

EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	CLASSIFICATION DWG – Trade and Economic Transition
	CORRESPONDENCE SYMBOL OWI - DWASWS
	DATE August 8, 2018

ADVISORY: TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 2-18

TO: STATE WORKFORCE AGENCIES
 STATE WORKFORCE ADMINISTRATORS
 STATE WORKFORCE LIAISONS
 STATE AND LOCAL WORKFORCE BOARDS AND CHAIRS
 STATE LABOR COMMISSIONERS
 INDIAN AND NATIVE AMERICAN PROGRAM GRANTEEES

FROM: ROSEMARY LAHASKY
 Deputy Assistant Secretary

SUBJECT: Trade and Economic Transition National Dislocated Worker Grants

1. **Purpose.** To announce the availability of up to \$100 million for Trade and Economic Transition National Dislocated Worker Grants (DWGs), with funding amounts of up to \$8 million for each award. This grant will enable successful applicants to address ongoing or emerging workforce and economic challenges by providing training and career services to dislocated workers seeking reentry into the workforce, and increasing their skill levels to become competitive for growing or high-demand employment opportunities. Available funds for this grant could be reduced by other, unforeseen DWG funding needs, such as natural disasters and national emergencies, including national health emergencies such as the opioid crisis.
2. **References.**
 - Workforce Innovation and Opportunity Act (WIOA), Section 170, Pub. L. No. 113-128, 128 STAT. 1425, 1573-1576 (July 22, 2014);
 - Consolidated Appropriations Act of 2017 (PL 115-31);
 - 20 CFR pt. 687;
 - Training and Employment Guidance Letter (TEGL) No. 2-15, *Operational Guidance for National Dislocated Worker Grants, pursuant to the Workforce Innovation and Opportunity Act (WIOA or Opportunity Act)* (July 1, 2015);
 - ETA Form 9130 (OMB Control No. 1205-0461); and
 - TEGL No. 19-16 – *Guidance on Services Provided through the Adult and Dislocated Worker Programs under the Workforce Innovation and Opportunity Act (WIOA) and the Wagner-Peyser Act Employment Service (ES), as amended by title III of WIOA, and for Implementation of the WIOA Final Rules* (March 1, 2017).

RESCISSIONS None	EXPIRATION DATE Continuing
----------------------------	--------------------------------------

3. **Background.** Trade and Economic Transition (Economic Transition) DWGs are offered under the Workforce Innovation and Opportunity Act (WIOA) National Dislocated Worker Grant program. The funding is authorized under Section 170 of WIOA and administered according to 20 CFR part 687.

Under WIOA Section 170(b), Employment Recovery DWGs, such as the Economic Transition DWG, generally provide resources to states and other eligible applicants to provide employment and training assistance to workers affected by major economic dislocations. The Consolidated Appropriations Act of 2017 (PL 115-31), which appropriates the funds being used for Economic Transition DWGs, includes statutory language specifying that these grants are available to address cases where there are worker dislocations across multiple sectors or across multiple local areas.

Consistent with the appropriation, Economic Transition DWGs are intended to allow eligible applicants to implement innovative training and employment services to help address dislocations that can be traced to broader workforce needs or economic changes that could reach across multiple sectors, including those in reaction to changes in trade policy. Economic transformation has created new and exciting opportunities for American workers, but has also resulted in worker dislocations. For example, increased automation and global economic pressures have threatened traditional jobs and careers. In many cases, mature workers¹ in the middle or later stages of their careers have been disproportionately impacted by these changes.

The Economic Transition DWG allows grantees to take a holistic approach in addressing economic and workforce challenges that may not be limited to one employer, one industry, or one geographic area. Evidence shows that providing laid-off workers with intensive employment services can improve their re-attachment to the labor force, with positive outcomes in employment and earnings.² Evidence further suggests that training is most effective when it is closely related to an identified job or occupation.³ Accordingly, a successful applicant will align with these findings by demonstrating that it has suffered significant worker dislocations stemming from a broader Economic Transition, and that it will deploy innovative career and training services that move dislocated workers into in-demand careers or professional areas that could improve the long-term economic or workforce health of the applicant's selected geographic areas.

The deadline for all Economic Transition DWG application packages filed in response to this TEGL through www.grants.gov is September 7, 2018 at 11:59:59 P.M. EDT.

4. **Goals of Economic Transition DWGs.** In awarding Economic Transition DWGs, the Employment and Training Administration (ETA) will use its discretion under WIOA to

¹ For the purposes of this TEGL, this term refers to workers 40 years of age and older

² Providing Public Workforce Services to Jobseekers: 15-month Impact Findings on the WIA Adult and Dislocated Worker Programs. Mathematica. November 8, 2016. Available at https://wdr.doleta.gov/research/FullText_Documents/ETAOP-2016-04_15-Month-Impact-Report-%28accessible%20pdf%29.pdf

³ What Works in Job Training: A Synthesis of the Evidence. July 22, 2014. Available at <https://www.dol.gov/asp/evaluation/jdt/jdt.pdf>

prioritize projects that respond to large-scale and largely unaddressed 21st Century economic and workforce challenges by helping move the workforce into 21st Century professions. This section provides an overview of the requirements to apply for an Economic Recovery DWG. Section 8 below describes how applicants will meet these requirements in submitting an application.

