

U.S. DEPARTMENT OF LABOR
Office of Disability Employment Policy

**NOTICE OF AVAILABILITY OF FUNDS AND FUNDING OPPORTUNITY
ANNOUNCEMENT FOR: EQUITABLE TRANSITION MODELS DEMONSTRATION
GRANTS (ETM) PROJECT**

ANNOUNCEMENT TYPE: Initial

FUNDING OPPORTUNITY NUMBER: FOA-ODEP-23-12

ASSISTANCE LISTING: 17.720

KEY DATES: *The closing date for receipt of applications under this Announcement is 10/31/2023. We must receive applications no later than **11:59 p.m. Eastern Time.***

Submit all applications in response to this solicitation through <https://www.grants.gov>. For complete application and submission information, including online application instructions, please refer to Section IV.

The U.S. Department of Labor, Employment and Training Administration (ETA), is responsible for the grant award process for the Office of Disability Employment Policy.

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EXECUTIVE SUMMARY

The Office of Disability Employment Policy (ODEP), U.S. Department of Labor (DOL, or the Department, or we), expects to award approximately four demonstration grants under this Funding Opportunity Announcement (FOA), and applicants may apply for no more than \$3,246,250, which will cover their project's first year of operation. The Department anticipates each selected awardee will receive a total award of no more than \$17,412,500 during the five-year period of performance. Each awardee will receive no more than \$3,246,250 in the first year, annual increments of no more than \$4,500,000 in the following three years, and up to \$666,250 in the fifth year of funding. The award of all increments will be contingent upon receipt of a complete incremental funding application package, federal funds availability, satisfactory progress of the project to date, and adequate stewardship of federal funds.

The primary goals of the ETM Demonstration Grants are to improve the employment outcomes of multiply marginalized people with disabilities, specifically youth and young adults with disabilities (Y&YAD), as well as to increase states' capacity to develop innovative employment strategies for underserved Y&YAD and their families. The ETM grants will support up to four grantees in developing scalable strategies to enable multiply marginalized Y&YAD ages 14 to 24 to successfully transition into the workforce. ETM Demonstration Grant applicants will identify specific target population(s) based on data analysis and needs assessments. For example, applicants may focus on low-income Y&YAD as well as those experiencing homelessness, leaving foster care, or involved in the justice system. Applicants may also focus on underserved Y&YAD populations identified in the Workforce Innovation and Opportunity Act (WIOA), such as youth receiving Supplemental Security Insurance (SSI) benefits, youth potentially eligible for SSI, or youth whose low earnings may lead them to apply for SSI benefits as adults.

The ETM Demonstration Grants will focus on multiply marginalized youth population(s) by building upon the lessons learned from the [SSI PROMISE demonstrations](#) and the [SSI Youth Solutions research projects](#). The grants will also build upon the principles forming the [Guideposts for Success framework](#). Selected awardees will provide services through a consortium of partners collaborating closely with state and/or local workforce development entities, employers and/or community-based organizations, and other partners, as appropriate.

The first 12 months of the ETM Demonstration Grants will consist of planning and start-up activities, including the launch of small-scale pilot demonstrations. During the remaining four years of the project, grantees will expand the pilot demonstrations to full scale. At full scale, grantees will either implement the model in the new regions identified in the applicant's geographic scope or expand the model to additional target populations.

DOL will host a prospective applicant webinar for this competition. The date, time, and other logistical information will be posted on [ODEP's website](#).

The U.S. Department of Labor (DOL) is committed to investing its funds to promote better working conditions for all workers. In 2022, the Departments of Labor and Commerce published The Good Jobs Principles, which strike a common vision for the shared elements of Good Jobs. Good Jobs Principles include adopting a competitive wage scale; establishing more predictable work schedules; examining how benefits may be offered; and creating opportunities for

inclusion, accessibility and career advancement. Selected awardees should ensure that any employers in its consortium are advised on how to adhere to nondiscrimination laws, adopt practices that ensure workers know their rights, and work continuously to remove discriminatory barriers within their organization.

Applicants must be mindful of these Principles in designing their projects. This funding opportunity also seeks specific information or plans for addressing all of the [Good Jobs Principles](#) through staffing, personnel and support for employer engagement.

I. FUNDING OPPORTUNITY DESCRIPTION

A. Program Purpose

This Announcement solicits applications under the funding opportunity announcement **Equitable Transition Models Demonstration Grants (ETM) Project**.

The ETM Demonstration Grants will provide comprehensive, coordinated services to enable low-income youth and young adults with disabilities (Y&YAD), ages 14 to 24, to successfully transition to employment.

Successful applicants will provide services through a consortium of partners, including state and/or local workforce development entities, State Vocational Rehabilitation agencies, employers, community-based provider networks, and other partners, as appropriate.

Successful applicants will use the first year of funding to conduct planning, develop partnerships, and design policies and programs necessary to prepare for full-scale implementation of the project. In the first year, applicants will launch a small-scale pilot demonstration to begin testing the proposed model. Full scale project implementation will occur during the remaining four years of the project. Selected awardees will also use that time to prepare for the related independent evaluation.

To meet the primary goals of the ETM—to improve Y&YAD employment outcomes and enhance state capacity for creating innovative strategies—grantees will need to set performance goals for the following outcomes, which are based on WIOA performance indicators:

1. Number of underserved Y&YAD exiting secondary and postsecondary education and obtaining competitive integrated employment (CIE) in quarter two or quarter four after program exit;
2. Number of underserved Y&YAD maintaining CIE for one year after program exit; and
3. Number of underserved Y&YAD attaining a postsecondary credential during the program or within one year after exit.

This FOA solicits innovative proposals to validate and scale evidence-based strategies to accomplish these goals. Each successful applicant will develop and implement a model demonstration project promoting postsecondary and employment outcomes for youth with disabilities, including those from underserved communities and their families. Each cooperative agreement will have a five-year period of performance. The minimum number of participants

enrolled in the project will be determined with the independent evaluation contractor. See the required program services and optional program elements in the section below.

Background

ETM Demonstration Grant applications must build upon lessons learned in past federal transition projects and may also gain insight from other residential and job sector training initiatives with or without a disability focus that have provided comprehensive supports and services that have been implemented or tested in prior federal initiatives.

Earlier federal transition efforts, such as the [Structured Training and Employment Transition Services](#) project, and the [Transition Employment Training Demonstration](#), established the efficacy of transition interventions to increase employment, earnings, and income. These initiatives were followed by the Youth Transition Demonstration (YTD) and most recently, Promoting the Readiness of Minors in Supplemental Security Income (PROMISE). A [core finding](#) of YTD was that interventions with well-designed services (including employment services) to youth with disabilities can improve key transition outcomes in the short and medium term. [PROMISE found](#) that providing services to families, in addition to youth, has the potential to improve youth employment outcomes. Evaluations of the long-term impacts of PROMISE are ongoing.

ETM Demonstration Grant applicants must demonstrate in their applications an understanding of how other federal youth workforce development efforts such as Job Corps, Youth Build, Vocational Rehabilitation Programs, WIOA title one programs, and nonfederal youth disability employment efforts, can be leveraged to expand opportunity for work-based learning and other core practices essential for long term employment success for Y&YAD from underserved communities.

Mathematica's analysis of intervention [research shows](#) that without intervention and programmatic efforts for improvement, youth with disabilities and their families are more likely to continue to experience significant challenges in navigating a fragmented system of supports.

Grant Requirements

Successful applicants will develop and implement partnerships and strategies that enhance services for underserved Y&YAD. Applicants must consider current regional and state employment and labor market trends in their state and propose strategies to engage Y&YAD with well-coordinated, culturally responsive employment-related services.

In general, applicants will:

- Identify one or more underserved Y&YAD populations who experience barriers to obtaining employment or workforce development training in their state;
- Develop a coordinated, comprehensive strategy to maximize the extent to which state, local, and nonprofit youth-serving system partners that serve the target population(s) in the project's geographic boundaries participate in the ETM Demonstration Grants;
- Design a comprehensive, coordinated system of program service delivery to Y&YAD, which helps them successfully transition to employment and post-secondary settings; and

- Collaborate with the DOL-sponsored evaluator to develop a plan for participating in a rigorous evaluation that will test approaches to serving target populations and document the impacts of the demonstration projects.

Program Design General Requirements

Successful applicants will develop a comprehensive program design, grounded in evidence-based practices, that includes the following requirements:

- **Commitment to equity:** The federal government is focused on reducing barriers to services and improving access for underserved populations and individuals that are multiply marginalized. The ETM Demonstration program will support postsecondary success for Y&YAD, focusing on ensuring quality interventions that promote equity in underserved communities. Appendix A defines “equity” according to the [White House Executive Order on Advancing Racial Equity and Support for Underserved Communities Through the Federal Government](#).
- **Data collection and reporting:** The ETM Demonstration Grants must include integrated data collection and reporting strategies that enable schools, the workforce, and other states and local agencies to systemically communicate, coordinate, and track the planning and delivery of transition services. [Data collection, sharing, and analysis at key transition points for Y&YAD](#) may include work-related services received, connections to post-school services, and post-school employment outcomes. The program design should describe [data sharing across workforce system partners](#), such as vocational rehabilitation (VR) and labor agencies, to promote service integration, collaboration in service delivery, and access to evidence-based programs.
- **Systems coordination:** The program design must describe formal collaboration among Workforce Development System partners, employers, and other youth-serving systems, such as VR. Cross-system coordination includes identifying critical state and local systems that serve the target population and establishing formal agreements that increase access to coordinated service delivery. Formal agreements and consistent collaboration between the grantee's partners are required program components that must be reflected in the program design.
- **Sustainability:** Planning for [sustainability](#) needs to begin long before the program faces the end of its initial funding cycle. Programs should work to better ensure sustainability by creating more efficient mechanisms for funding, such as the repurposing of existing resources through improved alignment, and coordination of complementary activities and resources. The ETM Demonstration Grantees must include plans to continue formal collaborations and the delivery of coordinated programs and services.
- **Guideposts for Success:** ETM Demonstration Grant applications must include a program design that reflects ODEP's [Guideposts for Success Framework](#), which supports a seamless youth system that promotes collaboration and integration for improved outcomes. The Guideposts include School Preparedness, Career Exploration and Work Based Learning, Youth Leadership, Connecting Activities, and Family Engagement outlining supportive wraparound services and partnerships to support the success of vulnerable youth.

Required Program Services and Optional Program Elements

ETM Demonstration Grant proposals must provide innovative and evidence-based strategies to

increase labor force participation and economic success among underserved Y&YAD populations. To that end, applicants for the ETM Demonstration Grants must incorporate into their program design the required services listed below. These services are based on the findings of the SSI Youth Solutions project. ODEP initiated the SSI Youth Solutions effort to identify solutions that improve employment outcomes for young adults ages 14 to 24 who apply for or receive SSI. Applicants may also incorporate the referenced optional program elements.

Required Program Services:

The program design must include, at a minimum, the following required services:

1. **Family engagement and integrated case management for youth and their families** that includes benefits counseling, financial literacy, and service referrals that help youth and families navigate fragmented services and address a breadth of education, income, housing, and social service needs.
2. **Mental health services for youth**, that include screening for trauma, identifying unmet mental health needs, and providing services and supports to address these needs.
3. **School preparedness and vocational training** that includes rigorous, relevant, and inclusive academic curricular and program options aligned with local labor market needs and Universal Design for Learning (UDL) concepts; a safe supportive learning climate and environment; and access to effective educators.
4. **Career pathways models and work-based learning** that include access to experiences such as job shadowing, internships, pre-apprenticeships, apprenticeships, and summer work experiences. This should include career pathways designed for occupations in high demand and high growth industries identified through employer engagement.
5. **Youth leadership and development activities** that allow youth to develop and practice self-determination, self-advocacy, social interaction, and leadership techniques.
6. **Transition/community-based activities** that promote awareness of programs, and opportunities that provide supportive services. These services can include, for instance, general health care, mental health, benefits counseling, financial literacy, recreational activities, and life skills education to promote a future of independence.
7. **Culturally competent personnel and services** that ensure all program services included in the project are designed to be culturally responsive, compliant with Section 508 of the Rehabilitation Act of 1973, and accessible. The proposal should include how the required and optional services support the cultural values of youth and their families and how youth-serving staff will be trained to support those needs.

