees on June 24, 1998. Financial reports will be submitted electronically directly to DOL.

2. **Participant Reporting:** Participant reporting instructions will be issued shortly covering the WtW competitive grant program. Participant reports for each competitive grant will be submitted in accordance with reporting instructions at a later date.

3. **Other Reporting:** The Department of Labor may negotiate additional reporting requirements with individual grantees, where necessary, for grant management and/or knowledge development purposes, including quarterly narrative reports.

In addition to required quarterly financial and participant reporting, some grantees may be asked to provide information to the appropriate ETA Regional Office during the early implementation phase of the project for the purpose of project oversight. This information may include project enrollment levels, participant characteristics, and emerging implementation issues.

## VII. Review and Selection of Applications for Grant Award Review Process

The Department will screen all applications to determine whether all required elements are present and clearly identifiable. These elements are described below in the "Required Content for WtW Competitive Grant Applications—Fiscal Year 1999." Failure to include and all required elements in Section I of the grant application will result in rejection of the application.

Each complete application will be objectively rated by a panel against the criteria described in this announcement. Applicants are advised that the panel recommendations to the Grant Officer are advisory in nature. The Grant Officer may elect to award grants either with or without discussion with the applicant. In situations where no discussions occur, an award will be based on the applicant's signature on the SF424 form (See Appendix B), which constitutes a binding offer.

Those applications that target one of the high priority populations (noncustodial parents, individuals with disabilities, individuals requiring substance abuse treatment, victims of

domestic violence or individuals with limited English proficiency) will be reviewed separately from the general applications.

The Grant Officer will make final award decisions based on what is most advantageous to the Government, considering factors such as: Panel findings; the geographic distribution of the competitive applications; the extent to which the competitive applications reflect a reasonable distribution of funds across the targeted populations and other areas of interest identified in this announcement; and the availability of funds.

### *Criteria*

The criteria, and the weights assigned to each, which will apply to the review of applications submitted in response to this announcement are:

1. "Relative Need for Assistance" [20 points] which shall consider the concentration of poverty and long-term welfare dependence and the lack of employment opportunities in the project service area (up to 9 points); the extent of gaps in the capacity of the local infrastructure to effectively address the employment barriers which characterize the targeted population, including an assessment of existing WtW competitive and formula funding in the local area (up to 6 points); and the responsiveness of the project design to the other areas of interest identified in Part III of this announcement (up to 5 points).

2. "Innovation" [20 points] which shall consider the extent to which the project incorporates new and better strategies for moving welfare recipients into lasting unsubsidized employment leading to economic self-sufficiency. These strategies can include, but are not limited to, new and better ways that services can be accessed by participants in the local community, new and better ways for local organizations to work together, or the replication of effective strategies in a new setting.

3. "Outcomes" [25 points] which shall consider the quality of the proposed employment and earnings outcomes (up to 10 points); the extent to which the proposed plan of services responds to identified needs, the barriers faced by proposed participants, and the conditions in the local area as well as the likelihood that the proposed service plan will result in the proposed outcomes (up to 12 points); and the reasonableness of the level of investment in relation to the proposed outcomes (up to 3 points).

4. "Local Collaboration and Sustainability" [25 points] which shall consider the extent to which the project is coordinated with the WtW formula

grant and TANF grant activities and supported by the PIC/political subdivision and local TANF agency (up to 8 points); the extent and quality of local community partnerships that are involved in and making substantial contributions of resources to the project (up to 7 points); involvement of and participation by local employers (up to 5 points); and the extent to which the community and/or the local area has developed plans and commitments to maintain and expand the capacity to serve the target population with local resources over a sustained period of time (up to 5 points).

5. "Demonstrated Capability" [10 points] which shall consider the extent to which the applicant and its partner organizations demonstrate a history of success in serving a comparable target group, the extent of use of current or former welfare recipients in the provision of services, and the extent to which the applicant demonstrates the ability to effectively execute grant management responsibilities.

For those proposals that are deemed by the Grant Officer to be most competitive, applicants proposing projects in which the majority of participants to be served by the project reside in designated Empowerment Zones and Enterprise Communities (EZ/EC) will be eligible for 5 bonus points. Applicants must demonstrate that the majority of participants reside within a federally-designated EZ/EC in order to be awarded the 5 bonus points, and must indicate the name of the EZ/EC to be served. The applicant does not necessarily have to be located within the EZ/EC.