To receive an Economic Transition DWG, applicants first must show they qualify by documenting that they have been affected by an Economic Transition and have significant worker dislocations. For the purposes of this TEGL, an “Economic Transition,” as described in Section 8 below, is a far-reaching economic or workforce trend or event, beyond the operating conditions of one employer, which has caused a significant worker dislocations in a stated geographic area. “Significant worker dislocation” generally is either a dislocation that affects 50 or more workers, or a dislocation that an applicant can demonstrate is significant for a particular geographic area. More information on how applicants must show significant worker dislocations is in Section 8 below.

ETA has identified three types of Economic Transitions that, if appropriately documented in an application, qualify an applicant for DWG funds under this TEGL:

- job loss or employer/industrial reorganization due to trade or automation;
- the loss, significant decline, or major structural change/reorganization of a primary or legacy industry in a regional economy, such as the manufacturing downturn due to technological advances, impacts on the agricultural industry due to trade, or other economic trends; or
- other Economic Transition or stagnation that may disproportionately impact mature workers, putting them at risk for extended unemployment, lower wages, underemployment, and more.

While not an exclusive list, the following are examples of fundable activities:

- training and employment activities that result in the preparation or placement of workers in professional areas in fast-developing employment sectors;
- training that prepares an applicant’s workforce to participate in infrastructure-building projects, including, but not limited to the development and redevelopment of transportation and communications system. However, Economic Transition DWG funds may not be used to pay for infrastructure projects or to create temporary jobs supporting infrastructure projects; or
- training and career activities that result from regional economic strategies.⁴

5. Eligibility.

a. Eligible Applicants.

Under 20 C.F.R. 687.120(a), the following entities are eligible for Economic Transition DWGs:

- i. states or outlying areas, or a consortium of states;
- ii. Local Workforce Development Boards (WDBs), or a consortium of WDBs;

⁴ While ETA encourages partnership and coordination with other organizations to achieve the goals of the project, funds from the Economic Transition DWG may not be used to pay the costs of strategic planning, partnership development, or related activities.

- iii. an entity described in Section 166(c) of WIOA (relating to Indian and Native American programs);
- iv. Other entities determined to be appropriate by the Governor of the state or outlying area involved. To demonstrate that a Governor has determined the entity appropriate to be a grantee under this TEGL, such an applicant must attach a signed letter from the Governor, on official letterhead, identifying the organization and indicating why the Governor has determined it appropriate to carry out an Economic Transition DWG. The entity must consent, in its completed Project Synopsis Form (Attachment A) or written proposal, that it will arrange a method of reporting performance data prior to the receipt of any grant funds.
- v. Other entities that demonstrate to the Secretary the capability to respond effectively to circumstances relating to particular dislocations. To demonstrate its capability to the Secretary, such an applicant must submit documentation of no more than five pages, not counting toward any other page limitations in this document, that the applicant has:
 - 1. expertise with systemic economic issues;
 - 2. expertise with workforce development or training;
 - 3. the geographic or administrative reach to handle large-scale workforce issues like Economic Transitions, as the term is defined in Section 3 above;
 - 4. financial and administrative capability to administer a federal grant;
 - 5. a letter of support for its Economic Transition DWG application from its state workforce agency and WDBs for the geographic area(s) in which it will serve; and
 - 6. consent in its completed Project Synopsis Form (Attachment A) or written proposal that, prior to receiving any grant funds, it will arrange a method of reporting performance data.

Multiple entities from within the same state are eligible to submit applications for Trade and Economic Transition DWGs. The Department strongly encourages coordination among states, local workforce development boards, and other entities that may seek or obtain eligibility for DWG funds under 20 CFR 687.120(a), in order to avoid duplication. To maximize the use of these grant funds, ETA may choose not to fund multiple applications from different applicants within the state if those applications are duplicative. For the purposes of this TEGL, applications are “duplicative” if they (i) cover some or all of the same geographic territory and (ii) use one or more of the same dislocation events. In the event of duplicative applications, ETA will review the date and time it received each application submission and prioritize the first application received.

Those entities proposing a regional focus are strongly encouraged to coordinate with their partners to ensure effective delivery of career and training services to meet the existing or future needs of employers in the region.

- b. **Eligible Participants.** The only eligible participants for this grant are dislocated workers as defined in 20 C.F.R. 687.170(a)(1)(i)–(iii).
6. **Allowable Activities.** Applicants for Economic Transition DWGs must show that the proposed grant activities will support the workforce in meeting the challenges of its Economic Transition to sustainable employment opportunities in emerging or expanding

industry sectors and give priority to training over other types of services. All activities must be permissible under 20 CFR 687.180(a).