Optional Program Elements:

The program design may also include the following optional program elements, as appropriate to the proposed project:

1. **Financial subsidies** that provide financial support through ABLE/529 Accounts for education, employment, and disability-related expenses.
2. **Residential models** that provide intensive services and develop independent living and employment skills for Y&YAD. Examples of such models include the Postsecondary Education Rehabilitation Transition (PERT) and Job Corps programs.
3. **Training Curriculum** that integrates a broad spectrum of themes grounded in problem solving, critical thinking, teamwork, and experiential learning. A training curriculum that connects youth, families, and providers to improve their focus on disability and

employment issues or navigate connections to postsecondary education. Examples of such curricula include the Family Employment Awareness Training (FEAT), Progressive Education and general Employment Empowerment, and Career Technical Education for Students with Emotional Disturbance. More information about these options can be found on [Mathematica's SSI Youth Solutions Page](#).

4. **Intensive immersion model training** that provides training in specific job sectors. Examples of these models include the Year Up program and Youth Conservation Corps.

B. Program Authority

Title 29 U.S.C. § 557(b) and the Consolidated Appropriations Act, 2023 (Public Law 117-328) authorize this program.

II. AWARD INFORMATION

A. AWARD TYPE AND AMOUNT

Funding will be provided in the form of Cooperative Agreements (CAs).

We expect available funding of approximately \$12,985,000 in Fiscal Year (FY) 2024, to fund approximately 4 grant(s) at no more than \$3,246,250 each. Each applicant's funding request under this Announcement may not exceed \$3,246,250. Awards made under this Announcement are subject to the availability of federal funds. In the event that additional funds become available, we reserve the right to use such funds to select additional grantees from applications submitted in response to this Announcement.

The Department anticipates each selected awardee will receive a total award of approximately \$17,412,500 during the five-year period of performance, with FY 2024 funding limited to \$3,246,250, and annual increments of no more than \$4,500,000 in the following three years, and up to \$666,250 in the fifth year of funding. Incremental awards made under this Announcement are also subject to the discretion of DOL and contingent upon the availability of funds, satisfactory progress of a project, and adequate stewardship of federal funds.

Number of Awards	Fiscal Year	Annual Increment
Year One	2023	\$3,246,250
Year Two	2024	\$4,500,000
Year Three	2025	\$4,500,000
Year Four	2026	\$4,500,000
Year Five	2027	\$666,250
Total Funding per Award		\$17,412,500
Total Funding Available for Four Successful Applicants		\$69,650,000

In the first year of the cooperative agreement, the recipients will conduct planning and pilot activities. In the second through fifth years, the recipients will conduct activities to implement, replicate, and sustain the program. Applicants must apply for not more than the ceiling amount

of \$3,246,250, which will cover the first year of the project. The SF-424, SF-424A, and Budget Narrative of the application package must reflect the federal funding request for the first year of the cooperative agreement, which may not exceed the \$3,246,250. Applications with budgets exceeding the ceiling will be deemed nonresponsive and will not be considered.

DOL will provide funding for the demonstration projects in the form of cooperative agreements that require close cooperation and coordination between DOL and the selected awardees. DOL will have substantial involvement in the administration of the cooperative agreement. Grantees must obtain input and approval prior to conducting most activities. DOL's involvement in cooperative agreement administration during the ETM Demonstration Grants will consist of:

- Monthly conference calls with awardees throughout the period of performance;
- Prior approval of any ETM Demonstration Grant-related sub-grants arising after demonstration grants are awarded;
- Prior approval of all key personnel appointments and changes;
- Participation in site visits to project areas;
- Advice and consultation to project development and management;
- Technical and programmatic support to grantees, including training in DOL grant administration monitoring systems and standard procedures regarding DOL management of demonstration grants;
- Review, at reasonable times, of all cooperative agreement documents pertaining to the project, including required metrics, status and technical progress reports, and quarterly financial reports. DOL will provide the format for the technical progress reports;
- Oversight and approval of all work products, including but not limited to fact sheets, training materials, press releases, and publicity-related materials regarding the project;
- Oversight and approval of all content for print and online resources developed through project activities, to include clearing topics for material production and final document production (e.g., outreach flyers, training materials, information about the project on the applicant's website, etc.); and
- Assistance refining project evaluation design in collaboration with awardees, DOL Chief Evaluation Office (CEO), SSA, and the independent evaluator. (The evaluator will choose the evaluation designs based on the project's overall research questions and on what each awardee identifies as their program design, target population, available data, and expected sample size.)

B. PERIOD OF PERFORMANCE

The period of performance is 60 months with an anticipated start date of 11/17/2023. This performance period includes all necessary implementation and start-up activities.

The initial award of up to \$3,246,250 in FY 2024 will have a 12-month period of performance for planning and pilot activities. A second award with a four-year period of performance is anticipated to be awarded in FY 2025, for full scale project implementation. Anticipated incremental funding will be provided in FYs 2026, 2027, and 2028.

III. ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS

The following organizations are eligible to apply:

00 (State governments)

07 (Native American tribal governments (Federally recognized))

Additional detail regarding the eligible Lead Applicant categories identified above are as follows:

- State governments include state departments of labor, state workforce development agencies, or an equivalent state agency with responsibility for labor, employment, education, health and human services, vocational rehabilitation services, and/or workforce development; and
- Federally recognized Native American Tribal governments include entities described in section 166(c) of WIOA relating to Indian and Native American programs. These entities include Indian Tribes, Tribal organizations, Alaska Native entities, Indian-controlled organizations serving Indians, or Native Hawaiian organizations.

For the purpose of this FOA, ODEP defines “State” as any of the 50 states of the United States, the District of Columbia, or any Territory or possession of the United States. This entity must have the capacity to administer the grant, will have sole responsibility for administering the project, and will serve as the grant’s fiscal agent. Each lead applicant is limited to one individual application for consideration under this opportunity.

Responsibilities of the Lead Applicant

The Lead Applicant selected as the awardee must have overall programmatic, fiscal, and administrative responsibility for the cooperative agreement. Award recipients will serve as DOL’s counterpart in the cooperative agreement. The recipient must be the organization specified in Section 8 of the SF-424 Application Form. Additionally, the recipient must be:

1. The primary point of contact with DOL that receives and responds to all inquiries or communications under this FOA and with any sub-grantees;
2. The entity with authority to draw down funds;
3. The entity responsible for submitting to DOL all work products under the cooperative agreement, including all related technical and financial reports, regardless of which partnership member performed the work;
4. The entity that may request or agree to a revision or amendment of the cooperative agreement;
5. The entity with overall responsibility for carrying out programmatic functions, including collecting required project data, of the cooperative agreement, as well as the stewardship of all expenditures under the cooperative agreement;
6. The entity responsible for coordinating and fully cooperating with the independent evaluator and ETM TA Provider; and
7. The entity responsible for working with DOL to close out the cooperative agreement.

Required State and Local Partnerships

State Partners:

The lead applicant must partner with a number of state-level partners (referred to below as the “ETM Leadership Team”) to establish a consortium, which will provide project leadership to meet demonstration model program objectives and drive better integration of services at the local level (see Section IV.B.3). In addition to the lead applicant, there are seven required partners on the ETM Leadership Team. The lead applicant must represent one of the eight required partners of the ETM leadership team:

1. A State or Tribal Workforce Agency, or a Consortium of Local Workforce Agencies, or equivalent entity generally responsible for managing, regulating, or influencing the provision of workforce development services;
2. The State or Tribal Workforce Development Board, or a Consortium of Local Workforce Agencies;
3. Non-profit organizations with expertise in serving the youth target population(s);
4. Business membership or business intermediary organizations;
5. State or Tribal VR agencies;
6. State or Tribal HHS agency;
7. State or Tribal Department of Education; and
8. Non-profit or Community-based organizations with expertise in the transition activities for Y&YAD representing underserved communities.

DOL anticipates that the state Workforce Development Board will be a crucial partner in engaging employers and shaping policies regarding how services such as those provided through ETM demonstration projects are carried out during and after the cooperative agreement. Lead applicants applying for the ETM funding should have MOUs with each of their partners in their ETM leadership group within 60 days after the award of an ETM cooperative agreement.

Beyond these required partners, applicants can choose other types of entities to serve on the ETM Leadership Team that are relevant to their proposed target population and project scope. In general, we anticipate this team could include representatives of state-level agencies involved in [WIOA core programs](#); health, mental health, and substance abuse services; and/or state and privately funded universities, to the extent that such entities demonstrate experience providing pre-service training and professional credentialing.

Local Partners:

The lead applicant must also collaborate with at least one local area policy entity and programmatic service provider such as a Local Workforce Development Board (LWDB), a local Vocational Rehabilitation office, and/or a WIOA Title I service provider. These entities will primarily provide provision services to participants at the local level. For states with only one local area workforce programmatic provider, the commitment of its sole entity fulfills this requirement. Applicants must show the commitment of at least one or more local area workforce entities and/or programmatic providers through a signed memorandum of understanding (MOU), submitted in the application for funding. In addition, relevant partnerships must be established at the local level to support the implementation plan activities. Such additional local entities may include, but are not limited to:

- Youth agencies and service providers;
- Disability agencies and service providers;
- Local health and mental health agencies and providers;
- Parent advocacy organizations and service providers;
- K-12 local education agency;
- American Job Centers (sometimes known as One-Stop Career Centers);
- One or more community college(s), technical institution(s), four-year colleges/universities, or other education partners that can provide education and training activities; and
- One or more business or industry partners (such as business membership associations or Chambers of Commerce) that will participate in defining the program strategies and goals and be actively involved in participating in funded project activities.

B. COST SHARING OR MATCHING

This program does not require cost sharing or matching funds. Including such funds is not one of the application screening criteria and applications that include any form of cost sharing or match will not receive additional consideration during the review process. Instead, the agency considers any resources contributed to the project beyond the funds provided by the agency as leveraged resources. Section IV.B.2 provides more information on leveraged resources.

C. OTHER INFORMATION

1. Application Screening Criteria

You should use the checklist below as a guide when preparing your application package to ensure that the application has met all of the screening criteria. Note that this checklist is only an aid for applicants and should not be included in the application package. We urge you to use this checklist to ensure that your application contains all required items. If your application does not meet all of the screening criteria, it will not move forward through the merit review process.

Application Requirement	Instructions	Complete?
The deadline submission requirements are met	Section IV.C	
Eligibility	Section III.A	
The components of the application are saved in any of the specified formats and are not corrupt. (<i>We will attempt to open the document but will not take any additional measures in the event of problems with opening.</i>)	Section IV.C.2	
Application for federal funds request (SF-424, SF-424A, and Budget Narrative) does not exceed the ceiling amount of \$3,246,250	Section II.A	
An active registration with the System for Award Management SAM	Section IV.B.1	

SF-424, Application for Federal Assistance	Section IV.B.1	
SF-424 includes a Unique Entity Identifier Number	Section IV.B.1	
SF-424A, Budget Information Form	Section IV.B.2	
Budget Narrative	Section IV.B.2	
Project Narrative	Section IV.B.3	
Abstract	Section IV.B.4	

2. Number of Applications Applicants May Submit

We will consider only one application from each organization. If we receive multiple applications from the same organization, we will consider only the most recently received application that met the deadline. If the most recent application is disqualified for any reason, we will not replace it with an earlier application.

3. Eligible Participants

The ETM Demonstration Grants are intended to provide underserved youth with disabilities, ages 14 to 24 with comprehensive employment services designed to meet their holistic needs. The proposed target populations for this grant are Y&YAD who are:

- Youth participating in, eligible for, or potentially eligible for WIOA Title I Youth programs,
- Youth participating in, eligible for, or potentially eligible for DOL youth services and programs,
- Youth participating in, eligible for, or potentially eligible for VR services, or
- Youth participating in, eligible for, or potentially eligible for federal disability benefits.