In addition, for those proposals that are deemed by the Grant Officer to be most competitive, applicants targeting one of five high priority populations (noncustodial parents, individuals with disabilities, individuals requiring substance abuse treatment, victims of domestic violence or individuals with limited English proficiency) will be eligible for 10 bonus points. Applications must address the services, partner organizations and need in the local area relative to service to the targeted population.

Signed at Washington, D.C., this 22nd day of January 1999.

**Janice E. Perry,**  
DOL Grant Officer.

### **Required Content for WtW Competitive Grant Applications Fiscal 1999**

Each application must contain the information and follow the format outlined in this Part. The application must include: (1) Information that

responds to these requirements; (2) information that indicates adherence to the provisions described in preceding sections of this announcement; and (3) any other information the applicant believes will address the review and selection criteria.

## **I. Project Summary**

### *A. Application Cover Sheet*

Each application shall complete an Application Cover Sheet (as found in Appendix B) to clearly designate the applicant name, affiliation and which, if any, of the targeted populations will be served. This form will help the Department in the processing of applications and is required.

### *B. Project Financial Plan*

Information provided in this section will be evaluated predominantly under the "Outcomes" criteria.

The financial plan shall describe all costs associated with implementing the project that are to be covered with grant funds. All costs should be necessary and reasonable according to the Federal guidelines set forth in the "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," codified at 29 CFR Part 97 (also known as the "Common Rule"), and "Grants and Agreements with Institutes of Higher Education, Hospitals and Other Non-Profit Organizations" (also known as OMB Circular A-110), codified at 29 CFR Part 95.

The financial plan must contain the following parts:

- "Application for Federal Assistance" and "Budget Information Sheet" by line item for all costs required to implement the project design effectively. Submission of these two completed forms is required. (See Appendix B for these required forms.)

**Note:** Although there is no matching requirement for these grants, the Department strongly encourages the leveraging of financial and other resources in the implementation of WtW competitive grant projects. These resources will not, however, be recorded on the Budget Information Sheet (Appendix B). Leveraged resources offered by applicants will be evaluated in the selection criteria under "Local Collaboration and Sustainability."

- Budget narrative/justification which provides sufficient information to support the reasonableness of the costs included in the budget in relation to the service strategy and planned outcomes.

### *C. Project Synopsis Form—ETA Form 9070*

Each application shall provide a project synopsis form (ETA Form 9070)

which identifies: the applicant; the type of organization; applicant contact information; the project service area; whether the service area is a city with a large concentration of poverty or a rural area; whether the project is located within an EZ/EC, and if so, which one; which, if any, of the five high priority populations will be served—noncustodial parents, individuals with disabilities, individuals requiring substance abuse treatment, victims of domestic violence or individuals with limited English proficiency [NOTE: Applications which target more than one of the targeted populations will be reviewed as general applications]; the other areas of interest identified in the announcement which are addressed by the project (with page numbers where relevant portions of the project narrative can be found); the amount of grant funds requested; the planned period of performance; the planned number of WtW-eligible TANF recipients to be served; the number of noncustodial parents to be served (if applicable); the significant employment barriers which characterize the target group; and the planned employment and earnings outcomes. The required format for this synopsis can be found in Appendix B.

In addition, each application must provide a two-page executive summary of the grant proposal, describing the significant employment barriers which characterize the target group, the proposed service strategy, other significant service organizations involved in the delivery of services, and the most innovative elements of the proposal. This section must be limited to no more than two single-spaced, single-sided pages.

### *D. Evidence of Required Local and State Consultation*

It is the expectation of the Department that, to the extent possible, all applications will be developed in consultation with the appropriate PIC/political subdivision and the Governor. Competitive grant projects should complement the WtW formula program activity, rather than exist independent of, or in conflict with, that program.

Each application must include the signed certification of the required consultation with the Governor, or of evidence of efforts to consult, as described in this announcement. Applications from private entities must also include the signed certification from the appropriate PIC(s) or political subdivision(s) or other evidence indicating the efforts undertaken to obtain the required consultation as described in this announcement. In areas where an entity other than the PIC

has been designated by the Governor and approved by the Secretary to administer the WtW formula grant, the applicant should also include evidence of consultation and/or support from that entity. All certifications or comments provided as part of this requirement must be included in this section of the grant application and will not be counted against the established page limits.

**Note:** All certifications or evidence of efforts to consult must be included as part of the application. The Department of Labor will not accept any information received after the closing date.

## II. Government Requirements/ Statement of Work—Project Narrative

This section of the application should not exceed 20 single-spaced, numbered pages. The application should include information of the type described below, as appropriate.