The types of activities and services that may be provided include the following:

- a. **Training and Work-Based Training Models.** Some of the allowable training and work-based training approaches include, but are not limited to:
- traditional classroom training funded through Individual Training Accounts (ITAs) including apprenticeship programs on the state's Eligible Training Provider List; or
 - connecting businesses and workers to on-the-job or customized training programs and apprenticeships before or after layoff, in order to help facilitate reemployment.

Note: Applicants are encouraged to investigate existing training curricula and approaches, including those housed on the Skills Commons (www.skillscommons.org). However, if existing curricula or appropriate tools do not meet the goals of the proposed project, Economic Transition DWG funds may be used to develop appropriate curricula with prior approval from the Grant Officer.

Training and work-based training strategies included in an application must follow WIOA requirements as described in TEGL No. 19-16.

- b. **Career Services.** Career services provide dislocated workers with a range of services, training, and job placement assistance they need to fill jobs in the identified emerging or high-demand sectors. Allowable career services are described in detail in TEGL No. 19-16. Examples of allowable career services include, but are not limited to:
- soft skills such as punctuality, personal maintenance skills, and professional conduct;
 - in-depth interviewing and evaluation to identify employment barriers and development of individual employment plans; and
 - career planning (that includes a career pathway approach), job coaching, and job matching services.
- c. **Supportive Services.** Grant recipients may offer supportive services to participants either directly or through partner organizations, based upon the specific needs and focus of the project plan. Generally, supportive service strategies should align with those described in TEGL No. 19-16, and may include, but are not limited to:
- assistance with transportation;
 - assistance with child care and dependent care;
 - linkages to community services, including services offered by partner organizations designed to support grant participants;
 - Needs-Related Payments (available only to individuals enrolled in training services and must be consistent with 20 CFR 680.930, 680.940, 680.950, 680.960, and 680.970);
 - assistance with uniforms or other appropriate work attire and work-related tools, including such items as eye glasses and protective eye gear;
 - assistance with books, fees, school supplies, and other necessary items for students enrolled in post-secondary education classes; and
 - payments and fees for employment and training-related applications, tests, and certifications.

7. Use of Funds.

- a. For on-the-job training (OJT), applicants may use DWG funds to reimburse up to 50 percent of the wage rate for on-the-job training participants and up to 75 percent if certain criteria are met as outlined in 20 CFR 680.730. The use of DWG funds for training are subject to the eligible training provider provisions of WIOA 20 CFR 680.400-.530 and the limitations or requirements as applicable to the Dislocated Worker formula program delineated in WIOA regulations at 20 CFR part 680 and TEGL No. 19-16. Applicants may enter into OJT contracts with apprenticeship program sponsors or participating employers in apprenticeship programs for the OJT portion of the apprenticeship program consistent with 20 CFR 680.700. Depending on the length of the apprenticeship and State and Local WDB OJT policies, these funds may cover some or all of the duration of the apprenticeship.
- b. Up to 10 percent of the grant award may be used for administrative costs associated with operating the grant.
- c. DWGs are subject to the Uniform Guidance: Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR Part 200 and OMB's approved exceptions for the Department at 2 CFR Part 2900.

- 8. Qualifying Event, Project Purpose, and Grant Activities.** As with other DWGs, DOL will only fund applications that are responsive to the requirements of WIOA and this TEGL. For an application to be considered responsive, the applicant must complete the suggested Project Synopsis form (see Attachment A), which contains all information and requirements set out in this TEGL, or submit a written proposal, not exceeding 10 pages double-spaced (this page limit does not apply to any additional documentation required below), containing all information required by this TEGL and the Project Synopsis form. Where the Project Synopsis and this TEGL require attachment of additional documentation, this documentation must be independently verifiable and not exceed more than 10 pages. This page limit does not count toward the 10-page limit on the proposal.

The informational requirements of a responsive application are explained below:

- Qualifying Event; and
- Project Purpose and Description.

- a. **Qualifying Event.** To demonstrate eligibility for the Economic Transition DWG, an applicant must show: (i) that it has experienced an Economic Transition; and (ii) that this Economic Transition has caused significant worker dislocations. Instructions for how to meet both of these requirements are below:

- **Demonstrating Economic Transition:** Applicants must first identify and document the specific Economic Transition issue it is facing, as well as the geographic areas affected by the transition. An "Economic Transition" is a far-reaching economic or workforce trend or event, beyond the operating conditions of one employer, which has caused a significant worker dislocations in a stated geographic area.
 - i. One of the following, if documented as described below, is an eligible qualifying event for DWG funding under this TEGL:
 1. job loss or employer/industrial reorganization due to trade or automation;
 2. the loss, significant decline, or major structural change or reorganization of a primary or legacy industry in a regional economy, such as manufacturing

downturn due to technological advances, impacts on the agricultural industry due to trade, or other economic trends; and

3. other Economic Transition or stagnation that may disproportionately impact mature workers, putting them at risk for extended unemployment, lower wages, underemployment, and more.
- ii. If the Economic Transition is not one of the qualifying events listed above, the applicant must identify and describe a far-reaching economic workforce trend or event, document its existence, and connect it to the significant worker dislocations it includes in its application according to the directions below. The description of the Economic Transition must include supporting documentation of the Economic Transition. ETA will not fund applications providing only generalized discussions of job loss in the state or region.
- iii. The application must include additional documentation verifying the existence of the Economic Transition described. ETA places no restrictions on the type of documentation an applicant may use, and documentation could include labor-market analysis, trends in the growth or decline of types of employers or industrial employment opportunities, excerpts of media reports and academic studies, etc.