4. Allowable Use of Funds

This funding will provide demonstration grants to recipients working collaboratively with associated partners to identify youth target populations, develop partnerships, hire and train staff, and implement a program service delivery model using required program services and optional program elements that will successfully transition Y&YAD to employment and post-secondary and workforce training settings. The recipients will work collaboratively with DOL and participate in evaluation and technical assistance activities, as specified in this funding opportunity announcement.

Allowable Use of Funding During Year One (Planning & Pilot) and Years Two to Five (Implementation, Replication, & Sustainability)

Funding may be used to supplement services that are not currently available inside the workforce system and are evidence-based and promising Y&YAD transition practices in such areas as the coordination of state and local youth-serving entities; communication and outreach; and training to employers, policymakers, parents, youth-serving administrators, and direct care professionals on culturally responsive disability employment transition best practices.

Year one allowable costs under the ETM Demonstration Grants include reasonable and necessary expenses to successfully plan and pilot the ETM Demonstration effort. See Section IV.B.3.a for a list of required activities during year one, including:

- Establish framework for effective grant program implementation;
- Develop project management and work plan for year one;
- Engage grant stakeholders in collaboration including the development of partnership agreements;
- Plan for evaluation including the development of data-sharing agreements;
- Initiate employer engagement strategy;
- Hire personnel and determine training needs;
- Design and implement small-scale pilot; and
- Prepare for Continuous Quality Improvement (CQI) data collection and performance management.

During years two to five, as part of the cooperative agreement, allowable costs include reasonable and necessary expenses the lead applicants will use for the continued implementation, replication, and sustainability of the ETM Demonstration Grant. The lead applicant will carry out required program services and planning project logistics and may carry out optional program elements, as stated in section I.A; including:

- Develop and implement work plans for years two to five;
- Develop new and existing partnerships with employers, community-based providers, and other relevant stakeholders;
- Establish personnel and professional development training;
- Expand pilot enrolling a sufficient number of youth participants for a valid evaluation of impacts;
- Implement strategies to recruit and outreach to youth target populations;
- Implement strategies to identify and deliver additional services that participants need;
- Engage employers in high demand industries to develop work-based learning opportunities;
- Implement strategies for data collection, management, and CQI plans;
- Develop a plan for providing financial and non-financial incentives for youth participants, direct care professionals, and employers that further grant related activities; and
- Plan for sustainability so that ETM activities continue after the grant cycle ends.

5. Program Technical Assistance

DOL will contract with a technical assistance provider (the “ETM Project TA Provider” or “Project TA Provider”) to support planning and pilot activities in year one and implementation activities in years two through five of the ETM Demonstration Grants cooperative agreement. While supporting awardees in such activities, the Project TA Provider will coordinate with the independent evaluator. Awardees must use the Project TA Provider to support their project’s particular needs, such as barriers they may encounter in establishing

necessary partnerships, effective coordination among partners, and successful recruitment of Y&YAD participants. Some technical assistance will be state-specific, and other technical assistance will be offered to all awardees in a group setting, such as in a webinar.

In year one, the ETM Project TA Provider will provide general assistance to awardees as they develop plans for year two Implementation, Replication, and Sustainability of services in future years of the grants. Assistance may include but is not limited to providing access to subject matter experts (SMEs) with knowledge or experience in the required activities, including research on the current evidence base on transition; creating inclusive workplace environments; creating disability employment related interventions; creating federal disability programs; providing guidance on partnership development; effective public-private collaboration, and coordination; and creating effective MOUs. In addition, the ETM Project TA Provider will support the grantee in documenting implementation activities. This includes developing guides and fidelity measures for the program services of the project and supporting any other data collection needs related to the independent evaluation.

6. Evaluation Information

The grantee will work with an evaluation contractor (referred to here as the “independent evaluator” or “evaluator”) to conduct an independent evaluation of the ETM Demonstration projects. All ETM awardees are required to participate in this evaluation. The goals of the evaluation are to develop rigorous evidence on the approaches that work for serving target populations and the impacts of the demonstration projects. ODEP will provide awardees the contract solicitation for the evaluation. Awardees must read the contract solicitation for the evaluation to learn more about the expected scope and design of the evaluation.

a. Scope of the Independent Evaluation and Role of the Evaluation Contractor

The evaluation will include process, participation, impact, fidelity, and cost-benefit analyses. Conducting an impact analysis may involve random assignment of eligible participants into a treatment group (which would receive program services or enhanced program services) and a control group(s) (which would receive no program services or un-enhanced program services). This type of experimental design provides the most rigorous and widely accepted evidence of interventions’ effectiveness. Please find more information on [experimental design](#) and [random selection and assignment](#) here.

The awardees must provide program data in a timely manner (according to the schedule the evaluator determines). The independent evaluator will use program data, administrative data from SSA, and one or more potential participant survey(s) to conduct the evaluation. Based on the evaluation design, awardees may be required to collect individual-level baseline data from the comparison group to facilitate the independent evaluation. The evaluator may suggest different evaluation models with guidance from SSA and DOL and based on the capacity of the grantee.

b. Data Collection Activities

Awardees will collect and store individual-level data on recruitment, enrollment, participant characteristics, employment and benefits, program participation, service provision, and participant outcomes to report to DOL as part of their performance metrics. We anticipate that each participant's name, gender, date of birth, Social Security Number, address, and phone number will be collected as part of the intervention enrollment process. Please note that the collection, storage and sharing of personally identifiable information (PII) will need to adhere to conditions stipulated by the Privacy Act. DOL will determine other specific required programmatic data elements in collaboration with the awardees, the ETM evaluator, and the TA provider. We anticipate that we will also use these data for the independent evaluation.

The receipt of standardized data from all awardees is important to ensure a high quality, rigorous evaluation. The independent evaluator will provide guidance and TA to assist awardees in developing their data collection processes and ensuring data quality. This may include guidance on data elements, and data collection plans, and systems alignment, among other topics. To facilitate the independent evaluation of the ETM Demonstration Grants, awardees must enter into separate data-sharing agreements with DOL and its evaluator. Awardees will be required to submit timely extracts (copies) of:

- The programmatic data that awardees collect to satisfy their award requirements. See Section VI.C.2 and Appendix B for information on required programmatic data elements; and
- Employment and service-provision data (as determined by the evaluator) from existing state programs – such as vocational rehabilitation, WIOA Title I, II, and III programs and services, and federal benefits programs – on all youth participants in both the intervention and the control groups.

The evaluator will provide assistance to develop these data-sharing agreements during year one. Awardees must demonstrate that they have or will have the legal authority to share these data with the funding agency. They must describe any limitations on using, protecting, disclosing, or sharing the data.

To facilitate an accurate and comprehensive cost-benefit analysis, DOL requires awardees to provide access to records of all parts of project activities, including data related to program costs, and to provide access to project team personnel, as specified by the evaluator.

c. Awardee Requirements with Respect to the Independent Evaluation

The awardee must fully participate in all evaluation activities (such as evaluation-related TA, site visits, and conference calls) and must designate an evaluation liaison to collaborate with the evaluator. DOL anticipates this liaison will be heavily involved in programmatic data collection activities and recommends a minimum of one (1) full time equivalent be allocated to performing programmatic data collection and evaluation liaison activities. DOL also expects awardees to analyze process data as part of Continuous Quality Improvement (CQI). This will improve ETM Demonstration Grant implementation. However, ETM Demonstration Grant awardees may not use grant funding to conduct a separate impact evaluation of their project and must coordinate their CQI analyses with the independent evaluator. See Section IV.B.3 and Appendix B for

expectations and more information on CQI. Awardees also may not undertake an independent impact evaluation of their ETM Demonstration Grant using external funds without concurrence from the ETM evaluator to ensure any such activities do not interfere with the overall project evaluation. In addition, if the awardee plans to conduct any surveys (of participants or others, such as employers), they must coordinate those surveys with the evaluator.

With DOL approval, the independent evaluator, in collaboration with the awardees, will develop each awardee's evaluation design and assist in developing procedures during year one. The independent evaluator will also execute the approved evaluation design during implementation in years two to five and three years after the end of the grant cycle.

During year one of the grant, each awardee will work with the evaluator to refine the proposed implementation plan. The independent evaluator will provide awardees with evaluation-related TA on recruitment (including guidance on required sample sizes), enrollment and intake procedures, data collection (including systems development and alignment), and other technical aspects of participation in the evaluation, such as consistency of data collection, rationale and methods for random assignment (if applicable), and methods to avoid sample contamination.

The evaluator (and possibly each awardee) will be required to obtain approval from an Institutional Review Board (IRB) prior to full implementation. If the awardee seeks its own IRB, the IRB approval process must be coordinated between each awardee and the evaluator during year one of the demonstration – that is, both institutions must be aware of the activities and timeline for approval of the other institution's IRB. The evaluator's IRB must assess the evaluation design, intake procedure, survey plans, and all other evaluation-related activities across all projects in this demonstration. This institution will serve as an umbrella IRB. Also, if awardees seek IRB approval, this approval will primarily focus on state-level ethics, accessibility, and consent from participants, and the awardee's IRB must coordinate with the evaluator's IRB.

IV. APPLICATION AND SUBMISSION INFORMATION

A. HOW TO OBTAIN AN APPLICATION PACKAGE

This FOA, found at www.Grants.gov contains all of the information and links to forms needed to apply for grant funding.

B. CONTENT AND FORM OF APPLICATION SUBMISSION

Applications submitted in response to this FOA must consist of four separate and distinct parts:

1. SF-424, "Application for Federal Assistance";
2. Project Budget, composed of the SF-424A and Budget Narrative;
3. Project Narrative; and
4. Attachments to the Project Narrative.

You must ensure that the funding amount requested is consistent across all parts and sub-parts of the application.

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

You must complete the SF-424, “Application for Federal Assistance” (available at <https://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1>).

- In the address field, fill out the nine-digit (plus hyphen) zip code. Nine-digit zip codes can be looked up on the USPS website at <https://tools.usps.com/go/ZipLookupAction!input.action>.
- The organization’s legal name on the SF-424 must match the name registered in the System for Award Management at <https://www.sam.gov>.
- The SF-424 must clearly identify the applicant and must be signed by an individual with authority to enter into a grant agreement. Upon confirmation of an award, the individual signing the SF-424 on behalf of the applicant is considered the Authorized Representative of the applicant. As stated in block 21 of the SF-424 form, the signature of the Authorized Representative on the SF-424 certifies that the organization is in compliance with the Assurances and Certifications form SF-424B (available at <https://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1>). You do not need to submit the SF-424B with the application.

a. Requirement for Unique Entity Identifier (UEI) Number

All applicants for federal grant and funding opportunities must have a UEI and must supply their UEI on the SF-424. The UEI is a 12-character alphanumeric code that uniquely identifies all entities. Any entity registering to do business with the government is required to have one. UEIs are issued by SAM.gov and are a part of an entity’s record in the Entity Information section of SAM.gov. If your organization does not have a UEI, one can be obtained for free at <https://sam.gov>.

Grant recipients authorized to make subawards must meet these requirements related to UEIs:

- Grant recipients must notify potential subawardees that no entity may receive a subaward unless the entity has provided its UEI.
- Grant recipients may not make a subaward to an entity unless the entity has provided its UEI.

(See [Appendix A to 2 CFR Part 25](#).)

b. Requirement for Registration with SAM

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

A recipient must maintain an active SAM registration with current information at all times during which it has an active federal award or an application under consideration. To remain registered in the SAM database after the initial registration, the applicant is required to review and update the registration at least every 12 months from the date of initial registration or subsequently update its information in the SAM database to ensure it is current, accurate, and complete. If you do not renew your SAM registration, it will expire. An expired registration can

delay or prevent application submission in Grants.gov. Registration and renewal can take up to ten business days to 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 approve a federal award, the Grant Officer may determine that the applicant is not qualified to receive the federal award and use that determination as a basis for approving a federal award to another applicant.

2. Project Budget

You must complete the SF-424A Budget Information Form (available at <https://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1>). In preparing the Budget Information Form, you must provide a concise narrative explanation to support the budget request, explained in detail below.

a. Budget Narrative

The Budget Narrative must provide a description of costs associated with each line item on the SF-424A. The Budget Narrative should also include a section describing any leveraged resources provided (as applicable) to support grant activities. Leveraged resources are all resources, both cash and in-kind, in excess of this award. Valuation of leveraged resources follows the same requirements as match. Applicants are encouraged to leverage resources to increase stakeholder investment in the project and broaden the impact of the project itself.