### *Description of Service Area*

Information provided in this section will be evaluated predominantly under the "Relative Need" criteria.

- Identify the specific political and geographic jurisdictions (e.g., cities, counties, subsections of cities/counties) which are included in the service area for the project.
- Identify the percent of the population in the service area that has income below the poverty level.
- Identify the percent of the population in the service area that is receiving TANF assistance.

**(Note:** Child-only TANF cases should be excluded from this number unless these cases are relevant to the project target group—e.g. noncustodial parents—Please note that ETA Training and Employment Guidance Letter (TEGL) No. 6-98 entitled "Technical Amendment to Welfare-to-Work (WtW) Eligibility Criteria for Noncustodial Parents" and dated 9/21/98, provides further information on eligibility requirements of noncustodial parents).

- Identify the percent of the TANF population that has received TANF or AFDC assistance for 30 months or more, or is within 12 months of losing eligibility for assistance under State or Federal law (Note: Child-only TANF cases should be excluded from this number unless these cases are relevant to the project target group—e.g. noncustodial parents).
- Identify the most recent unemployment rate in the service area.
- Describe the significant deficiencies in the local area infrastructure that represent significant barriers to moving eligible recipients into permanent employment in an efficient

manner (e.g., lack of transportation, labor market with a shortage of low-skill jobs, shortage of employers with appropriate employment opportunities, remoteness from health facilities, limited number of social and support service agencies).

### *Summary of Strategy for Use of WtW Formula and Existing Competitive Grant Funds in the Local Area*

Information provided in this section will be evaluated predominantly under the "Local Collaboration and Sustainability" and "Relative Need" criteria.

- Identify the substate service area covered by the WtW formula and existing competitive grants.
- Describe the allocation of formula and existing competitive grant funds among the allowable activities.
- Identify the significant local and community organizations involved and their roles in providing assistance through the formula and existing competitive grants.
- Describe how the proposed competitive grant project will supplement and enhance the capacity of the WtW formula and existing competitive grant activities to effectively serve eligible recipients in the local area who have significant employment barriers.
- In cases where the applicant cannot obtain information regarding the formula grant because the State has not submitted a complete WtW Formula Grant Plan, the application should so indicate. Absence of this information, in and of itself, will not penalize the applicant.

### *Analysis of Target Group*

Information provided in this section will be evaluated predominantly under the "Relative Need" criteria.

- Describe the individuals targeted for assistance through this project, including any noncustodial parents (See reference above to TEGL 6-98, dated 9/21/98 concerning eligibility determination for noncustodial parents), individuals with disabilities, individuals requiring substance abuse treatment, victims of domestic violence, individuals with limited English proficiency, and public and assisted housing residents.
- Describe the significant employment barriers which characterize this target group, including the process for identifying those participants who are least job ready.

**Note:** An adequate analysis of employment barriers of the target group will be a critical factor in evaluating the need for grant

assistance and the appropriateness of the proposed plan of services.

### *Analysis of Employment Opportunities*

Information provided in this section will be evaluated predominantly under the "Relative Need" criteria.

- Identify the types of occupations in the local area which are being targeted as appropriate employment opportunities for the target group of this project.
- Describe the justification for the selection of the occupations in terms of their availability and the adequacy of expected placement wage and post-placement earnings potential to achieve self-sufficiency.

### *Service Strategy*

Information provided in this section will be evaluated predominantly under the "Innovation" and "Outcomes" criteria.

- Identify the specific job readiness, placement (in both subsidized and unsubsidized employment), post-employment, job retention and/or support services to be provided with competitive grant funds as well as services to be leveraged from other sources.
- Describe the rationale for planned enrollments in activities in terms of the employment barriers, infrastructure deficiencies and employment opportunities previously identified above.
- Describe what individual support services, such as mentoring and case management, will be used to maintain participants in the program.

### *Service Process*

Information provided in this section will be evaluated predominantly under the "Innovation" and "Outcomes" criteria.

- Describe the comprehensive service process that will be available to participants, and identify the organizations which will be involved in providing specific services/activities. [A process flowchart and/or service matrix may be used to provide this description.] The description should specify what elements of the service strategy are already available in the community, whether through the WtW formula program, the TANF program or from other sources, as well as the elements or services that will be funded through the WtW competitive grant award.
- Describe the specific methods which will be used by the grantee and the local TANF agency to coordinate and work jointly in providing the following services: Outreach,

recruitment, and referral of appropriate recipients for assistance through the project; assessment of skills and identification of specific employment barriers; counseling and case management; and support services.