- **Significant Worker Dislocations:** The applicant must demonstrate that:
 - i. The geographic areas that the DWG would serve have experienced a significant number of dislocations over the past 18 months and that these dislocations result from the Economic Transition it has described according to the directions above. For the purposes of this TEGL, a “significant worker dislocation” means either:
 1. 50 or more workers; or
 2. If fewer than 50 workers, the applicant must demonstrate that the total number of dislocations in particular geographic area has had a substantial enough economic impact that it necessitates additional assistance beyond normal Rapid Response or formula Dislocated Worker activities.
 - ii. An applicant may document that significant worker dislocations have occurred through any method it deems appropriate, including but not limited to:
 1. Labor Market Information or other official data demonstrating dislocations, extended periods of unemployment, or other relevant information, within the area(s) to be covered by the grant; or
 2. layoff notifications (including Worker Adjustment and Reemployment Notification (WARN) Act notices) or Rapid Response data.

Provided the identified dislocations stem from the same Economic Transition, dislocations may be from different, unrelated employers or in different, unrelated sectors. For example, unconnected dislocations in the affected area’s manufacturing and financial services sectors could qualify if the applicant successfully demonstrates both stem from increased automation in the areas the grant would serve.

- b. **Project Purpose and Description.** The applicant must demonstrate that its project will help move its workforce toward sustainable opportunities in high-demand sectors that could transform the applicant’s economy. There are two components (listed below) to the project description and purpose of the Trade and Economic Transition DWG.

Service Delivery Strategies and Innovations

The applicant must describe the sectors or areas included in the proposed project, and the types of services the applicant proposes to provide to eligible participants. Applicants must address the following:

- The sector(s) to which the applicant wishes to transition workers dislocated during its Economic Transition, describing and documenting:
 - i. why opportunities in this sector are sustainable; and
 - ii. any characteristics of the applicant's workforce, or any resources easily available to the applicant, that could speed or ease transition to these sector(s).
- Any innovative employment and training techniques the applicant will deploy, consistent with WIOA Section 134(c) and (d).
- Supportive services that will be provided by the grantee and its partners to ensure participant success (see Section 6 above).
- The extent to which the training activities could have broader benefit to the geographic areas covered by the DWG, such as by building or improving infrastructure or creating the capacity for the area to handle future job loss caused by Economic Transition without additional federal assistance.
- Where appropriate, applicants should include copies, excerpts, or descriptions of any connections to the WIOA State Plan or other existing sector or career pathways projects; statewide or regional talent or economic development initiatives, including existing Comprehensive Economic Development Strategies (CEDS); infrastructure improvement plans, such as state highway construction plans, approved by the U.S. Department of Transportation; business engagement strategies; or similar efforts. If an applicant attaches these materials to its application, they count toward the 10-page limit on additional documentation, but not the 10-page limit on the application proposal.

In addition, state performance goals for the WIOA Core Dislocated Worker program serve as a basis for each DWG's performance goals, and are based on the primary indicators of performance found in WIOA Section 116. These goals will be utilized for DWGs unless applicants request additional considerations in setting performance targets for an individual grant. Native American Program Section 166 applicants should use goals established for that program as a basis for DWG performance targets. Goals approved in the DWG application process serve as final performance targets. Primary indicators of performance and reporting requirements will be set out in the grant agreement.

Community Partnerships

Applicants are encouraged to develop new or enhance existing partnerships with relevant entities that support the goals of the project in the areas covered by the grant activities.

To ensure proper participant eligibility determinations, as well as delivery of appropriate career, training, and supportive services, at least one local Workforce Development Board (WDB) or American Job Center (AJC), located in the area(s) proposed to be covered by the grant, must be a partner in the grant. Applications that do not demonstrate

commitment from at least one WDB or AJC will not be awarded grant funds. Applicants will demonstrate such commitment by including at least one letter of support.

Applications that do not demonstrate commitment from at least one AJC or local WDB will not be awarded grant funds. Applicants also must indicate in their application that they will coordinate with the chief elected officials of any local areas in which the proposed DWG project would operate.

In cases where a local WDB or consortium of local boards is the applicant, the application must include a letter of support from the state workforce agency.