Personnel: List all staff positions by title (both current and proposed) including the roles and responsibilities. For each position give the annual salary, the percentage of time devoted to the project, and the amount of each position's salary funded by the grant.

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

Travel: For grantee staff only, specify the purpose, number of staff traveling, mileage, per diem, estimated number of in state and out-of-state trips, and other costs for each type of travel.

Equipment: Identify each item of equipment you expect to purchase that has an estimated acquisition cost of \$5,000 or more per unit (or if your capitalization level is less than \$5,000, use your capitalization level) and a useful lifetime of more than one year (see 2 CFR 200.1 for the definition of Equipment). List the item, quantity, and the unit cost per item. Items with a unit cost of less than \$5,000 are supplies, not "equipment." In general, we do not permit the purchase of equipment during the last funded year of the grant.

Supplies: Identify the cost categories of supplies (e.g., general office supplies, desk/chairs, laptops/printers, other specialty items) in the detailed budget, per category. Except for general office supplies (pens paper, etc.), list the item, quantity, and the unit cost per item. Supplies include all tangible personal property other than "equipment" (see 2 CFR 200.1 for the definition of Supplies).

Contractual: Under the Contractual line item, delineate contracts and subawards separately. Contracts are defined according to 2 CFR 200.1 as a legal instrument by which a non-federal entity purchases property or services needed to carry out the project or program under a federal award. A subaward, defined by 2 CFR 200.1, means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a federal award received by the pass-

through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a federal program. For each proposed contract and subaward, specify the purpose and activities to be provided, and the estimated cost.

Construction: Construction costs are not allowed, and this line must be left as zero. Minor alterations to adjust an existing space for grant activities (such as a classroom alteration) may be allowable. We do not consider this as construction, and you must show the costs on other appropriate lines such as Contractual.

Other: Provide clear and specific detail, including costs, for each item so that we are able to determine whether the costs are necessary, reasonable, and allocable. List items, such as stipends or incentives, not covered elsewhere.

Indirect Costs: If you include an amount for indirect costs (through a Negotiated Indirect Cost Rate Agreement or De Minimis) on the SF-424A budget form, then include one of the following:

a) If you have a Negotiated Indirect Cost Rate Agreement (NICRA), provide an explanation of how the indirect costs are calculated. This explanation should include which portion of each line item, along with the associated costs, are included in your cost allocation base. Also, provide a current version of the NICRA.

or

b) If you intend to claim indirect costs using the 10 percent de minimis rate, please confirm that your organization meets the requirements as described in 2 CFR 200.414(f). Clearly state that your organization does not have a current negotiated (including provisional) rate and is not an organization described in 2 CFR 200, Appendix VII(D)(1)(b).

Applicants choosing to claim indirect costs using the de minimis rate must use Modified Total Direct Costs (see 2 CFR 200.1 below for definition) as their cost allocation base. Provide an explanation of which portion of each line item, along with the associated costs, are included in your cost allocation base. Note that there are various items not included in the calculation of Modified Total Direct Costs (MTDC). See the definitions below to assist you in your calculation.

- **2 CFR 200.1 Modified Total Direct Cost (MTDC):** MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and subawards and subcontracts up to the first \$25,000 of each subaward or subcontract (regardless of the period of performance of the subawards and subcontracts under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward and subcontract in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.
- **2 CFR 200.1 Participant Support Cost** means direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with conferences or training projects.

See Section IV.B.4. and Section IV.E.1 for more information. Additionally, the following link contains information regarding the negotiation of Indirect Cost Rates at DOL:

<https://www.dol.gov/agencies/oasam/centers-offices/office-of-the-senior-procurement-executive/cost-price-determination-division>. The SF-424, SF-424A, and Budget Narrative must reflect the federal funding request for the first year of the cooperative agreement, which may not exceed \$3,246,250.

Do not show leveraged resources on the SF-424 and SF-424A. You should describe leveraged resources in the Budget Narrative.

Applicants should list the same requested federal grant amount on the SF-424, SF-424A, and Budget Narrative. If minor inconsistencies are found between the budget amounts specified on the SF-424, SF-424A, and the Budget Narrative, ODEP will consider the SF-424 the official funding amount requested. However, if the amount specified on the SF-424 would render the application nonresponsive, the Grant Officer will use his or her discretion to determine whether the intended funding request (and match if applicable) is within the responsive range.

3. Project Narrative

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

The Project Narrative is limited to 30 double-spaced single-sided 8.5 x 11-inch pages with Times New Roman 12-point text font and 1-inch margins. You must number the Project Narrative beginning with page number 1.

We will not read or consider any materials beyond the specified page limit in the application review process.

The following instructions provide all of the information needed to complete the Project Narrative. Carefully read and consider each section and include all required information in your Project Narrative. The agency will evaluate the Project Narrative using the evaluation criteria identified in Section V.A. You must use the same section headers identified below for each section of the Project Narrative.

a. Statement of Need (up to 5 points)

Applicants must demonstrate their understanding of the need for the program described within this Announcement. Scoring is based on the extent to which the applicant addresses the following:

1. Provide data and information to support the need for the proposed efforts, including characteristics and estimated size of the total population. Applicants should explain how focusing on the target population aligns with the goals of the ETM Demonstration Grants. Include available data on current employment and related outcomes of the target population (such as WIOA Title I Youth performance data, Pre-Employment Transition Services usage rates, or re-determination transition rate, if available). See Section I.A (Program Purpose).

Applicants must identify the proposed geographic service area, which may be statewide or a collection of counties in which awarded applicants will serve program participants.

b. Expected Outcomes and Outputs (up to 10 points)

1. The applicant should clearly identify the outcome(s) and output(s) that will result from the project. Outcomes are the measurable results of the project. They are the positive benefits, negative changes, or measurable characteristics that occur as a result of project activities or outputs. Outputs are tangible products or services that result from the project.
2. Provide a detailed plan containing a project timeline and explain how the project will propose milestones, interim outputs, and outcome goals and develop metrics for measuring process and program outcomes (see Appendix B – Performance Metrics).
3. In addition, applicants should describe the measures, methods, techniques, and tools that will be used to evaluate the project and determine whether the project achieved its anticipated outcomes. Applicants should provide a description of how the data will be used to inform program delivery and document the “lessons learned,” both positive and negative, from the project.

c. Project Design (up to 40 points)

The successful applicant will describe their comprehensive plan to provide the services and accomplish the goals discussed in Section I.A. (Program Purpose) of the FOA.

The project design narrative must describe how the applicant will meet the project goals, as described below.

1. Design overview (up to 10 points): In this section, applicants must identify the target population(s) and the project focuses. Applicants should:

- a. Describe how proposed project activities are tailored to the targeted population, including demographic and socioeconomic status. In articulating the problem or issue, applicants should demonstrate the extent of the problem in both qualitative and quantitative terms.
- b. Specify the total number of youth that the applicant will serve from the target population(s), the total number of youth in the control group (treatment and comparison groups), the participating youth service providers, the services the applicant will deliver, the proposed partners and the geographic area of the proposed model.

2. Comprehensive description of the model and supporting evidence-base (up to 10 points): The application must describe the design of the proposed service model, including the type, duration, and scope of the services the applicant will provide. Further, applications must describe the outreach, recruitment, and enrollment strategies that they will employ to identify and target the proposed target population. The applications must describe the outreach, recruitment, and engagement strategies for providers, employers, and other external stakeholders. This section must include the following subsections:

- a. **Description of Model:** The description must explain how a given intervention or set of interventions is expected to improve employment for target population(s) of underserved youth. The description must include information used to formulate the

model, such as findings from evaluations or research studies. The description should include a citation of evidence for the effectiveness of each strategy with the target population(s) and how the strategies will address the problem(s) or issue(s) noted. The applicant should also identify the activities that will be conducted in the planning, pilot, and implementation of the model.

b. Supporting Evidence Base: This subsection must describe the applicant's plan for implementing Required and Optional strategies as described in Section I.A (Project Purpose). Applicants should clearly articulate how they plan to implement the required program services and optional program elements, if applicable. This includes how the proposed interventions differ from those services that the participants would otherwise receive, rather than simply describing their approaches. Applicants should describe how the target population(s) that this project serves will be able to access applicable federal, state, and local programs, and services within the state.

3. Detailed Work Plans: (up to 20 points) Applicants must develop a detailed work plan that addresses activities planned for year one, and a summary work plan that outlines the applicant's proposal for years two to five of the cooperative agreement.

a. Year One Work Plan (Planning and Pilot) (up to 15 points): The year one work plan must include a description of the planning, start-up, and pilot activities that the applicant will conduct. Based on what is proposed for full implementation in years two-to-five (see below), applicants must also describe their plans to implement a smaller pilot during year one in this subsection. The year one work plan must include, but is not limited to:

1. Project management: Describe how the project will communicate between DOL, TA, and evaluation contractors; how it will coordinate with DOL grant management; and how it will successfully manage achievement of the proposed project milestones, interim outputs, and outcome goals.

2. Developing partnerships: Describe plans to establish, manage, engage, and strategize with necessary and optional stakeholders through partnership agreements that will ensure service coordination and readiness for pilot and program implementation.

3. Employer engagement strategy: Establish a plan for communication, outreach, recruitment, and enrollment of employers. Utilize DOL's [Good Jobs Initiative](#) to incorporate employer needs within program design and program delivery to help employers modify hiring practices to include effective practices in youth transition, Universal Design for Learning, and inclusive workplace practices.

4. Personnel and training: Describe how the applicant will recruit and hire youth direct care professionals, program administrators, and other necessary personnel. Describe how the applicant will train personnel to implement evidence-based youth transition strategies, culturally responsive practices, and strategies that they will use in the proposed model.

5. Pilot design: Describe how the applicant will develop the pilot. Describe how the applicant will develop a strategy to identify youths' additional service needs through a comprehensive intake process.

6. Pilot implementation: Describe how the applicant will run a small-scale pilot. Include a timeline of kick-off and milestone activities.

7. Incentives and justification: Include a justification of any proposed financial or non-financial incentives (for youth direct care professionals, youth participants, employers). Include a justification for why the incentives are necessary to further grant-related activities. Identify the incentive value(s) and how they will be distributed and tracked.

8. Preparing for performance management, CQI, and the evaluation:

a. Provide a proposed data collection plan based on the preliminary list of required programmatic data elements identified in Section VI.C.2. Identify the data collection process and data sources that you will use, how you will provide the required programmatic data elements, and how you will use the data for operational purposes; and

b. Include a description of how you will use, align, and share any existing workforce system, community-based organization, and employer data systems for purposes of quarterly performance reporting to DOL and self-monitoring for CQI.

b. Year Two to Five Summary Work Plan (Implementation, Replication, and Sustainability) (up to 5 points): Describe your preliminary years two to five implementation plan. Include it in the cooperative agreement application. You must describe activities that various program staff and partners will carry out to implement the demonstration project, along with a timeline and proposed milestones, outputs, and outcomes (including policy outcomes), for at minimum, each of the project components listed below.

The preliminary implementation plan for the year two to five Implementation, Replication, and Sustainability of the demonstration project must include the following at minimum:

1. Provide a plan summarizing how the project will achieve proposed milestones interim outputs, and outcome goals. The plan must describe the following:

- a. Development of partnerships;
- b. Expansion of the pilot;
- c. Grant program service and planning logistics;
- d. Personnel and Training;
- e. Performance management, CQI, and the evaluation support;
- f. Employer Engagement; and

- g. Sustainability Planning:** create a plan that addresses the adaptability of the program across the state and/or target populations; and
- h. Viable strategy** for identifying, recruiting, and enrolling a sufficient number of youth participants to allow for a valid evaluation of impacts.