- Applicants are strongly encouraged to develop good linkages to the local TANF agency in the development of their proposal. Although not required, applicants are encouraged to consult with and, where possible, to share their proposals with the local TANF agency to incorporate that agency's perspective into their proposed service process.
- Where vouchers for services are to be used, describe the process by which vouchers will be distributed and redeemed (in compliance with 20 CFR Sec. 645.230(a)(3)), including who will be eligible, how amounts of vouchers will be determined, and how the grantee will ensure that quality services are being provided.

#### *Integration of Resources*

Information provided in this section will be evaluated predominantly under the "Local Collaboration and Sustainability" criteria.

- Identify specific financial and other resources and organizational/service provider capabilities which are being contributed to provide the full range of assistance to the identified target group for the project. At a minimum, describe the coordination and contributions of local JTPA service providers, local TANF providers, and local housing and transportation authorities. In developing their plans, applicants are encouraged to be mindful of their obligations not to interfere with collective bargaining rights or agreements or to displace employees.

[Note: There is no matching or cost sharing requirement for WtW competitive grants.]

- Describe the process that will be used to maintain and expand the service structure in the local area and engage new partners after receipt of WtW competitive grant funds.
- Describe how the project will develop a sustainable capacity in the local community to effectively move welfare recipients into permanent jobs and to foster the long-term self-sufficiency of the target population. It is expected that project services will provide assistance oriented towards long-term solutions. It is also expected that the need for grant funds to provide this assistance will diminish over time, specifically in the

latter stages of the grant performance period.

#### *Employer Support*

Information provided in this section will be evaluated predominantly under the "Local Collaboration and Sustainability" criteria.

- Describe the specific responsibilities and approaches for developing relationships with and support of area employers to generate a sufficient number of unsubsidized employment opportunities for the target group. Specifically describe how employers will be encouraged to customize employment opportunities to meet work-related needs (e.g., child care, flexible work schedules) of recipients.
- Identify the employers in the local area who have made commitments to the project and describe the types of commitments made (e.g., number and types of jobs, contribution of employer resources for post-hire support services and/or training).

#### *Planned Outcomes*

Information provided in this section will be evaluated predominantly under the "Outcomes" criteria.

- Identify and justify planned performance for the comprehensive service strategy on the following measures: Number of participants to be placed into unsubsidized employment; average earnings at placement in unsubsidized employment; expected average earnings one year after placement in unsubsidized employment; and cost per placement in unsubsidized employment.

The application may include other measures and planned performance levels as deemed appropriate by the applicant. If these are included, the applicant should briefly describe their relevance to the project.

#### *Implementation Plan*

Information provided in this section will be evaluated predominantly under the "Outcomes" and "Innovation" criteria.

- Identify the critical activities, time frames and responsibilities for effectively implementing the project within the first 60 days after the award of the grant.
- Include an implementation schedule showing the number of participants, enrollments in allowable activities, placements in unsubsidized employment and terminations over the life of the grant.

#### *Project Management Plan*

Information provided in this section will be evaluated predominantly under the "Demonstrated Capability" and "Innovation" criteria.

Applicants must be able to document that they have systems capable of satisfying the administrative and grant management requirements for WtW grants as defined in 20 CFR Part 645.

- Include a project organizational chart which identifies the organizations, and staff, with key management responsibilities and the specific responsibilities of each organization;
- Describe the specific experience of the applicant and other key organizations involved in the project in serving individuals with significant barriers to employment. The information should include at a minimum specific projects or grants, a comparison of the characteristics of individuals served to the target group for this project, and the employment outcomes which were achieved. In addition, applicants should provide the names and addresses of their last three grantors, public and/or private, from which applicants received funding. The Department of Labor reserves the right to contact any or all of these funding organizations or to request additional information from the applicant regarding past performance as part of a responsibility review process, or if the Department is concerned about the applicants' financial responsibility or capability to manage grant funds.
- As appropriate, describe how current or former welfare recipients will be used to provide services.
- Describe the procedures which will be used to obtain feedback from participants and other appropriate parties on the responsiveness and effectiveness of the services provided.
- Applicants are advised that the Department of Labor may use information included in proposals to document the nature of the WtW applicant pool, as well as the range and depth of perceived service needs in the WtW population.

#### *Innovation*

Information provided in this section will be evaluated predominantly under the "Innovation" criteria.