In addition, applicants are strongly encouraged to demonstrate partnerships with local economic development organizations, unless the applicant can successfully demonstrate that the proposed activities fit within an existing economic development plan for a regional economic transition. Other partners are likely to vary based on the unique characteristics of each area and the specific needs of each proposed grant approach. Applicants may partner with additional community organizations as necessary to create innovative and collaborative approaches to addressing the specific challenges to be addressed by the grant. Such partners may include, but are not limited to:

- employers or industry organizations;
- business engagement-focused partner organizations at the state or regional level;
- community planning, development, or transportation organizations;
- faith- and community-based organizations; and
- educational institutions.

Applicants must identify in the Project Synopsis, or written proposal, any such partners that may be included in the project and describe roles of each partner and how the partnership network may support a comprehensive approach to serving participants or address a particular aspect of the grant operation.

Grant funds received under the Economic Transition DWG may not be used to pay for services delivered or activities carried out by partner organizations, nor for strategic planning or related activities.

c. **Demonstration of Grant Activities.** Applications must demonstrate the following about activities for which applicants intend to use Economic Transition DWG funds:

- Where applicable, the activities are designed to fit within any regional economic development visions or priorities, including the WIOA State Plan, as well as any state or regional economic strategies involving the Economic Transition identified in the application.
- The proposed career and training activities prepare eligible dislocated workers for employment in high-growth sectors of the economy within the area to be covered by the grant.
- All activities supported by the grant, including supportive services, are appropriate for transitioning dislocated workers into high-growth sectors, with opportunities to earn a family-sustaining wage.

9. **Availability of Funds and Application Review and Award.** The Department is making up to \$100 million available under this TEGL, with the total available funds subject to reduction due to unforeseen DWG funding needs, such as natural disasters and national emergencies. Applicants may apply for grants of up to \$8 million each. To receive funding for an Economic Transition DWG, applicants must meet all eligibility requirements described in this TEGL, as well as submit a responsive application that addresses the mandatory programmatic components outlined in this document and the Project Synopsis.

ETA will fund applications that meet all requirements based on the order ETA received them, until all funds are depleted. If there are more responsive applications than available funds, ETA will fund applications based on the order of receipt until it depletes available funds. Available funds for this grant could be depleted by other, unforeseen DWG funding needs, such as natural disasters and national emergencies. ETA will not review non-responsive applications, which are those that do not meet all requirements in this TEGL and the Project Synopsis form. If an applicant initially submits a non-responsive application, and then later resubmits a responsive application meeting all requirements before the application deadline, its place in the order of receipt will be when the applicant submitted the responsive application.

ETA will determine final award amounts subject to available funds. If the total requests are less than the available funding, or if additional funds become available, grant awards may be increased proportionately. The Department will negotiate the final funding amount. ETA may require grant recipients to revise budget documents prior to award execution to account for discrepancies between funding requests and actual award amounts. The period of performance for Economic Transition DWGs is two years. Grant funds will be available for expenditure through September 30, 2020. However, the Department reserves the right to provide period of performance extensions beyond this date, as it deems appropriate and necessary, to achieve the purposes of these awards.

10. **Application Requirements.** In an effort to achieve greater efficiency and as part of ETA's ongoing effort to streamline the grant award process, grantees must submit the following items through Grants.gov at www.grants.gov:
- An electronically signed copy of a SF-424 - Application for Federal Assistance (OMB Control No. 4040-0004);
 - An SF-424A - Budget Information – Non-Construction Programs (OMB Control No. 4040-0006);
 - A Budget Narrative to explain the projected costs reflected in each line item of the SF-424A, demonstrating how grant funds will be used. See Attachment B for instructions on completing the budget narrative;
 - A completed Project Synopsis form (Attachment A) or written proposal;
 - Documentation, not to exceed 10 pages, in support of the identified Economic Transition Event and worker dislocations as described in Section 8 above. These may include labor market analysis, academic studies, excerpts of media reports, trends in employment or industry growth, or other verifiable documentation;
 - For applicants submitting an application under the eligibility designation of demonstrating to the Secretary the capability to respond effectively to circumstances relating to particular dislocations, the following documentation of no more than five

pages, not counting toward any other page limitations, must be included as an attachment to the application:

- expertise with systemic economic issues;
 - expertise with workforce development or training;
 - the geographic or administrative reach to handle large-scale workforce issues like Economic Transitions, as the term is defined in Section 3 above;
 - financial and administrative capability to administer a federal grant;
 - signoff to apply for an Economic Transition DWG from its State workforce agency and WDBs for the geographic area(s) in which it will serve; and
 - consent in its completed Project Synopsis Form (Attachment A) or written proposal that, prior to receiving any grant funds, it will arrange a method of reporting performance data.
- Depending on the applicant, applications will need to attach letter(s) demonstrating established partnerships, support, or eligibility, per the table below:

Applicant Type	Required Letters Confirming Partnerships in the Economic Transition DWG	Required Letters Confirming Support for Economic Transition DWG	Required Letters Regarding Eligibility for the Economic Transition DWG
State Workforce Agency	Local Workforce Development Board (at least one)	n/a	n/a
Local Workforce Development Board	If partnering with another Local Workforce Development Board, include at least one support letter.	State Workforce Agency	n/a
Section 166 Entity (Native American Tribe)	Local Workforce Development Board (at least one)	n/a	n/a
Other entities demonstrating to the Secretary the capability to effectively implement this grant	Local Workforce Development Board (at least one)	State Workforce Agency	n/a
Entity determined eligible by the Governor of the state involved	Local Workforce Development Board (at least one)	n/a	Letter from the Governor in support of eligibility. This letter must be from Governor, not the State Workforce Agency.