The plan must clearly address the problem(s) or issue(s) noted throughout section IV.B.4.c.i-ii and should align to the description in the year one work plan of how activities will drive better integration of resources at the local level. It must also show how the requested funds and other resources will support the proposed activities and how the proposed activities will lead to the proposed interim outputs and ultimate outcomes.

d. Organizational, Administrative, and Fiscal Capacity (up to 10 points)

Provide the following information:

1. Applicants must describe their capacity to effectively manage and carry out the programmatic, fiscal, administrative, and evaluation-related activities described in this FOA. The application must describe the expertise of the consortium members and the lead organization to support youth transition and other relevant experience and their track record in serving the target population(s). The application must demonstrate the applicants' track record in collaborating with and providing technical assistance to entities to help improve transition and employment-related outcomes for youth and young adults with disabilities. The applicant must include signed and dated Letters of Commitment or Memoranda of Understanding between the applicant and at least one or more local area workforce entities and/or programmatic providers in the attachments. The applicant must also demonstrate an understanding of the needs of the business community as they relate to disability employment.
2. This section should include information about and describe the readiness of the applicant and all partners to participate in the ETM Demonstration Grants and any resources that will be needed for full readiness including necessary steps to include underserved populations in the workforce, accessible workplaces and opportunities for advancement. This should include a description of the proposed staffing and key personnel for the project. For key personnel named in the application and dedicating greater than 20 percent effort on the project, applicants must provide documentation of all internal and external time commitments. Applicants must include organizational charts and resumes of key personnel in the attachments. Applicants should identify all resources, personnel, and established and planned partnerships. Utilize DOL's [Good Jobs Initiative](#) to provide employees with critical information to improve work quality and access to good paying jobs. The applicant will explain how they are implementing Good Jobs Principles to ensure to the greatest extent possible that the workplace is free from discrimination and harassment for all working people.

e. Operational Plan (up to 10 points)

Applicants must explain their project management approach in detail and demonstrate their experience implementing a project of the proposed scope. This section must contain the following subsections:

1. **Risk Management and Opportunities:** This subsection must identify potential risks to planning and implementing the proposed project, such as difficulty recruiting participants. Each identified risk must be accompanied by a proposed plan for addressing or overcoming the risk. The applicant must also identify any opportunities to accelerate the project's planning or implementation and describe plans for taking advantage of such opportunities. Opportunities to accelerate the project could include leveraging existing partnerships.
2. **Continuous Quality Improvement:** This subsection must describe the applicant's approach to CQI and how the applicant will coordinate it with the evaluator. It must identify a specific CQI model and detail how the applicant will use the model. The CQI plan should support the Project Design section of the Project Narrative and should clearly align with the required Project Logic Model attachment. See Appendix B for more information on CQI.
3. **Participation in the Evaluation:** In this subsection, the applicants must indicate their commitment and plans to work with the independent evaluator to refine their data collection and implementation plans and to support the independent evaluation. Applicants must identify any data-sharing agreements that they expect to need in order to share data and they must identify any limitations on how the data may be used, protected, disclosed, or shared.

f. Logic Model (up to 10 points)

Applicants must visually describe the proposed ETM Demonstration Grant efforts, providing an illustration (as a separate attachment to the application, not counting towards the application page limit) of how the desired change is expected to occur in their workforce context. A logic model illustrates the association between your program's resources, activities, and intended outcomes and provides a framework for program planning and evaluation. Applicants must illustrate the logic model using the approach required components, and outcomes described below.

1. **Approach:** Applicants must provide a logic model that depicts, at a minimum, the goals, activities, outputs, and outcomes of the proposed project. The logic model must specify the contributions of each partner to the activities, outputs, and outcomes of the proposed project.
2. **Components:** The logic model should be a concise and clear, two- to four- page illustration that clarifies the approach of the proposed ETM demonstration effort. Goals should be included for Y&YAD and state capacity building. Activities must summarize grant efforts for year one (planning & pilot) and years two to five (implementation, replication, and sustainability).
3. **Outputs:** Applicants must show what is expected as an immediate result of the activities. Outcomes are described below. Specific contributions of each partner to the activities, outputs, and outcomes of the proposed project must also be clear.
4. **Required Outcomes:** The logic model must describe how the proposed project will lead to improved outcomes, including but not limited to:

- a. Number of underserved Y&YAD entering quarter two or quarter four secondary and postsecondary education & obtaining competitive integrated employment (CIE) after program exit;
- b. Number of underserved Y&YAD maintaining CIE for one year after program exit; and
- c. Number of underserved Y&YAD attaining a postsecondary credential during program or within one year after exit.

g. Past Performance - Programmatic Capability (up to 5 points)

Applicants will receive points based on past performance data. Applicants must provide the information below in a separate attachment that does not count against the Project Narrative page limit.

Scoring is based on the extent to which the applicant demonstrates past performance managing federal and/or non-federal grants and contracts by providing a list of each project conducted within the last five years, including the funding source name and contact information; the type of funding vehicle; the type of work performed, including the scope and scale of the projects; the period of performance; and a summary of project outcomes and outputs. The summary of project outcomes and outputs should include enrollment and participation data demonstrating the applicants' ability to provide services within budget constraints. The applicant must clearly demonstrate the organization's qualifications and capacity to meet the planning, pilot and model implementation requirements outlined in the FOA. This list will not count towards the page limit for the project narrative.

h. Budget and Budget Narrative (up to 10 points)

We will use the Budget and Budget Narrative to evaluate this section. Please see Section IV.B.2 for submission requirements. The Budget will reflect competitive pay and benefits for staff. The Budget and Budget Narrative do not count against the page limit requirements for the Project Narrative.

The budget documents are scored as follows:

- 1. The extent to which the proposed expenditures address all stated project requirements.
- 2. The extent to which key personnel have adequate time devoted to the project to achieve project results as demonstrated by proposed personnel expenditures.
- 3. The extent to which all items in the Budget Narrative reflect the level of detail requested in Section IV.B.2.

4. Attachments to the Project Narrative

In addition to the Project Narrative, you must submit attachments. All attachments must be clearly labeled. Applicants must take note regarding the identified implications for not including an attachment. We will exclude attachments listed below from the Project Narrative page limit. The Budget and Budget Narrative do not count against the page limit requirements for the Project Narrative.

You must submit your application in one package because documents received separately will be tracked separately and will not be attached to the application for review.

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

a. Required Attachments

Abstract

Applicants must submit a one to two-page abstract summarizing the proposed project including, but not limited to, the scope of the project and proposed outcomes. Omission of the Abstract will result in your application being disqualified. See III.C.1 for a list of required items that will result in the disqualification of your application if not submitted. If your organization is selected for an award, the information included in the Abstract may be published on USASpending.gov, a public-facing website that acts as the official open data source for Federal spending information. The abstract attachment must be labeled “Abstract,” and it must include the following:

- the applicant’s name
- the project title
- the purpose of the project
- activities to be funded by the grant
- expected outcomes of the project
- a description of the area to be served
- intended beneficiaries of the project
- the number of participants to be served
- the funding level requested

b. Requested Attachments

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

Indirect Cost Agreement

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

When submitting in grants.gov, this document must be uploaded as an attachment to the application package and labeled “NICRA.”

Financial System Risk Assessment Information

We ask all applicants to submit Funding Opportunity Announcement Financial System Risk Assessment Information. See Section V.B.2 for a sample template and additional instructions. This attachment does not impact the scoring of the application.

Letters of Commitment of MOUs

Submit signed and dated Letters of Commitment or Memoranda of Understanding between the applicant and at least one or more local area workforce entities and/or programmatic providers that propose to provide services to support the program model and lead to the identified outcomes. See Section IV.B.3.c. These letters must be uploaded as an attachment to the Grants.gov application package and labeled “Letters of Commitment.”

Organizational Chart

Provide Organizational Chart as described in section IV.B.3.d. This must be submitted as an attachment to the Grants.gov application package and labeled, “Org Chart.”

Key Personnel and SMEs Summary of Qualifications and Position Descriptions

Provide qualifications for key personnel as described in Section IV.B.3.d. Include a description of how hiring and employment practices ensure that underserved populations are included in the workforce, and ensure accessible workplaces and opportunities for advancement. Further, describe how staff and SMEs will be able to address the needs of the targeted underserved populations and their needs within the grantee’s workforce systems. This information must be submitted as one attachment to the Grants.gov application package and labeled “Key Personnel.”

Logic Model

Provide Milestones as described in Section IV.B.3.f. This must be submitted as an attachment to the Grants.gov application package and labeled, “Logic Model.”

Past Performance Documentation

This attachment must include a listing of each past project conducted within the last five years, and include the corresponding information requested in Section IV.B.3.g. These documents must be uploaded as an attachment to the Grants.gov application package and labeled “Past Performance.”

C. SUBMISSION DATE, TIME, AND PROCESS

Due Date for Applications:

October 31, 2023

You must submit your application electronically on <https://www.grants.gov> **no later than 11:59 p.m. Eastern Time on the closing date.**

We encourage applicants to submit their application before the closing date to minimize the risk of late receipt. We will not review applications received after 11:59 p.m. Eastern Time on the closing date. We will not accept applications sent by hard-copy, e-mail, telegram, or facsimile (FAX).

1. Hardcopy Submission

No applications submitted in hardcopy by mail or hand delivery (including overnight delivery) will be accepted for this funding opportunity.

2. Electronic Submission through Grants.gov

Applicants submitting applications through Grants.gov must submit **no later than 11:59 p.m. Eastern Time on the closing date.** Grants.gov will subsequently validate the application.

The process can be complicated and time-consuming. We strongly advise you to initiate the process as soon as possible and to plan for time to resolve technical problems. Note that validation does not mean that your application has been accepted as complete or has been accepted for review by the agency. Rather, grants.gov verifies only the submission of certain parts of an application.

a. How to Register to Apply through Grants.gov

Read through the registration process carefully before registering. These steps may take as long as four weeks to complete, and this time should be factored into plans for timely electronic submission in order to avoid unexpected delays that could result in the rejection of an application.

Applicants must follow the online instructions for registration at <https://www.grants.gov/web/grants/applicants/organization-registration.html>. We recommend that you prepare the information requested before beginning the registration process. Reviewing and assembling required information before beginning the registration process will alleviate last-minute searches for required information and save time.

An application submitted through Grants.gov constitutes a submission as an electronically signed application. The registration and account creation with Grants.gov, with E-Biz Point of Contact (POC) approval, establishes an Agency Organizational Representative (AOR). When an application is submitted through Grants.gov, the name of the AOR who submitted the application is inserted into the signature line of the application, serving as the electronic signature. The E-Biz POC must authorize the individual who is able to make legally binding commitments on behalf of your organization as the AOR; this step is often missed, and it is crucial for valid submissions.

b. How to Submit an Application to DOL via Grants.gov

Grants.gov applicants can apply online using Workspace. Workspace is a shared online environment where members of a grant team may simultaneously access and edit different webforms within an application. For a complete workspace overview, refer to <https://www.grants.gov/web/grants/applicants/workspace-overview.html>.

For access to complete instructions on how to apply for opportunities, refer to <https://www.grants.gov/web/grants/applicants/apply-for-grants.html>.

When a registered applicant submits an application with Grants.gov, an electronic time stamp is generated within the system when the application is successfully received by Grants.gov. Grants.gov will send the applicant AOR an email acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) with the successful transmission of the application, serving as proof of timely submission. The applicant will receive two email messages to provide the status of the application's progress through the system.

- The first email will contain a tracking number and will confirm receipt of the application by Grants.gov.
- The second email will indicate the application has either been successfully validated or has been rejected due to errors.

Grants.gov will **reject applications if the applicant's registration in SAM is expired. Only applications that have been successfully submitted by the deadline and later successfully validated will be considered.** It is your responsibility to ensure a timely submission. While it is not required that an application be successfully validated before the deadline for submission, it is prudent to reserve time before the deadline in case it is necessary to resubmit an application that has not been successfully validated. Therefore, enough time should be allotted for submission (24-48 hours) and, if applicable, additional time to address errors and receive validation upon resubmission (an additional two business days for each ensuing submission). It is important to note that if enough time is not allotted and a rejection notice is received after the due date and time, DOL will not consider the application.