Recipients of WtW competitive grants are expected to use creativity and innovation to help eligible individuals obtain long-term unsubsidized employment and economic self-sufficiency. The application should describe how the proposed approach represents an innovative method for

achieving the employment objectives of the project. Proposed strategies should represent an improvement over, or a variation on, approaches that have traditionally been used in the project service area to assist welfare recipients and other low-income unemployed individuals.

Grant recipients are also expected to share knowledge which they develop through the use of innovative approaches. Applicants should describe how they will report lessons learned in the course of the grant implementation, and further, describe their plans for disseminating the knowledge they have gained.

#### *Additional Requirements for Community Saturation Projects*

Information provided in this section will be evaluated predominantly under the "Outcomes" and "Innovation" criteria.

- Describe why a project employing a saturation strategy is appropriate for the project service area and target group.
- Describe the feasibility of a saturation strategy for the project service area and target group (e.g., based on available employment opportunities).
- Identify the local partners who will be involved in implementing the saturation strategy, the services to be provided and the dollar value of the contribution from each.

#### *Additional Requirements for Projects Targeting High Priority Populations*

Information provided in this section will be evaluated predominantly under the "Relative Need" and "Local Collaboration and Sustainability" criteria.

For those projects targeting services to noncustodial parents, individuals with disabilities, individuals requiring substance abuse treatment, victims of domestic violence or individuals with limited English proficiency:

- Describe the specific services to be provided that address the unique characteristics of the targeted population;
- Describe the specific partner organizations who have experience serving the targeted population or who will be key to the recruitment of the population into the project; and
- Describe the prevalence of the targeted population within the eligible WtW population in the local area(s) to be served by the project.

#### **Appendix A: Definitions of Key Terms**

**City with Large Concentration of Poverty**—Any county that contains an urban center of more than 50,000 people with a poverty rate of greater than 7.5 percent.

**Community Saturation Strategy**—Projects that propose to serve 100 percent of the WtW eligible population within a designated service area, i.e., the community is completely "saturated" with services.

**Private Entity**—Any organization, public or private, which is neither a PIC nor a political subdivision of a State.

**Private Industry Council (PIC)**—from Sec. 645.120 of the WtW Regulations—A Private Industry Council established under Section 102 of the Job Training Partnership Act, which performs the functions authorized at Section 103 of the JTPA.

**Political Subdivision**—A unit of general purpose local government, as provided for in State laws and/or Constitution, which has the power to levy taxes and spend funds and which also has general corporate and police powers.

**Rural Area**—(1) Any county that does not contain an urban center of more than 50,000 people, and where at least 50 percent of the geographical area of the county has a population density of less than 100 persons per square mile; or (2) in counties where there is an urban center, a rural area within the county that constitutes, or is part of, a distinct rural labor market.

**Individual with a disability**—A person with a physical or mental impairment as defined in Section 3 of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102).

#### **Appendix B: Required Forms**

- (1) Application Cover Sheet
- (2) Application for Federal Assistance (Standard Form 424)

**Note:** In completing the Standard Form 424, the applicant should indicate in Item 11 of the form whether the project is to operate in a city with a large concentration of poverty or in a rural area; identify the EC/EZ included in the project service area, if applicable; and identify any of the areas of interest identified in the announcement which are addressed by the project.

- (3) Budget Information Sheet
- (4) Project Synopsis Form

BILLING CODE 4510-30-P

Cover Sheet

Applicant #: \_\_\_\_\_  
*(Leave Blank)*

**Solicitation for Grant Application  
(SGA# 99-003)**

**Welfare-to-Work Competitive Grant  
(Round #3)**

\_\_\_\_\_  
*(Enter Legal Name of Applying Organization)*

We are applying for grant funding under the following Category  
***(ONLY CHECK ONE)***

- \_\_\_\_\_ DISABILITIES *(only)*
- \_\_\_\_\_ DOMESTIC VIOLENCE *(only)*
- \_\_\_\_\_ LIMITED ENGLISH PROFICIENCY *(only)*
- \_\_\_\_\_ NONCUSTODIAL PARENTS *(only)*
- \_\_\_\_\_ SUBSTANCE ABUSE *(only)*
- \_\_\_\_\_ GENERAL *(any combination of the above or another area)*



**WELFARE-TO-WORK COMPETITIVE GRANTS****PART II - BUDGET INFORMATION****SECTION A - Budget Summary by Categories**

	(A)	(B)	(C)
1. Personnel			
2. Fringe Benefits (Rate %)			
3. Travel			
4. Equipment			
5. Supplies			
6. Contractual			
7. Other			
8. Total, Direct Cost (Lines 1 through 7)			
9. Indirect Cost (Rate %)			
10. Participant Wages			
11. TOTAL Funds Requested (Lines 8 through 10)			

**NOTE:** Use Column A to record funds requested for the initial period of performance (i.e. 12 months, 18 months, etc.); Column B to record changes to Column A (i.e. requests for additional funds or line item changes; and Column C to record the totals (A plus B).