If an applicant fails to provide any of the documents described above, their application will be deemed non-responsive and will not be reviewed or funded.

All applicants must consent to submitting performance data through the Workforce Integrated Performance System (WIPS) as a condition of award and must affirm this in the submission of the Project Synopsis form or written proposal. If an applicant is unable to have the appropriate systems or partnerships in place to submit required performance data, as described in Section 13 (below) by the time of the first funding increment, ETA may rescind the grant award.

NOTE: Grantees that are states, Outlying Areas, a consortium of states, WDBs, or a consortium of WDBs are required to request participants' social security numbers (SSN), but these entities must not report SSNs to the Department, while any other grantee receiving a grant award under this funding opportunity may be required to submit participants' SSNs to the Department. More information will be detailed in the grant agreement.

An electronically submitted SF-424 through Grants.gov constitutes the official signed document and must reflect the total amount requested in item #18, *Estimated Funding*. Item #11 must include the *Catalog of Federal Domestic Assistance Number*, 17.277. ETA encourages application submission as soon as possible; however, **applications must be received by 11:59:59 PM EDT on September 7, 2018**. ETA plans to award these grants by September 30, 2018.

- 11. Grants.gov Submission Process.** Applicants must submit the application package through Grants.gov. Applicants needing to register with Grants.gov may do so here: <https://www.grants.gov/web/grants/register.html>. Registration is a one-time process, and applicants that already have a Grants.gov account do not need to register again.

To submit the required application package, applicants must:

- a. Select the *SEARCH GRANTS* tab on the Grants.gov homepage.
- b. Under the Section, *BASIC SEARCH CRITERIA*, enter the Funding Opportunity Number: **ETA-TEGL-2-18-DWG**.
- c. Select the link to the applicable Opportunity Number provided in the search results.
- d. Select the *PACKAGE* tab.
- e. Under the *ACTIONS* column, select *APPLY*.

Submitting the SF-424 through www.grants.gov constitutes an electronically signed SF-424, Application for Federal Assistance. This submission process may at times be complicated and time-consuming. As such, the Department strongly encourages applicants to initiate the process as soon as possible, in order to allow time to resolve unanticipated technical problems.

Submission requirements stipulate that all applicants for Federal grant and funding opportunities must have a Data Universal Numbering System (D-U-N-S®) number and must supply their D-U-N-S® number on the SF-424.

Before submitting, applicants must also ensure its registration with the System for Award Management (SAM) is current. Applicants may find instructions for registering with SAM at <https://www.sam.gov>. An awardee must maintain an active SAM registration with current information at all times during which it has an active Federal award or an application under consideration. To remain registered in the SAM database after the initial registration, entities must review and update the registration at least every 12 months from the date of initial registration. Failure to register with SAM and maintain an active account will result in Grants.gov rejecting the application submission.

For technical issues encountered during application submission, applicants may call 800-518-4726 or 606-545-5035 to speak to a Customer Support Representative, or email support@grants.gov. The Contact Center is open 24 hours a day, seven days a week, but closes on federal holidays.

- 12. Other Award Considerations.** At its discretion, ETA intends to fund applicants who submit responsive applications by meeting the application requirements set out in Sections 8 and 10 above as well as any other requirements on the Project Synopsis form. ETA may elect to award a grant with or without discussions with the applicant. Should a grant be awarded without discussions, the award will be based on the applicant's signature on the SF-424, including electronic signature, which constitutes a binding offer by the applicant.

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

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

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

- findings of any other available audits and monitoring reports containing finds, issues of non-compliance, or questioned costs; and
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on recipients.

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

13. **Grantee Reporting.** Primary indicators of performance and reporting requirements will be set out in the grant agreement. Additionally, performance accountability requirements for Economic Transition DWGs will be described in forthcoming DOL-only performance guidance, "*Performance Accountability Guidance Relating to Reporting Performance and Aligning Performance Definitions and Policies across Workforce Employment and Training Programs Administered by the U.S. Department of Labor.*" Information on WIOA performance is available at <https://www.doleta.gov/performance/reporting/>.

DWG grantees submit performance data using the Workforce Integrated Performance System (WIPS). Information on this system is available on the WIPS Resource Page: <https://doleta.gov/performance/wips/>.

DWG grantees must submit financial reports using the ETA-9130 (G) Financial Report. Guidance and instructions are available at the following link: https://www.doleta.gov/grants/financial_reporting.cfm.