To ensure consideration, the components of the application must be saved as .doc, .docx, .xls, .xlsx, .rtf or .pdf files. If submitted in any other format, the applicant bears the risk that compatibility or other issues will prevent DOL from considering the application. We will attempt to open the document but will not take any additional measures in the event of problems with opening.

We strongly advise applicants to use the various tools and documents, including FAQs, which are available on the “Applicant Resources” page at <https://www.grants.gov/web/grants/applicants/applicant-faqs.html>.

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

To receive updated information about critical issues, new tips for users, and other time-sensitive updates as information is available, you may subscribe to “Grants.gov Updates” at <https://www.grants.gov/web/grants/manage-subscriptions.html>.

If you encounter a problem with Grants.gov and do not find an answer in any of the other resources, contact one of the following:

- call 1-800-518-4726 or 606-545-5035 (Individuals with hearing or speech impairments may access the telephone numbers via their state's telecommunications relay service (TRS) by dialing 7-1-1 to make TTY calls) to speak to a Customer Support Representative or
- email support@grants.gov.

The Grants.gov Contact Center is open 24 hours a day, 7 days a week but closed on federal holidays. If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number.

Late Applications

We will consider only applications successfully submitted through Grants.gov no later than 11:59 p.m. Eastern Time on the closing date and then successfully validated. You take a significant risk by waiting to the last day to submit through Grants.gov.

D. INTERGOVERNMENTAL REVIEW

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

E. FUNDING RESTRICTIONS

All proposed project costs must be necessary and reasonable and in accordance with federal guidelines. Determinations of allowable costs will be made in accordance with the Cost Principles, now found in the Office of Management and Budget’s Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), codified at 2 CFR Part 200 and at 2 CFR Part 2900 (Uniform Guidance-DOL specific). Disallowed costs are those charges to a grant that the grantor agency or its representative determines not to be allowed in accordance with the Cost Principles or other conditions contained in the grant. Applicants, whether successful or not, will not be entitled to reimbursement of pre-award costs.

1. Indirect Costs

As specified in the Uniform Guidance Cost Principles, indirect costs are those that have been incurred for common or joint objectives and cannot be readily identified with a particular final cost objective. An indirect cost rate is required when an organization operates under more than one grant or other activity, whether federally-assisted or not. You have two options to claim reimbursement of indirect costs.

Option 1: You may use a NICRA or Cost Allocation Plan (CAP) supplied by the federal Cognizant Agency. If you do not have a NICRA/CAP or have a pending NICRA/CAP, and in either case choose to include estimated indirect costs in your budget, at the time of award the Grant Officer will release funds in the amount of 10 percent of salaries and wages to support indirect costs. Within 90 days of award, you are required to submit an acceptable indirect cost proposal or CAP to your federal Cognizant Agency to obtain a provisional indirect cost rate. (See Section IV.B.4. for more information on NICRA submission requirements.)

Option 2: Any organization that does not have a current negotiated (including provisional) rate, with the exceptions noted at 2 CFR 200.414(f) in the Cost Principles, may elect to charge a de minimis rate of 10 percent of modified total direct costs (see 2 CFR 200.1 for definition), which may be used indefinitely. If chosen, this methodology once elected must be used consistently for all Federal awards until such time as the non-Federal entity chooses to negotiate for a rate, which the non-Federal entity may apply to do at any time. (See 2 CFR 200.414(f) for more information on use of the de minimis rate.)

2. Salary and Bonus Limitations

None of the funds appropriated under the heading “Employment and Training” in the appropriation statute(s) may be used by a recipient or subrecipient of such funds to pay the salary and bonuses of an individual, either as direct costs or indirect costs, at a rate in excess of Executive Level II. This limitation does not apply to contractors providing goods and services as defined in the Audit Requirements of the OMB Uniform Guidance (see 2 CFR 200 Subpart F). Where states are recipients of such funds, states may establish a lower limit for salaries and bonuses of those receiving salaries and bonuses from subrecipients of such funds, taking into

account factors including the relative cost of living in the state, the compensation levels for comparable state or local government employees, and the size of the organizations that administer federal programs involved including ETA programs. See Public Law 117-328, Division H, Title I, section 105, and TEGL number 05-06 for further clarification: https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2262.

3. 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 grant recipient will be required to license to the public all work created with the support of the grant under open licensing. Work that must be licensed under opening licensing includes both new content created with the grant funds and modifications made to pre-existing, grant recipient-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 grant recipient. Notice of the license shall be affixed to the work. Questions about opening licensing as it applies to this specific funding opportunity should be submitted to the ETA Grants Management Specialist specified in Section VII.

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

The purpose of the open 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 grant recipient 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 open licensing 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 grant recipient 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 ODEP disclaimer needs to be on all products developed in whole or in part with grant funds.

“This workforce product was funded by a grant from the U.S. Department of Labor’s Office of Disability Employment Policy. 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.”

F. OTHER SUBMISSION REQUIREMENTS

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

V. APPLICATION REVIEW INFORMATION

A. CRITERIA

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

Section IV.B.3 (Project Narrative) of this FOA has several “section headers” (e.g. IV.B.3.a), Statement of Need). Each of these “section headers” of the Project Narrative may include one or more “criterion,” and each “criterion” includes one or more “rating factors,” which provide detailed specifications for the content and quality of the response to that criterion. Each of the rating factors have specific point values assigned. These point values are the number of points possible for the application to earn for the rating factor.

Criterion	Points (maximum)
Statement of Need (See Section IV.B.3.a. Statement of Need)	5
Expected Outputs and Outcomes (See Section IV.B.3.b. Expected Outcomes and Outputs)	10
Project Design (See Section IV.B.3.c. Project Design)	40
Organizational, Administrative, and Fiscal Capacity (See Section IV.B.3.d. Organizational, Administrative, and Fiscal Capacity)	10

Operational Plan (See Section IV.B.3.e)	10
Logic Model (See Section IV.B.3.f)	10
Past Performance – Programmatic Capability (See Section IV.B.3.g. Past Performance – Programmatic Capability)	5
Budget and Budget Narrative (See Section IV.B.3.h Budget and Budget Narrative)	10
TOTAL	100

Section IV.B.3, Project Narrative, provides a detailed explanation of the information an application must include. Reviewers will rate each “rating factor” based on how fully and convincingly the applicant responds. For each “rating factor” under each “criterion,” panelists will determine whether the applicant thoroughly meets, partially meets, or fails to meet the “rating factor,” unless otherwise noted in Section IV.B.3, based on the definitions below:

Standard Rating	Definition	Standard for Calculating Points
Completely Meets	The application thoroughly responds to the rating factor and fully and convincingly satisfies all of the stated specifications.	Full Points
Partially Meets	The application responds incompletely to the rating factor, or the application convincingly satisfies some, but not all, of the stated specifications.	Partial Points, commensurate with the extent to which the applicant addresses the rating factor
Fails to Meet	The application does not respond to the rating factor, or the application does respond to the rating factor but does not convincingly satisfy any of the stated specifications.	Zero Points

In order to receive the maximum points for each rating factor, applicants must provide a response to the requirement that fully describes the proposed program design and demonstrates the quality of approach, rather than simply re-stating a commitment to perform prescribed activities. In other words, applicants must describe why their proposal is the best strategy and how they will

implement it, rather than that the strategy contains elements that conform to the requirements of this FOA.

B. REVIEW AND SELECTION PROCESS

1. Merit Review and Selection Process

A technical merit review panel will carefully evaluate applications against the selection criteria to determine the merit of applications. These criteria are based on the policy goals, priorities, and emphases set forth in this FOA. Up to 100 points may be awarded to an applicant, depending on the quality of the responses provided. The final scores (which may include the mathematical normalization of review panels) will serve as the primary basis for selection of applications for funding. The panel results are advisory in nature and not binding on the Grant Officer. The Grant Officer reserves the right to make selections based solely on the final scores or to take into consideration other relevant factors when applicable. Such factors may include the geographic distribution of funds, and other relevant factors. The Grant Officer may consider any information that comes to their attention.

The government may elect to award the grant(s) with or without discussion with the applicant. Should a grant be awarded without discussion, the award will be based on the applicant's signature on the SF-424, including electronic signature via E-Authentication on <https://www.grants.gov>, which constitutes a binding offer by the applicant.

2. Risk Review Process

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

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

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

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

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

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

U.S. DEPARTMENT OF LABOR -EMPLOYMENT AND TRAINING ADMINISTRATION (ETA) FUNDING OPPORTUNITY ANNOUNCEMENT: FINANCIAL SYSTEM RISK ASSESSMENT		
SECTION A: PURPOSE		
The financial responsibility of grantees must be such that the grantee can properly discharge the public trust which accompanies the authority to expend public funds. Adequate administrative and financial systems including the accounting systems should meet the following criteria as contained in 2 CFR 200 and 2 CFR 2900. (1) Accounting records should provide information needed to adequately identify the receipt of funds under each grant awarded and the expenditure of funds for each grant. (2) Entries in accounting records should refer to subsidiary records and/or documentation which support the entry and which can be readily located. (3) The accounting system should provide accurate and current financial reporting information. (4) The accounting system should be integrated with an adequate system of internal controls to safeguard the funds and assets covered, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed management policies.		
SECTION B: GENERAL		
1. Complete the following items:		
a. When was the organization	b. Principal officers	Titles

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

founded/incorporated <i>(month, day, year)</i>					
c. Employer Identification Number:					
d. Number of Employees Full Time: Part Time:					
2. Is the organization or institution affiliated with any other organization: Yes No If yes, please provide details as to the nature of the company (for profit, nonprofit, LLC, etc) and if it provides services or products to the organization in relation to this grant.			3. Total Sales/Revenues in most recent accounting period. <i>(12 months)</i> \$		
SECTION C: ACCOUNTING SYSTEM					
1. Has any Government Agency rendered an official written opinion concerning the adequacy of the accounting system for the collection, identification and allocation of costs under Federal contracts/grants? Yes No					
a. If yes, provide name, and address of Agency performing review:			b. Attach a copy of the latest review and any subsequent correspondence, clearance documents, etc. Note: If review occurred within the past three years, omit questions 2-8 of this Section and Section D.		
2. Which of the following best describes the accounting system:	State administered	Internally Developed			Web-based
3. Does the accounting system identify the receipt and expenditure of program funds separately for each contract/grant?			Yes	No	Not Sure
4. Does the accounting system provide for the recording of expenditures for each grant/contract by the component project and budget cost categories shown in the approved budget?			Yes	No	Not Sure
5. Are time distribution records maintained for an employee when his/her effort can be specifically identified to a particular cost objective?			Yes	No	Not Sure

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

6. If the organization proposes an overhead rate, does the accounting system provide for the segregation of direct and indirect expenses?	Yes	No	Not Sure
7. Does the organization have an approved indirect cost rate or cost allocation plan? If so, who approved it (Federal Cognizant Agency or a Pass-through Entity)? What are the effective dates?	Yes	No	Not Sure
8. Does the accounting/financial system include budgetary controls to preclude incurring obligations in excess of: a. Total funds available for a grant? b. Total funds available for a budget cost category (e.g. Personnel, Travel, etc)?	Yes Yes	No No	Not Sure Not Sure
9. Does the organization or institution have an internal control structure that would provide reasonable assurance that the grant funds, assets, and systems are safeguarded?	Yes	No	Not Sure

		SECTION D: FINANCIAL STABILITY	
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1. Is there any legal matter or an ongoing financial concern that may impact the organization's ability to manage and administer the grant? Yes No If yes, please explain briefly.

SECTION E: FINANCIAL STATEMENTS	
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1. Did an independent certified public accountant (CPA) ever examine the financial statements? Yes No
2. If an independent CPA review was performed please attach a copy of their latest report and any management letters issued. Enclosed N / A
3. If an independent CPA was engaged to perform a review and no report was issued, please provide details and an explanation below:

SECTION F: ADDITIONAL INFORMATION	
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1. Use this space for any additional information (<i>indicate section and item numbers if a continuation</i>)

VI. AWARD ADMINISTRATION INFORMATION

A. AWARD NOTICES

All award notifications will be posted on the ODEP Homepage at <https://www.dol.gov/agencies/odep/>. Applicants selected for award will be contacted directly

before the grant's execution. Non-selected applicants will be notified by mail or email and may request a written debriefing on the significant weaknesses of their application.