**WELFARE-TO-WORK COMPETITIVE GRANTS****INSTRUCTIONS FOR PART II - BUDGET INFORMATION****SECTION A - Budget Summary by Categories**

1. **Personnel:** Show salaries to be paid for project personnel.
2. **Fringe Benefits:** Indicate the rate and amount of fringe benefits.
3. **Travel:** Indicate the amount requested for staff travel. Include funds to cover at least one trip to Washington, DC for project director or designee.
4. **Equipment:** Indicate the cost of non-expendable personal property that has a useful life of more than one year with a per unit cost of \$5,000 or more.
5. **Supplies:** Include the cost of consumable supplies and materials to be used during the project period.
6. **Contractual:** Show the amount to be used for (1) procurement contracts (except those which belong on other lines such as supplies and equipment); and (2) sub-contracts/grants.
7. **Other:** Indicate all direct costs not clearly covered by lines 1 through 6 above, including consultants.
8. **Total, Direct Costs:** Add lines 1 through 7.
9. **Indirect Costs:** Indicate the rate and amount of indirect costs. Please include a copy of your negotiated Indirect Cost Agreement.
10. **Participant Wages:** Include any wages paid to participants or employers for work experience, OJT, job creation, community service work or any other subsidized employment activity.
11. **Total Federal funds Requested:** Show total of lines 8 through 10.

**NOTE: PLEASE INCLUDE A DETAILED COST ANALYSIS OF EACH LINE ITEM.**

**PROJECT SYNOPSIS FORM**

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

OMB No. 1205-0399  
Expires: 07/31/99

Project Applicant Name: _____	
Type of Organization:	
<input type="checkbox"/> PIC <input type="checkbox"/> Political Subdivision (City/County)	<input type="checkbox"/> Private Entity In conjunction with (identify specific PIC or Political Subdivision): _____
Applicant Contact:	E-mail address: _____
Title: _____	
Address: _____	
Telephone: ( ) _____	Fax: ( ) _____
Project Service Area (Counties or area to be served): _____	City _____
Identify EZ/EC: _____	Rural Area _____
	EZ/EC _____
<b>WTW TARGETED POPULATIONS (Choose only one)</b>	
<input type="checkbox"/> Noncustodial Parents	<input type="checkbox"/> Substance Abuser
<input type="checkbox"/> Disabilities	<input type="checkbox"/> Domestic Violence
	<input type="checkbox"/> Limited English Proficiency
	<input type="checkbox"/> General Application
<b>DESCRIPTION OF OTHER AREAS OF INTEREST</b> (Indicate relevant page numbers in project narrative on the line provided for all areas that apply)	
<b><u>Key Service Strategies</u></b> <input type="checkbox"/> Expanded/accessible Transportation Services <input type="checkbox"/> Expanded/accessible Child Care Services <input type="checkbox"/> Serving Public & Assisted Housing Residents <input type="checkbox"/> Integrated Work and Learning Skills Development <input type="checkbox"/> Family-focused Assistance <input type="checkbox"/> Job Creation/Self-Employment <input type="checkbox"/> Non-traditional Occupations for Women	<b><u>Integration Strategies</u></b> <input type="checkbox"/> Proactive Employer Involvement <input type="checkbox"/> Integration with Child and other Family Assistance Services <input type="checkbox"/> Integration with Workforce Development and Welfare Systems <input type="checkbox"/> Community Saturation
<b>OUTCOME MEASURES</b>	
Funds Requested: \$ _____	Period of Performance: From _____ To _____
Number of Participants: _____	Cost Per Placement (unsubsidized): \$ _____
Number of Noncustodial Parents: _____	Expected Average Wage at Placement: \$ _____
Number of Placements (unsubsidized): _____	Expected Average Wage One Year After Placement: \$ _____
Persons are not required to respond to this collection of information unless it displays a current valid OMB control number. Respondents obligation to reply to these reporting requirements are required to obtain or retain benefits (20 CFR 645). 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 regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the US Department of Labor, Office of Welfare-to-Work, Room C-4524, Washington, D.C. 20210 (Paperwork Reduction Project 1205-0387).	

January 1999

ETA Form 9070