ETA expects an applicant to have the appropriate systems or partnerships in place to submit required performance data as described in this section. An applicant must consent to submitting the required performance data to receive a grant award under this funding announcement.

14. **Program Evaluation.** As a condition of grant award, grantees are required to participate in evaluations if undertaken by DOL. To support DOL's evaluations, as a condition of award, grantees must agree to: (1) make data, documents and records available to the evaluation contractor; (2) timely scheduling and participation in site visits, and providing access to personnel, participants, and partners; (3) timely responses to surveys, (4) encourage participants, partners, and other stakeholders to participate in evaluation activities, (5) follow evaluation procedures as specified by the evaluation contractor under the direction of DOL, and (6) participate in peer learning and information-sharing sessions facilitated by the evaluation contractor.

15. **Paperwork Reduction Act (PRA) Statement.** The OMB Information Collection No 1225-0086 expires May 31, 2019.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number.

Public reporting burden for this collection of information is estimated to average 20 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

This information is being collected for the purpose of awarding a grant. DOL will use the information collected through this solicitation 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.

16. **Inquiries.** Questions regarding this guidance should be directed to Grant Specialist Diane Easterling at Easterling.Diane@dol.gov.
17. **Resources.** More information is also available at www.doleta.gov/dwgs.
18. **Attachments.**
 - A. Project Synopsis Form
 - B. Instruction Sheet for Budget Narrative

ATTACHMENT A

2018 Trade and Economic Transition National Dislocated Worker Grant (DWG) Project Synopsis Form – Suggested Format

This form is intended to streamline the process for completing an application for the Trade and Economic Transition DWG. Please complete the form below electronically and submit with the other required components of the application package, in accordance with the instructions in Section 10 of the TEG. Instead of using this form, an applicant also may submit a written proposal, not to exceed 10 double-spaced pages. The written proposal must address all informational requirements specified in the TEG and this suggested form.

APPLICANT INFORMATION	
1. Applicant Organization Name	
2. Applicant Organization Type	☐ State Workforce Agency or Outlying Area
	☐ Local Workforce Development Board (WDB)
	☐ WIOA Section 166 Entity
	☐ Entities demonstrating to the Secretary the capability to implement this grant (These entities must submit additional documentation supporting their eligibility, as well as additional letters of support / partnership, per Section 10 of the TEG.)
	☐ Entities determined eligible by the Governor of the state involved (These entities must provide a letter from the Governor with application submission, as well as a letter from at least one WDB.)
3. Name(s) of Required Partner(s)	
4. Applicant Consents to Submitting Performance Data	☐ Yes ☐ No
5. Number of Projected Participants to be Served by this DWG	
6. Performance Measure targets for this DWG, as described in the TEG under Section 8, Qualifying Event and Project Purpose	☐ Applicant acknowledges and understands required performance measure targets for this proposed DWG.

7. Applicant Commits to Coordinating with Local Elected Officials or Local WDBs in Areas Grant Would Serve.	☐ Yes ☐ No			
QUALIFYING EVENT				
A. Demonstrating Economic Transition. Applicant must identify the specific economic transition issue it is facing, as well as the counties affected by the transition.				
1. Counties Covered by the Economic Transition (enter "Statewide" if project will serve all counties)				
2. Type of Economic Transition (choose one)	☐ Job loss, or employer or industrial reorganization due to trade or automation.			
	☐ The loss, significant decline, or major structural change or reorganization of a primary or legacy industry in a regional economy, such as a manufacturing downturn or impacts on the agricultural industry due to trade.			
	☐ Other economic transition or stagnation that may disproportionately impact mature workers, putting them at risk for extended unemployment, lower wages, underemployment, and more.			
3. Other Transition (if not one of the options listed in #2 above)	<i>Identify and describe the applicable economic transition, indicating how it is impacting the affected counties that the DWG would serve.</i>			
B. Significant Worker Dislocation. Identify the worker dislocations occurring within the last 18 months in the counties proposed to be served by the DWG, which occurred as a result of the identified economic transition.				
Name of Employer	City	Layoff Date	Number of Layoffs	WARN Issued? Y/N

Name of Employer	City	Layoff Date	Number of Layoffs	Warn Issued? Y/N
Explanation of Significance if Fewer Than 50 Workers Dislocated	<i>If fewer than 50 affected workers were laid off in the dislocation events you have listed above, explain why the total number of dislocations has had a substantial enough economic impact that it necessitates additional assistance. Attach to the application supporting documentation demonstrating this significance.</i>			
C. Linking the Economic Transition and the Identified Dislocations				
Describe how the identified layoffs are linked to the identified economic transition. Note that the dislocations may be from unrelated employers or unrelated sectors, yet still be the result of the same economic transition (i.e. increased automation).				