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

B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

1. Administrative Program Requirements

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

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

2. Other Legal Requirements

a. Religious Activities

The Department notes that the Religious Freedom Restoration Act (RFRA), 42 U.S.C. § 2000bb, applies to all federal law and its implementation. If an applicant organization is a faith-based organization that makes hiring decisions on the basis of religious belief, it may be entitled to receive federal financial assistance under this grant solicitation and maintain that hiring practice. As stated in 2 CFR 2.32(a), religious organizations are eligible on the same basis as any other organization, to seek DOL support or participate in DOL programs for which they are otherwise eligible. Guidance from DOL is found at: <https://www.dol.gov/agencies/oasam/grants/religious-freedom-restoration-act/guidance>.

b. Lobbying or Fundraising the U.S. Government with Federal Funds

In accordance with Section 18 of the Lobbying Disclosure Act of 1995 (Public Law 104-65) (2 U.S.C. § 1611), non-profit entities incorporated under Internal Revenue Service Code section 501(c)(4) that engage in lobbying activities are not eligible to receive federal funds and grants. No activity, including awareness-raising and advocacy activities, may include fundraising for, or lobbying of, U.S. federal, state, or local governments (see 2 CFR 200.450 for more information).

c. Transparency Act Requirements

You must ensure that you have the necessary processes and systems in place to comply with the reporting requirements of the Federal Funding Accountability and Transparency Act of 2006 (Pub. Law 109-282, as amended by the Government Funding Transparency Act of 2008, Pub. Law 110-252, Title VI, Chap. 2, Sec. 6202), as follows.

- Except for those excepted from the Transparency Act under sub-paragraphs 1, 2, and 3 below, you must ensure that you have the necessary processes and systems in place to comply with the subaward and executive total compensation reporting requirements of the Transparency Act, should you receive funding.
- Upon award, you will receive detailed information on the reporting requirements of the Transparency Act, as described in 2 CFR Part 170, Appendix A, which can be found at <https://ecfr.federalregister.gov/current/title-2/subtitle-A/chapter-I/part-170>.

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

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

d. Safeguarding Data Including Personally Identifiable Information (PII)

Applicants submitting applications in response to this FOA must recognize that confidentiality of PII and other sensitive data is of paramount importance to the Department of Labor and must be observed except where disclosure is allowed by the prior written approval of the Grant Officer or by court order. By submitting an application, you are

assuring that all data exchanges conducted through or during the course of performance of this grant will be conducted in a manner consistent with applicable federal law and [TEGL 39-11](#) (issued June 28, 2012). All such activity conducted by ETA and/or recipient(s) will be performed in a manner consistent with applicable state and federal laws.

By submitting a grant application, you agree to take all necessary steps to protect such confidentiality by complying with the following provisions that are applicable in governing the handling of confidential information:

- i. You must ensure that PII and sensitive data developed, obtained, or otherwise associated with DOL/ODEP funded grants is securely transmitted.
- ii. To ensure that such PII is not transmitted to unauthorized users, all PII and other sensitive data transmitted via e-mail or stored on CDs, DVDs, thumb drives, etc., must be encrypted using a Federal Information Processing Standards (FIPS) 140-2 compliant and National Institute of Standards and Technology (NIST) validated cryptographic module. You must not e-mail unencrypted sensitive PII to any entity, including ODEP or contractors.
- iii. You must take the steps necessary to ensure the privacy of all PII obtained from participants and/or other individuals and to protect such information from unauthorized disclosure. You must maintain such PII in accordance with the ETA standards for information security described in TEGL NO. 39-11 and any updates to such standards we provide to you. Grantees who wish to obtain more information on data security should contact their Federal Project Officer.
- iv. You must ensure that any PII used during the performance of your grant has been obtained in conformity with applicable federal and state laws governing the confidentiality of information.
- v. You further acknowledge that all PII data obtained through your ODEP grant must be stored in an area that is physically safe from access by unauthorized persons at all times and the data will be processed using recipient-issued equipment, managed information technology (IT) services, and designated locations approved by ETA. Accessing, processing, and storing of ETA grant PII data on personally owned equipment, at off-site locations, (e.g., employee's home), and non-recipient managed IT services, (e.g., Yahoo mail), is strictly prohibited unless approved by ETA.
- vi. Your employees and other personnel who will have access to sensitive/confidential/proprietary/private data must be advised of the confidential nature of the information, the safeguards required to protect the information, and that there are civil and criminal sanctions for noncompliance with such safeguards that are contained in federal and state laws.
- vii. You must have policies and procedures in place under which your employees and other personnel, before being granted access to PII, acknowledge their understanding of the confidential nature of the data and the safeguards with which they must comply in their handling of such data, as well as the fact that they may be liable to civil and criminal sanctions for improper disclosure.

- viii. You must not extract information from data supplied by ODEP for any purpose not stated in the grant agreement.
- ix. Access to any PII created by the ODEP grant must be restricted to only those employees of the grant recipient who need it in their official capacity to perform duties in connection with the scope of work in the grant agreement.
- x. All PII data must be processed in a manner that will protect the confidentiality of the records/documents and is designed to prevent unauthorized persons from retrieving such records by computer, remote terminal, or any other means. Data may be downloaded to, or maintained on, mobile or portable devices only if the data are encrypted using NIST validated software products based on FIPS 140-2 encryption. In addition, wage data may be accessed only from secure locations.
- xi. PII data obtained by the recipient through a request from ODEP must not be disclosed to anyone but the individual requestor, except as permitted by the Grant Officer or by court order.
- xii. You must permit ODEP to make onsite inspections during regular business hours for the purpose of conducting audits and/or conducting other investigations to assure that you are complying with the confidentiality requirements described above. In accordance with this responsibility, you must make records applicable to this Agreement available to authorized persons for the purpose of inspection, review, and/or audit.
- xiii. You must retain data received from ODEP only for the period of time required to use it for assessment and other purposes, or to satisfy applicable federal records retention requirements, if any. Thereafter, you agree that all data will be destroyed, including the degaussing of magnetic tape files and deletion of electronic data.

e. Record Retention

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

f. Use of Contracts and Subawards

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

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

substance of the transaction meets the definition of a federal award or subaward (see definition of Subaward below).

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

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

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

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

g. Closeout of Grant Award

Any entity that receives an award under this Announcement must close its grant with ODEP at the end of the final year of the grant.

3. Other Administrative Standards and Provisions

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

4. Special Program Requirements

a. ODEP Evaluation

As a condition of grant award, grantees are required to participate in an evaluation, if undertaken by DOL. The evaluation may include an implementation assessment across grantees, an impact and/or outcomes analysis of all or selected sites within or across grantees, and a benefit/cost analysis or assessment of return on investment. Conducting an impact analysis could involve random assignment (which involves random assignment of eligible participants into a treatment group that would receive program services or enhanced program services, or into control group(s) that would receive no program services or program services that are not enhanced). We may require applicants to collect data elements to aid the

evaluation. As a part of the evaluation, as a condition of award, grantees must agree to: (1) make records available to the evaluation contractor on participants, employers, and funding; (2) provide access to program operating personnel, participants, and operational and financial records, and any other relevant documents to calculate program costs and benefits; and (3) in the case of an impact analysis, facilitate the assignment by lottery of participants to program services, including the possible increased recruitment of potential participants; and (4) follow evaluation procedures as specified by the evaluation contractor under the direction of DOL.

b. Performance Goals

Please note that applicants will be held to outcomes provided, and failure to meet those outcomes may result in technical assistance or other intervention by ODEP and may also have a significant impact on decisions about future grants with ODEP.

C. REPORTING

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

1. Quarterly Financial Reports

Grant recipients are required to report quarterly financial data on the SF-425 *Federal Financial Report* (FFR), which is due no later than 30 calendar days after the end of each specified reporting quarter. Reporting quarter end dates are March 31, June 30, September 30, and December 31. A final FFR for the last quarter of the period of performance must be submitted no later than 120 calendar days after the quarter ends. See 2 CFR 200.344. On the final FFR, grant recipients must be sure to include any subaward amounts so we can calculate final indirect costs, if applicable.

2. Quarterly Performance Reports

The grantee must submit a quarterly performance report within 45 days after the end of each calendar-year quarter. The report must include quarterly information on interim indicators and performance goals. The last quarterly progress report will serve as the grant's Final Performance Report. This report must provide both quarterly and cumulative information on the grant performance. Submission requirements and report templates will be provided to grantees upon award. We will also provide you with guidance about the data and other information that is required to be collected and reported on either a regular basis or special request basis.

VII. AGENCY CONTACTS

For further information about this FOA, please contact Andrea Hill Grants Management Specialist, Office of Grants Management, at 202-693-3542. Applicants should e-mail all technical questions to Hill.Andrea@dol.gov and must specifically reference FOA-ODEP-23-12, and along with question(s), include a contact name, fax and phone number. This Announcement is available at <https://www.grants.gov>.

VIII. OTHER INFORMATION

A. WEB-BASED RESOURCES

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

B. INDUSTRY COMPETENCY MODELS AND CAREER CLUSTERS

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

C. WORKFORCEGPS RESOURCES

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

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

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

We created a technical assistance portal at <https://www.workforcegps.org/resources/browse?id=b8dd0aa1ecfb4b2282d6cd30c7248790> that contains online training and resources for fiscal and administrative issues. Online trainings available include, but are not limited to, Introduction to Grant Applications and Forms, Indirect Costs, Cost Principles, and Accrual Accounting.

D. SKILLSCOMMONS RESOURCES

SkillsCommons (<https://www.skillscommons.org>) offers an online library of curriculum and related training resources to obtain industry-recognized credentials in manufacturing, IT, healthcare, energy, and other industries. The website contains thousands of Open Educational Resources (OER) for job-driven workforce development, which were produced by grantees funded through DOL’s Trade Adjustment Assistance Community College and Career Training (TAACCCT) program. Community colleges and other training providers across the nation can

reuse, revise, redistribute, and reorganize the OER on SkillsCommons for institutional, industry, and individual use.

IX. OMB INFORMATION COLLECTION

OMB Information Collection No 1225-0086, Expires July 31, 2025.

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 50 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

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

PLEASE DO NOT RETURN YOUR GRANT APPLICATION TO THIS ADDRESS.
SEND ONLY COMMENTS ABOUT THE BURDEN CAUSED BY THE COLLECTION OF INFORMATION TO THIS ADDRESS. SEND YOUR GRANT APPLICATION TO THE SPONSORING AGENCY AS SPECIFIED EARLIER IN THIS ANNOUNCEMENT.

This information is being collected for the purpose of awarding a grant. DOL will use the information collected through this “Funding Opportunity Announcement” to ensure that grants are awarded to the applicants best suited to perform the functions of the grant. This information is required to be considered for this grant.

Signed in Washington, D.C. by:

CARLA WILLS

Grant Officer, Employment and Training Administration

APPENDIX A: DEFINITIONS

Accessible: For the purposes of this FOA, the term “accessible” requires work products to be usable by assistive technologies and meet the criteria outlined in Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d), as amended by the Workforce Investment Act of 1998 (P.L. 105-220) August 7, 1998, the Web Content Accessibility Guidelines 2.0 (WCAG 2.0) Level AA, or as specified in subsequent updates to the preceding criteria.

Accessibility: For the purposes of this FOA, the term “accessibility” means the design, construction, development, and maintenance of facilities, information and communication technology, programs, and services so that all people, including people with disabilities, can fully and independently use them. Accessibility includes the provision of accommodations and modifications to ensure equal access to employment and participation in activities for people with disabilities, the reduction or elimination of physical and attitudinal barriers to equitable opportunities, a commitment to ensuring that people with disabilities can independently access every outward-facing and internal activity or electronic space, and the pursuit of best practices such as universal design. [\[Source\]](#)

Apprenticeship: An industry-driven, high-quality career pathway where employers can develop and prepare their future workforce, and individuals can obtain paid work experience, classroom instruction, mentorship, and a portable credential. [\[Source\]](#)

Business Membership Associations: A membership-based business organization that brings together businesses from a specific business sector to pursue shared objectives, expand into new markets and remain competitive in the marketplace.

Community of Practice: A group of people who share a concern, a set of problems, or a passion about a topic, and who deepen their knowledge and expertise by interacting on an ongoing basis. [\[Source\]](#)

Competitive Integrated Employment: As defined by WIOA (29 U.S.C.705),

1. Work performed on a full or part-time basis for which an individual is: Compensated at not less than federal minimum wage requirements or state or local minimum wage law (whichever is higher) and not less than the customary rate paid by the employer for the same or similar work performed by other individuals without disabilities;
2. At a location where the employee interacts with other persons who are not individuals with disabilities (not including supervisory personnel or individuals who are providing services to such employee) to the same extent that individuals who are not individuals with disabilities and who are in comparable positions interact with other persons; and
3. Presented, as appropriate, opportunities for advancement that are similar to those for other employees who are not individuals with disabilities and who have similar positions.

[\[Source\]](#)

Culturally Responsive: To respond respectfully and effectively to people of all cultures, languages, classes, races, ethnic backgrounds, disabilities, religions, genders, sexual orientations, and other diversity factors in a manner that recognizes, affirms, and values their worth. [\[Source\]](#)

Diversity: For the purposes of this FOA, the term “diversity” means the practice of including the many communities, identities, races, ethnicities, backgrounds, abilities, cultures, and beliefs of the American people, including underserved communities. [[Source](#)]

Equity:For the purposes, the term “equity” means the consistent and systematic fair, just, and impartial treatment of all individuals, including individuals who belong to underserved communities that have been denied such treatment, such as Black, Latino, and Indigenous and Native American persons, Asian Americans and Pacific Islanders and other persons of color; members of religious minorities; lesbian, gay, bisexual, transgender, and queer/questioning (LGBTQ+) persons; persons with disabilities; persons who live in rural areas; and persons otherwise adversely affected by persistent poverty or inequality. [[Source](#)]

Federal Disability Benefits: For the purposes of this FOA, “federal disability benefits” refers specifically to the SSDI and SSI programs. Disability benefits received from the Veterans Administration or other federal programs are not included. [[Source](#)]

Guideposts for Success – Framework for the Future: A set of key educational and career development interventions that can make a positive difference in the lives of all youth, including youth with disabilities. Based on an extensive literature review of research, demonstration projects, and effective practices covering a wide range of programs and services, the Guideposts framework advances that all youth, including those with disabilities, need exposure to: 1) school-based preparatory experiences; 2) career preparation and work-based learning experiences; 3) youth development and leadership; 4) connecting activities, including knowledge of transportation, health care, and financial planning; and 5) family involvement and support. In addition to articulating the general needs of all youth, the Guideposts for Success also address the specific needs of youth with disabilities within each of the five categories. The Guideposts framework is used in policymaking and service design and delivery at the national, state, and local levels. [[Source](#)]

Inclusion: For the purposes of this FOA, the term “inclusion” means the recognition, appreciation, and use of the talents and skills of employees of all backgrounds. [[Source](#)]

Intersectionality: The combined effects of one's multiple identities, which includes identities such as race, gender, sexual orientation, religion, and employee status. [[Source](#)]

Labor Force: Sometimes referred to as the work force, the U.S. Bureau of Labor Statistics (BLS) defines this term as all individuals classified as employed or unemployed (persons 16 years or older who had no employment during the prior week, but were available for and made specific efforts to find work during the previous four weeks) [[Source](#)]

Labor Force Participation Rate: BLS defines the Labor Force Participation Rate as the number of people in the labor force as a percentage of the civilian non-institutional population 16 years old and over. In other words, it is the percentage of the population that is either working or actively seeking work. [[Source](#)]

Multiply Marginalized: For the purpose of this FOA, refers to people who are members of more than one historically underrepresented marginalized group, such as people with disabilities who are justice-involved, homeless, foster care involved, and/or part of the LGBTQ community and who have been negatively impacted socially and economically. [[Source](#)]

Pre-Apprenticeship: A program or set of strategies designed to prepare individuals for entry into Registered Apprenticeship Programs (RAP) or other job opportunities. Pre-apprenticeships may last from a few weeks to a few months and may or may not include wages or stipend. Pre-apprenticeship programs have varied program elements; however, at the core, places an individual on a pathway to employability through a RAP. [\[Source\]](#)

Systems Change: With respect to workforce development refers to “efforts and initiatives that go beyond providing direct services to individual job seekers and aim to transform how organizations effectively support employers and the workforce.” With the aim of improving worker and employer outcomes, systems-change goals for improving how the system functions may include increased partner collaboration, active industry engagement, data-driven decision-making, and a local workforce development system marked by improved accessibility and quality, as well as scale and sustainability. [\[Source\]](#)

Theory of Change: The conceptual thinking behind how a particular intervention or action will lead to specific results. [\[Source\]](#)

Transition Services: Means a coordinated set of activities for a student or youth with a disability-

- Designed within an outcome-oriented process that promotes movement from school to post-school activities, including postsecondary education, vocational training, competitive integrated employment, supported employment, continuing and adult education, adult services, independent living, or community participation;
- Based upon the individual student's or youth's needs, taking into account the student's or youth's preferences and interests;
- That includes instruction, community experiences, the development of employment and other post-school adult living objectives, and, if appropriate, acquisition of daily living skills and functional vocational evaluation;
- That promotes or facilitates the achievement of the employment outcome identified in the student's or youth's individualized plan for employment; and
- That includes outreach to and engagement of the parents, or, as appropriate, the representative of such a student or youth with a disability. [\[Source\]](#)

Underserved Communities: Populations sharing a particular characteristic, as well as geographic communities, that have been systematically denied a full opportunity to participate in aspects of economic, social, and civic life. [\[Source\]](#)

Universal Design: A concept in which products and environments are designed to be usable for all people, to the greatest extent possible, without the need for adaptation of specialized design. [\[Source\]](#)

Workforce Innovation and Opportunity Act: A United States public law that replaced the previous Workforce Investment Act of 1998 as the primary federal workforce development legislation to bring about increased coordination among federal workforce development and related programs. [\[Source\]](#)

Work-based Learning: is a “supervised program sponsored by an education or training organization that links knowledge gained at the work site with a planned program of study.” [\[Source\]](#)

Workforce Development Board: Are part of the Public Workforce System, a network of federal, state, and local offices that support economic expansion and develop the talent of the nation's workforce. A Workforce Development Board's role is to develop regional strategic plans and set funding priorities for their area. State and local Workforce Development Boards serve as connectors between the U.S. Department of Labor and local American Job Centers that deliver services to workers and employers. [[Source](#)]

Workforce Development System: a system that makes available the WIOA core programs, the other one-stop partner programs, and any other programs providing employment and training services as identified by a State or Local Workforce Development Board.[[Source](#)]

APPENDIX B: PERFORMANCE METRICS

Equity Transition Models (ETM) Performance Metrics

DOL will provide specific definitions and instructions regarding data collection pertaining to these metrics.

REQUIRED METRICS

ETM Activity	Measure Type	Measure Description	Frequency
Participant Enrollment	Input	Number and percent of Y&YAD enrolled in ETM (as fraction of proposed target)	Monthly
		Number and percent of youth from target population(s) enrolled in ETM (as fraction of proposed target)	Monthly
		Number and percent of ETM youth enrolled by characteristics. 1. Social Security Income receiving/eligible youth. 2. Juvenile Justice involved youth. 3. Youth in/or transitioning from Foster Care 4. Out of school youth as defined by WIOA. 5. Age 6. Gender 7. Race 8. Ethnicity 9. Level of education 10. Employment status	Monthly
		Length of time youth have been enrolled in the ETM project	

ETM Activity	Measure Type	Measure Description	Frequency
Workforce Services and Training	Input	Number and percent of Y&YAD enrolled in: 1. Education (benefits counseling, financial literacy, etc.) 2. Employment Training (work-based learning, apprenticeships, and other postsecondary career education) 3. Services (workforce placement, and referrals to address education, income, housing, and social service needs)	Monthly
Communication/Coordination	Output	Number of instances of ETM staff communication with: 1. Youth 2. Families 3. Community service providers 4. State and Local workforce partners	Quarterly
		Communication between ETM staff and youth is established within X number of days of enrollment	Quarterly
Case Management	Output	Number of days a youth was active as an ETM participant.	Quarterly
		Number and percent of youth exiting the program within 12 months of employment and or post-secondary placement.	Quarterly
		Employment services tracking per youth participant: 1. Time (in days) between referral to employment services and when service begins. 2. Type of employment service 3. Frequency 4. Length Per Instance	Quarterly
Case Management		1. Number of case management sessions per youth participant 2. Number and percent of youth referred to other services beyond ETM after 6 months	Quarterly

ETM Activity	Measure Type	Measure Description	Frequency
	Process (Efficiency) and CQI	Per person cost for providing ETM services (post start-up)	Annual
Satisfaction – at or above 80%	Process (Quality) and CQI	Youth satisfaction 1. with communication 2. with support for employment transition	Annual or at program exit
		Family satisfaction 1. with communication 2. with support for employment transition	Annual
		Employer satisfaction 1. with communication 2. with support for employment transition	Annual
		Partner (Community Based, Non-Profit Organizations, State and Local collaborations) satisfaction. 1. with communication 2. with support for employment transition	Annual
Labor force participation	Outcome Out of total ETM participants	Number and percent of ETM participants entering/advancing in the labor force. 1. Number and percent of youth placed in a job. 2. Number and percent of youth advancing (promotion, wage increase) on a job. 3. Number and percent advanced in their job (current or different employer). 4. Number and percent in full time employment. 5. Number and percent of youth employed one year after exiting the program.	Biannual

ETM Activity	Measure Type	Measure Description	Frequency
Earnings To be collected in coordination with the ETM evaluator	Outcome Out of total ETM employee enrollees	1. Earnings in dollars per hour of ETM youth participant. 2. Earning of youth employed one year after exiting the program.	Biannual

OPTIONAL METRICS

ETM Activity	Measure Type	Measure Description	Frequency
System Setup (All milestones are measured from the date of Phase 1 award)	Structural – May also be considered milestones of the first year of the ETM Demonstration	1. Plan for and establish infrastructure necessary for effective grant program implementation is set up for ETM operations within X number of days. 2. Supports for the related independent evaluation are set up for ETM operations within X number of days. 3. Partnership agreements to manage, engage, and strategize with necessary and optional stakeholders are established for ETM operations within X number of days. 4. Comprehensive intake process and needs assessment for youth is established for ETM operations within X number of days. 5. Protocols for ETM staff to facilitate communication between staff, community-based organizations, youth, and employers is established within X number of days.	
Enrollment	Input	Number and percent of youth population enrolled by characteristics. 1. By race and ethnicity.	

Training	Input	1. Number and percent of youth direct care professionals, who are trained to implement evidence-based youth transition strategies, and culturally responsive practices for the proposed ETM model. 2. Number and percent of State and Local workforce agency personnel trained to implement evidence-based youth transition strategies, and culturally responsive practices for the proposed ETM model. 3. Number and percent of community-based organization staff trained to implement evidence-based youth transition strategies, and culturally responsive practices for the proposed ETM model.	
Satisfaction – at or above 80%	Process (Quality – better)	1. Youth direct care professionals’ satisfaction with ETM demonstration model training and support. 2. Other agency personnel satisfaction with ETM demonstration model training and support. 3. Community based organization satisfaction with ETM demonstration model training and support.	
System Setup (All milestones are measured from the date of Phase 1 award)	Structural – May also be considered milestones of the first year of the ETM Demonstration	1. Plan for and establish infrastructure necessary for effective grant program implementation is set up for ETM operations within X number of days. 2. Supports for the related independent evaluation are set up for ETM operations within X number of days. 3. Partnership agreements to manage, engage, and strategize with necessary and optional stakeholders are established for ETM operations within X number of days. 4. Comprehensive intake process and needs assessment for youth is established for ETM operations within X number of days. 5. Protocols for ETM staff to facilitate communication between staff, community-based organizations, youth,	

		and employers is established within X number of days.	
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