<p>Indicate the type of documentation provided as an attachment to the DWG application package, by which provides ETA may verify the Economic Transition and the worker dislocation events listed above.</p>	<div> ☐ Labor Market Information data or analysis ☐ Academic Studies ☐ Media Reports ☐ Trends in the growth or decline of types of employers / industrial employment opportunities </div> <p>An applicant may submit, in addition or in place of, another form of documentation of these events. Note other documentation attached:</p>
---	---

PROJECT PROPOSAL

A. Project Purpose and Description.

The applicant must demonstrate that its project will help move its workforce toward sustainable opportunities in high-demand sectors that could transform the applicant's economy. ***These sectors do not have to be, and likely should not be, those that have suffered dislocations due to economic transition.***

1. Sector(s) of Focus	Sector(s) of focus to which grant participants will be transitioned	
	Why opportunities in sector(s) of focus are sustainable	
	Characteristics of workforce or participants that could speed or ease transition into sectors	
	Existing resources that could speed or ease transition into sector(s) of focus	

2. Service Delivery	Describe any innovative employment and training techniques the applicant will deploy, consistent with WIOA sec. 134(c) and (d)	
	Describe any supportive services that may be provided, or method by which applicant will determine individual needs for supportive services, delivered by the grantee and its partners	
3. Economic Benefit	Describe the extent to which the training activities could have broader benefit to the geographic areas covered by the DWG, such as by building or improving infrastructure; or, creating the capacity for the area to handle future job loss caused by economic transition without additional federal assistance	
4. Strategic Alignment	Where applicable, describe connections to the WIOA State Plan; other existing sector or career pathways projects; statewide or regional talent; economic development initiatives; development initiatives including existing Comprehensive Economic Development Strategies (CEDS); infrastructure improvement plans such	

	as state highway construction plans approved by the U.S. Department of Transportation; business engagement strategies; or, other similar efforts.	
B. Community Partnerships. Applicants are encouraged to develop new or enhance existing partnerships with relevant entities that support the goals of the project in the areas being covered by the grant activities.		
Optional Partnerships	If applicable, indicate additional organizations, other than the required partners identified on page 1 of this form, that the applicant intends to include in the project, and describe their anticipated roles. Include how they may support a comprehensive approach to serving participants, or address a particular aspect of the grant operation.	

C. Required Demonstrations Related to Grant Activities.

Applicants must demonstrate the following about activities for which applicants intend to use Trade and Economic Transition DWG funds. Please answer in the space given as to how this requirement is met by your project.

1. Where appropriate, the activities are designed to fit within any regional economic development visions or priorities, including the WIOA State Plan, as well as any state or regional economic strategies involving the Economic Transition identified in the application.	
2. The proposed career and training activities prepare eligible dislocated workers for employment in high-growth sectors of the economy within the area to be covered by the grant.	
3. All activities supported by the grant, including supportive services, are appropriate for transitioning dislocated workers into high-growth sectors, with opportunities to earn a family-sustaining wage.	

ATTACHMENT B

General Instructions for the Completion of a Budget Information Narrative Economic Transition Dislocated Worker Grants

The budget information Narrative must include the following information:

- Each line item on the SF-424A must be explained, and the cost provided for each. Each line item on the SF-424A pertains to projected costs at the recipient level, with the exception of the Contractual line item.
 - The total for each line item on the Budget Information Narrative must match the total for each line item on the SF-424A.
 - Although there is not a separate line item for Administrative Costs, please provide a breakout of costs in this category, not to exceed 10 percent of the requested funding.
1. **Personnel** – List all staff positions by title. State the annual salary of each person, the percentage of each person's time devoted to the project, the amount of each person's salary funded by the grant, and the total personnel cost for the period of performance.
 2. **Fringe Benefits** – Provide the overall fringe benefit percentage which reflects the recipient's organizational fringe, and list the components included, such as health insurance, FICA, retirement, etc. Provide the fringe benefit calculation for each staff position listed under the Personnel line item.
 3. **Travel** – Specify the type and purpose of the travel, the number of travelers, approximate mileage, per diem rates, estimated number of trips, and other associated travel costs.
 4. **Equipment** – Identify each item of equipment to be purchased which has an estimated acquisition cost of \$5,000 or more per unit and a useful lifetime of more than one year. List the quantity and unit cost per item. Items with a unit cost of less than \$5,000 are supplies.
 5. **Supplies** – Supplies include all tangible personal property other than "equipment." Identify supply categories (e.g. office supplies, cell phones, personal tools for disaster clean-up, etc.). List the cost associated with each category.
 6. **Contractual** – Identify each contracted entity, the funding allocation made to the organization, and a brief summary of services provided by each.
 7. **Construction** – Construction costs are not allowed and this line must be left as zero. Minor alterations to adjust an existing space for grant activities (such as a classroom alteration) may be allowable. DOL does not consider this as construction and the costs must be shown on other appropriate lines such as Contractual.
 8. **Other** – List each item in sufficient detail for DOL to determine whether the costs are reasonable or allowable. Costs included under *Other* should not fit into any other line item category.
 9. **Indirect Charges** – If charging indirect costs to the grant, this line item must be populated. Include the current approved Negotiated Indirect Cost Rate Agreement, signed by the Federal cognizant agency, as an attachment to the grant application.